# Stability and Feedback Control of Frictional Dynamics for A One-Dimensional Particle Array

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Dynamic Days 2008, Knoxville, TN, Jan. 3-6, 2008



## Outline

- Motivation
- The Model and Control Problem Formulation
- Open-Loop Stability
- Tracking Control Design
- Single Particle Dynamics
- Conclusion



## Motivation

- Control of friction during sliding is important for a variety of applications
- Friction can be manipulated by applying small perturbations to accessible elements and parameters of the sliding system
- [Braiman PRL2003] presents a feedback control scheme to control friction at the nanoscale
- We follow the line of the research to study Lyapunov stability and design precise control of a one-dimensional particle array represented by the Frenkel-Kontorova Model



#### The Frenkel-Kontorova Model



A harmonic chain (mimic a layer of nano-particles) in a spatially periodic potential (mimic the substrate), driven by a constant force which is damped by a velocity-proportional damping.



• Dynamics of a one dimensional particle array moving on a surface:





- Under simplifications:
  - Sinusoidal substrate potential
  - Zero misfit length between the array and the substrate
  - Same force is applied to each particle
  - Zero noise
- The simplified FK-model:

$$\ddot{\phi}_{i} + \gamma \dot{\phi}_{i} + \sin(\phi_{i}) = f + F_{i}$$

$$f = f + F_{i}$$
Dimensionless
Phase variable
External force
Particle interaction
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• Morse-type (nonlinear) particle interaction:

$$F_{i} = \frac{\kappa}{\beta} \left\{ e^{-\beta(\phi_{i+1} - \phi_{i})} - e^{-2\beta(\phi_{i+1} - \phi_{i})} \right\} \\ - \frac{\kappa}{\beta} \left\{ e^{-\beta(\phi_{i} - \phi_{i-1})} - e^{-2\beta(\phi_{i} - \phi_{i-1})} \right\}$$

• As  $\beta \rightarrow 0$ , the linear particle interaction:

$$F_i = \kappa \left( \phi_{i+1} - 2\phi_i + \phi_{i-1} \right)$$



- We assume free-end boundary conditions:
  - For the linear case:

$$F_1 = \kappa(\phi_2 - \phi_1), \qquad F_N = \kappa(\phi_{N-1} - \phi_N).$$

- For the nonlinear case:

$$F_{1} = \frac{\kappa}{\beta} \left\{ e^{-\beta(\phi_{2}-\phi_{1})} - e^{-2\beta(\phi_{2}-\phi_{1})} \right\},$$
  

$$F_{N} = -\frac{\kappa}{\beta} \left\{ e^{-\beta(\phi_{N}-\phi_{N-1})} - e^{-2\beta(\phi_{N}-\phi_{N-1})} \right\}.$$



## **Problem Formulation**

• Open-loop stability of the system without external force:

$$\ddot{\phi}_i + \gamma \dot{\phi}_i + \sin(\phi_i) = F_i$$

• Tracking control using accessible variables:  $\ddot{\phi}_i + \gamma \dot{\phi}_i + \sin(\phi_i) = F_i + u(t)$ 

Design a feedback control law

$$u(t) = u(v_{target}, v_{cm}, \phi_{cm}),$$

where  $v_{target}$  is a positive constant, such that  $v_{cm}$  tracks  $v_{target}$ , and the tracking error tends to zero as t tends to  $\infty$ .



## **Problem Formulation**

• Accessible variables (average quantities):

The velocity of the center of mass:

$$v_{cm} = \frac{1}{N} \sum_{i=1}^{N} \dot{\phi}_i,$$

The phase of the center of mass:

$$\phi_{cm} = \frac{1}{N} \sum_{i=1}^{N} \phi_i.$$



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#### **Open-Loop Stability**

$$\ddot{\phi}_i + \gamma \dot{\phi}_i + \sin(\phi_i) = F_i$$

• State-space representation:

$$\dot{x}_{i1} = x_{i2}$$
  
 $\dot{x}_{i2} = -\sin x_{i1} - \gamma x_{i2} + F_i$ 

where F<sub>i</sub> has two different forms:

- Linear: 
$$F_i = \kappa (\phi_{i+1} - 2\phi_i + \phi_{i-1})$$

- Nonlinear: 
$$F_i = \frac{\kappa}{\beta} \left\{ e^{-\beta(\phi_{i+1}-\phi_i)} - e^{-2\beta(\phi_{i+1}-\phi_i)} \right\}$$
  
$$-\frac{\kappa}{\beta} \left\{ e^{-\beta(\phi_i-\phi_{i-1})} - e^{-2\beta(\phi_i-\phi_{i-1})} \right\}$$

## **Open-Loop Stability**

$$\dot{x}_{i1} = x_{i2}$$
  
 $\dot{x}_{i2} = -\sin x_{i1} