Nonlinear Effects in One-Dimensional Photonic Lattices

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10 1.1 Introduction

Optical waves propagating in photonic periodic structures are known to ex-11 hibit a fundamentally different behavior when compared to their homoge-12 neous counterparts in bulk materials. In such systems the spatially periodic 13 refractive index experienced by light waves is analogous to the situation in 14 crystalline solids, where electrons travel in a periodic Coulomb potential [1]. 15 Consequently, the propagating extended (Floquet Bloch) modes of a linear 16 periodic optical system form a spectrum that is divided into allowed bands, 17 separated by forbidden gaps, too, and the two different physical systems share 18 most of their mathematical description. Photonic band-gap materials, which 19 may be artificially fabricated to be periodic in three, two, or only one dimen-20 sion, hold strong promise for future photonic applications like miniaturized 21 all-optical switches, filters, or memories [2]. Here novel opportunities are of-22 fered when nonlinear material response to light intensity is taken into account. 23 When studying such nonlinear photonic crystals it turns out that light propa-24 gation is governed by two competing processes: linear coupling among different 25 lattice sites and energy localization due to nonlinearity. For an exact balance 26 of these counteracting effects self-localized states can be obtained, which are 27 called lattice solitons [3–6]. 28

Uniform one-dimensional (1D) waveguide arrays (WAs) may be under-29 stood as a special case of 1D photonic crystals with a periodicity of the re-30 fractive index scaled to the wavelength of light. These arrays consist of equally 31 spaced identical channel waveguides, where energy is transferred from one site 32 to another through evanescent coupling or tunnelling of light. Although such 33 arrays share many of their linear and nonlinear properties with other periodic 34 systems in nature, for example excitons in molecular chains [7], charge density 35 waves in electrical lattices [8], Josephson junctions [9], spin waves in antiferro-36 magnets [10], or Bose-Einstein condensates in periodic optical traps [11], they 37

have some advantages making them attractive candidates for studying general nonlinear lattice problems: Due to the larger wavelength of light when
compared to, e.g., electrons, wave amplitudes can be directly imaged, thus
allowing for a full experimental control of input and output signals. The relatively easy sample fabrication and compact experimental setups, together
with suitable working environments at room temperature without the need
for vacuum chambers, have put the optics domain at the forefront of research
on nonlinear periodic systems.

In this chapter we will provide a brief overview on light propagation and soliton dynamics in 1D nonlinear WAs, and will discuss some recent exper-10 imental results on the example of arrays in photorefractive lithium niobate 11 (LiNbO₃). In the following section, we discuss some basic linear properties of 12 WAs like discrete diffraction, normal and anomalous diffraction, and meth-13 ods to engineer tailored photonic band structures using different experimental 14 techniques and material systems. The third part is devoted to nonlinear light 15 propagation in 1D WAs. After discussing the instability regimes of extended 16 Floquet-Bloch (FB) modes in 1D lattices, which coincide with the occurrence 17 of discrete modulation instability, we give an overview of different types of 18 localized nonlinear excitations, for example multi-hump, dark, or vector lat-19 tice solitons, that have been investigated in WAs. Finally, the last section is 20 devoted to the interaction of light with lattice defects and other light beams, 21 which may form the basic elements for novel applications in photonics. 22

²³ 1.2 Linear properties and Waveguide Array Formation

1.2.1 Band-gap Structure and Floquet-Bloch Modes of One-Dimensional Lattices

In absence of nonlinear effects optical beams will spread in space because of 26 diffraction while pulses will experience temporal broadening due to dispersion. 27 Although diffraction is an omnipresent geometrical effect and dispersion is ma-28 terial dependent and absent in vacuum, both effects occur because of different 29 rates of phase accumulation for different spatial or temporal frequencies. In 30 physics, the dispersion relation is the relation between the system's energy (or 31 propagation constant) and its corresponding momentum (Bloch momentum). 32 The dispersion relation of linear waves in bulk or continuous media has a 33 parabolic form [12]. Consequently, in a 1D planar waveguide layer unlimited 34 transverse propagation of modes results in a continuous dispersion spectrum 35 with the same parabolic shape. A vivid example for a planar waveguide fabri-36 cated in $LiNbO_3$ is given in Fig. 1.1a. By a modified prism coupler setup [13] 37 the effective indices $n_{\rm eff} = \beta \lambda / 2\pi$ have been measured (normalized to the 38 substrate index n_{sub}) as a function of Bloch momentum, where β is the cor-39 responding (longitudinal) propagation constant and λ is the light wavelength. 40 Having in mind analogies drawn between dispersion and diffraction [12, 14], 41

diffraction is determined by the curvature at the corresponding point of the
dispersion curve while the direction of propagation of light is normal to this
curve. As can be seen, in this example the diffraction coefficient is negative
(normal diffraction) for all propagating waves.



Fig. 1.1. Experimentally measured band structures of (a) a planar waveguide and (b) a 1D WA (grating period $\Lambda = 8 \,\mu$ m). Symbols are measured propagation constants. The dashed line in (a) is just a guide for the eye, whereas in (b) solid lines show the corresponding calculated band structure.

In media with a periodic index modulation a band structure arises with 5 allowed bands separated by gaps where light propagation is forbidden [12,15]. 6 The form of the band-gap structure depends on system parameters such as, for example, the distance between adjacent channels of the nonlinear WA and the strength of the refractive index modulation, which can be fully controlled 9 in the fabrication process. To take up the previous example, an additional 1D 10 periodic index modulation can be formed in the planar waveguide of Fig. 1.1a 11 by two-beam holographic recording of an elementary grating [16]: Each refrac-12 13 tive index maximum of the modulated pattern forms a single-mode channel waveguide which is evanescently coupled to its first neighbors. An example 14 of the obtained band structure which shows the first two bands of a LiNbO₃ 15 WA is given in Fig. 1.1b. While diffraction in bulk media is always normal, in 16 periodic media diffraction can reverse its sign leading to regions of anomalous 17 diffraction, for example, within the first band for $\pi/2 < k_z \Lambda < \pi$ and around 18 the center of the first Brillouin zone (BZ) in the second band. Here, k_z stands 19 for the transverse component of the wave number, and Λ denotes the grating 20 period. Furthermore, diffraction may even vanish at certain points in the dis-21 persion diagram (e.g., for $k_z \Lambda \approx \pi/2$ in the first band), allowing for almost 22 diffraction-free propagation of light. 23

Another example of a measured band structure with four guided bands of a 1D WA with stronger modulation is given in Fig. 1.2a. Experimental values of propagation constants are denoted by squares, whereas solid lines

¹ correspond to numerically calculated bands. If the condition $n_{\rm eff} - n_{\rm sub} > 0$ is ² fulfilled modes are guided, otherwise they are radiative. The implementation ³ of the prism coupling method [13] allows for the selective excitation of pure FB ⁴ modes of the periodic structure. Some illustrative examples of excited modes ⁵ are given in Fig. 1.2b. Numerical results shown in the upper rows correspond ⁶ fairly well to the experimentally obtained images measured at the samples' ⁷ output facet.



Fig. 1.2. (a) Band-gap structure of WA with period $\Lambda = 8 \,\mu m$. (b) Intensity of FB modes from different bands: numerical results (*top*) and experimental data (*bottom*).

8 1.2.2 Fabrication of Nonlinear Waveguide Arrays

One-dimensional WAs have been fabricated in quite different materials rang-9 ing from semiconductors [4,17] and photorefractives [18,19], to polymers [20], 10 glasses [21], and liquid crystals [22]. WAs in the semiconductor AlGaAs have 11 been formed by, e.g., reactive-ion etching of adequate wafers with epitaxially 12 fabricated layers. This semiconductor crystal possesses an instantaneous Kerr-13 like focusing nonlinearity for optical wavelengths in the infrared, and typical 14 optical powers required are in the range of $10^2 - 10^3$ W. In silica-based glasses 15 either ion exchange in molten salts or direct writing using femtosecond lasers 16 has been used. WAs in polymers have been fabricated by UV lithography, 17 whereas in liquid crystals a set of regularly spaced transparent electrodes has 18 been used. In photorefractive crystals, where nonlinearities are based on light-19 induced space charge fields and the electrooptic effect, two different methods 20 for WA formation have been used so far: induction of index gratings by il-21 lumination of the crystal with light [18], or permanent index changes due to 22 indiffusion of titanium stripe patterns [19]. Light-induced lattices are based 23 on the interference of two or more writing laser beams propagating inside 24 the bulk sample. Such lattices are both rewritable and dynamically tunable. 25 One may control the coupling between channels by adjusting the intensity of 26

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the recording light while Bragg reflection is defined by the angle between the interfering beams. However, the achievable refractive index modulations are 2 rather limited and clumsy equipment is required to stabilize the interference 3 patterns. On the other hand, there exist several methods to fabricate perma-4 nent waveguides and structures in photorefractive crystals [23]. In $LiNbO_3$ 5 the method of in-diffusion of titanium has been used to form permanent WAs 6 with lattice periods ranging from 2 to 20 microns. Furthermore, in-diffusion of 7 impurities like iron or copper may be used to tailor the photorefractive properties of the material. Besides its wide use in nonlinear optics, for example for frequency conversion and fast optical modulation of light, LiNbO₃ possess 10 a rather high nonlinear index change at very low light intensities. However, 11 this material is also sensitive to holographic light scattering and has a rather 12 long build-up time for nonlinear index changes in the range of seconds or even 13 minutes. 14

15 1.3 Light Localization and Lattice Solitons

¹⁶ 1.3.1 Lattice Solitons

Lattice solitons are localized structures which exist due to the exact balance 17 between periodicity and nonlinear effects. They comprise both discrete and 18 gap solitons. Discrete solitons exist in the first (semi-infinite) band-gap due 19 to total internal reflection. Near the top of the first band, which is located 20 at the center of the first BZ (see Fig. 1.1b), where beam diffraction is nor-21 mal, unstaggered (adjacent elements are in-phase) discrete solitons may exist 22 provided that a self-focusing or positive nonlinearity is present [4,24–27]. The 23 prediction of the existence of fundamental optical lattice solitons in WAs dates 24 back to 1988 [3], and ten years later the group of Silberberg succeeded in the 25 experimental observation of such solitons in a Kerr-like focusing medium [4], 26 which has stimulated intense research in this field [28–30]. 27

Gap solitons [5, 7, 31-33] are yet another type of stable nonlinear structures 28 that can be observed in periodic media. Due to a nonlinear index change the 29 propagation constant of these solitons is shifted inside the gap in-between 30 two allowed bands. Fundamental gap solitons may be excited either from the 31 top of the second band at the edge of the first BZ (normal diffraction) in 32 lattices with self-focusing nonlinearity [34], or from the first band at the edge 33 of the first BZ (anomalous diffraction) in lattices exhibiting self-defocusing 34 nonlinearity [33]. In the latter case, soliton structures are of staggered form 35 (adjacent elements are out-of-phase) [35–37]. 36

A recent example of discrete gap soliton formation in a LiNbO₃ WA with defocusing nonlinearity is given in Fig. 1.3a. The top image of the output facet is taken immediately after light is coupled in and monitors linear discrete diffraction inside the array. With increasing recording time the nonlinearity builds up and finally the light is trapped predominantly in a single channel.



Fig. 1.3. Gap soliton formation in a LiNbO₃ WA with period $\Lambda = 7.6 \,\mu\text{m}$ at the edge of the first BZ of the first band. (a) Output intensity for single-channel excitation with input power $P_{\rm in} = 30 \,\mu\text{W}$. (b), (c) Related BPM simulations for the linear (b) and nonlinear (c) case.

The inset shows the corresponding interferogram of the output light with
a superimposed plane wave, which represents an experimental proof for the
staggered amplitude of the formed soliton. A numerical simulation (based on
a beam propagation method (BPM)) which corresponds to the case of discrete
diffraction is presented in Fig. 1.3b, while Fig. 1.3c shows the nonlinear case
of stable soliton propagation inside the gap.

7 1.3.2 Discrete Modulational Instability

Experimentally, discrete and gap solitons may be obtained through the mech-8 anism of modulational instability (MI) of a wide input beam. Discrete MI represents a nonlinear phenomenon in which initially smooth extended waves 10 of the periodic system (FB modes) desintegrate into regular soliton trains un-11 der the combined effects of nonlinearity and diffraction. It has been predicted 12 that FB modes exhibiting anomalous diffraction become unstable in the pres-13 ence of self-defocusing nonlinearity while modes exhibiting normal diffraction 14 break up under the effect of a self-focusing nonlinearity [3,35,38–40]. Experi-15 mentally, this has been proven for the first time in AlGaAs arrays exhibiting a 16 focusing cubic nonlinearity [41], followed later by related experiments in both 17 quadratic [42] and defocusing WAs [43]. 18

¹⁹ An example of numerical and experimental evidence of discrete MI in ²⁰ LiNbO₃ in the first and second band is presented in Fig. 1.4 [44]. The experi-²¹ mental pictures on the top consist of 75 intensity line scans each, which have ²² been taken from the output facet every minute, mimicing the time evolution



Fig. 1.4. Discrete MI in a defocusing WA: Comparison of experimentally measured and simulated light intensity at the output facet. (a) Edge of the first BZ in the first band for $P_{\rm in} = 10 \,\mu W$ (top) and related numerical simulation (bottom), and (b) at the center of the first BZ in the second band for $P_{\rm in} = 21 \,\mu W$ (top) and related numerical simulation (bottom).

of light intensity. Discrete MI may be observed only for a limited region of
in-coupled light power in-between lower and upper MI thresholds [39]. Here
the upper threshold arises from saturation of the nonlinearity, which stabilizes
the system by decreasing the nonlinear gain and increases the threshold for
the onset of MI.

6 1.3.3 Discrete Vector Solitons

Vector solitons [45] are composite structures that consist of two or more com-7 ponents which are individually incapable to form stable structures, but which 8 mutually self-trap in a nonlinear medium. Discrete vector solitons (DVS) in 1D 9 WAs are yet another, more complex class of vector solitons which have been 10 investigated both theoretically [46–49] and experimentally [50,51]. Recently it 11 has been recognized that both complex vector structures whose components 12 stem from different bands [52–54] and composite band-gap solitons [55, 56] 13 may be found in nonlinear periodic systems, too. 14

First experiments on DVSs in 1D media have been performed by Stegeman's group using AlGaAs WAs with cubic nonlinearity [50], where both TE and TM components have a single-hump structure. Whereas in these me-

¹⁸ dia a separation of four-wave mixing processes and cross-phase modulation





Fig. 1.5. Discrete vector soliton formation. (a) Stationary profiles of TE (lhs) and TM modes (rhs). Diamonds, squares, triangles and stars correspond to $\nu = -5, -1, 0$ and 1.1. (b) Measured stationary output of a DVS for mutually incoherent input beams with power ratio $P_{\rm TE}/P_{\rm TM} = 1.5$, both components together (*top*), TE (*middle*) and TM component alone (*bottom*, amplified 8 times).

is possible, these two terms are non-separable in arrays with saturable non-1 linearity [51]. Here the power of the dominating TE mode grows in a similar 2 fashion as the on-site mode from Ref. [57], giving rise to speculations that such 3 iso-frequency DVSs could be moved and routed across the array. Interestingly, 4 the TM mode exhibits a splitting into a two-hump structure. Fig. 1.5 shows 5 results obtained for a LiNbO₃ WA with saturable defocusing nonlinearity. 6 Numerically obtained stationary profiles of TE and TM modes for different 7 values of soliton parameter ν are presented in Fig. 1.5a. The shape of the DVS 8 slightly changes for different power ratios $P_{\rm TE}/P_{\rm TM}$, however, the center is q mostly TE polarized while tails have dominant TM polarization. An experi-10 mental example for mutually incoherent input beams is given in Fig. 1.5b. As 11 predicted, a dominating single-hump TE polarized component and a weaker 12 double-humped TM component are observed [51]. 13

14 1.3.4 Higher Order Lattice Solitons

It is well known that even 1D lattices support a wide spectrum of various 15 strongly localized modes. Except the most often studied on-site and inter-site 16 solitons (modes A and B, respectively) [58–64], various forms of lattice solitons 17 such as twisted [36,61,65], quasi-rectangular [66], multi-hump solitons [67–70], 18 and higher-order soliton trains [71] have been studied as well. Higher order 19 lattice solitons are complex structures which may be intuitively viewed as a 20 nonlinear combination of on-site solitons residing in adjacent channels. Such 21 multi-hump structures are stable above a critical power threshold which can 22 be estimated by linear stability analysis [68]. 23

Recently, higher order lattice solitons have been observed experimentally in a Cu-doped LiNbO₃ WA using simultaneous in-phase excitation of two or three channels. Stationary profiles of such multi-humped solitons are presented in Fig. 1.6a. Experimentally observed images of an even two-hump soliton, which has been excited by two individual in-phase Gaussian beams, and a three-soliton train, which has been excited by a single super-Gaussian beam, are shown in Fig. 1.6b. The corresponding numerical results are given



Fig. 1.6. Higher-order solitons in a WA. (a) Stationary profiles of an even two-hump soliton (lhs) and a three-soliton train (rhs). (b) Experimental images on the output facet for input power $P_{\rm in} = 10\,\mu W.$ (c) BPM results showing stable propagation of two- and three-channel input excitations.

in Fig. 1.6c. Generally, the performed investigations indicate that the here 1 used excitation of multi-humped solitons is quite efficient even in rather short 2 arrays and confirm the possibility of dense soliton packing in form of soliton 3 trains. 4

1.3.5 Discrete Dark Solitons 5

As noted in Ref. [59], the modes A and B can be seen as two dynamical states 6 of a single mode moving across the array. The difference in their energy is 7 related to the Peierls-Nabarro (PN) potential, which represents a barrier that 8 has to be overcome in order to move a discrete soliton half of the lattice period 9 aside. In media with cubic self-focusing nonlinearity the PN potential grows 10 with increase of mode power, thus disabling stable propagation of mode B and 11 free steering of large amplitude solitons [60, 62]. On the other hand, in arrays 12 with saturable nonlinearity it has been discovered that the PN potential can 13 vanish and reverse its sign [36,63,72]. Therefore stable propagation of mode B 14 becomes possible and solitons may be steered through the lattice. Numerical 15 evidence of stable propagation of bright inter-site modes were presented for 16 both saturable [63] and cubic-quintic nonlinearities [73]. 17

Beside bright solitons 1D lattices may support also dark discrete soli-18 tons [74–77]. Such solitons have one or more dark elements on a constant 19 bright background and possess a π phase jump across the center of the struc-20 ture. In LiNbO₃ arrays it has been demonstrated both analytically and exper-





Fig. 1.7. Formation of discrete dark solitons. (a) Phase profile of unstaggered onsite dark soliton, formation of stable soliton state and guiding of a weak probe beam, respectively. The inset shows the corresponding interferogram. (b) The same for the unstaggered inter-site dark soliton.

imentally that the dark mode B can propagate in stable manner, too [64, 76]. 1 Experimental results on dark soliton formation in a LiNbO₃ WA are given in 2 Fig. 1.7 [76]. On the lhs the situation for mode A with a phase jump located 3 on-channel is monitored. The first row shows linear discrete diffraction of the dark notch, while in the nonlinear case (second row) a narrow dark soliton with staggered phase profile (see inset) is formed. The rhs shows the analogue 6 situation for mode B, where the tailored input light pattern has been shifted 7 by half a lattice period to locate the phase jump in-between channels. The 8 lowest rows show the guiding of weak probe beams that are launched after 9 the pump light was turned off. Here for mode A a single waveguide is formed 10 while for mode B a two-channel-wide guiding structure is obtained. 11

1.4 Interactions of Light Beams in One-Dimensional Photonic Lattices

Among the most interesting properties of spatial optical solitons is the non-14 linear interaction that takes place when solitons intersect or propagate close 15 enough to each other within the nonlinear material [78]. Especially in discrete 16 media like coupled WAs, a realization of all-optical functions would strongly 17 benefit from the inherent multi-port structure of the array. Therefore, optical 18 lattice solitons are prominent candidates to become main information carri-19 ers in future all-optical networks, and many new applications like all-optical 20 switching [79-83], steering [6,7,21,63,84-87], and amplification [88] have been 21 proposed. 22

23 1.4.1 Interactions with Defects

Having in mind that perfectly periodic media do not exist, several groups have investigated the interaction of lattice solitons with various structural defects. Generally, defects can be created by changing the spacing of two adjacent waveguides in an otherwise uniform array [89], by variation of the

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effective index or the width of a single channel [90, 91], or by optical induction techniques [92]. Defects can either attract or repel solitons, and soliton
trapping has been investigated in the presence of both linear and nonlinear
defects [93]. In modulated arrays additional defects can be used for Bloch wave
filtering [91], and the number of bounded modes in an array can be dynamically controlled [90]. On the other hand, uniform linear WAs with nonlinear
defects have been proposed as suitable candidates for the observation of Fano
resonances [94].

9 1.4.2 Blocker Interaction

Weak probe beams launched into a lattice will spread quickly in transverse 10 direction because of evanescent coupling of energy among adjacent sites. How-11 ever, diffraction may be considerably reduced if the beam is launched at an 12 angle corresponding to diffraction-less propagation [13]. Recently, interactions 13 of such low-power (linear) probe beams with both coherent [95] and incoher-14 ent bright blocker solitons [96] have been studied in Kerr-like semiconductor 15 WAs. In defocusing and saturable LiNbO₃ arrays both bright and dark blocker 16 solitons were used for probe beam deflection [97]. It has been also realized that 17 such nonlinear processes, of which an example is presented in Fig. 1.8, are suit-18 able for the realization of all-optical beam splitters with adjustable splitting 19 ratios. 20

21 **1.4.3 Collinear Interaction**

Interactions and collisions of discrete solitons have been investigated mainly 22 numerically [7, 98-101]. Depending on the relative phase between the beams, 23 their amplitude and the type of nonlinearity, soliton repulsion, fusion, and 24 fission as well as energy transfer and oscillatory behavior have been observed. 25 In arrays exhibiting a cubic nonlinearity and, in most experimental realiza-26 tions, also in saturable arrays, strong soliton beams are pinned to a certain 27 channel. Therefore, mostly interactions of co-propagating parallel beams have 28 been investigated experimentally [102, 103]. Fig. 1.9 presents an example of 29 co-propagating solitons launched in-phase into two channels of a $LiNbO_3$ 30 WA [103]. Fig. 1.9a depicts a comparison between experimentally (top) and 31 numerically (bottom) obtained results in the linear case of discrete diffraction. 32 In the lower power regime (Fig. 1.9b) soliton fusion in the central channel is 33 observed, a process that does not occur in cubic media [102]. In the region 34 of higher power (Fig. 1.9c) an almost independent soliton-like propagation 35 (pinning) of the two beams is found. Interestingly, in the case of out-of-phase 36 beams in discrete media with self-defocusing nonlinearity, a pure oscillatory 37 behavior of beams is found by means of numerical simulations [103]. 38

Interactions of counter-propagating solitons in 1D WA have been experimentally investigated in both LiNbO₃ [104] and strontium-barium niobate crystals [105]. Main result is the experimental confirmation of the existence



Fig. 1.8. (a) Interaction scheme of a weak probe beam with a counter-propagating bright blocker soliton. (b) Experimental setup (for notation see Ref. [97]). (c), (d) Temporal evolution of the intensity on the output facet when a low-power probe beam and a bright soliton beam of higher power intersect. (e), (f) BPM simulation of steady-state propagation of probe beam (propagation downwards) and bright soliton (propagation upwards), respectively.

of three dynamical regimes predicted theoretically [106]. For low input power
a regime of stable propagation of counter-propagating beams is found where
vector solitons are formed. As this stable co-existence of counter-propagating
beams does not exist in bulk media, this monitors the stabilizing effect of the
lattice on soliton propagation. However, when the input power is increased, in-

⁶ stability occurs also in the lattice leading to discrete beam displacements, and

⁷ finally a regime of high optical power is reached showing chaotic dynamics.

Beside in uniform WAs, various nonlinear effects have been investigated in
 engineered arrays [83, 107], binary arrays [108], double-periodic lattices [17],



Fig. 1.9. Comparison of in-phase interaction of two collinearly propagating beams for different input powers in a defocusing lattice. Experimental output on endfacet (top) and BPM simulation (bottom). (a) Discrete diffraction, (b) fusion of solitons at low power, and (c) soliton-like propagation for higher input power.

- chirped arrays [109] and arrays of curved waveguides [110]. Some other types of
 lattice solitons such as incoherent solitons [111], random phase solitons [112],
 polychromatic solitons [113] and surface solitons [114] will be covered in detail
 in other chapters of this book.
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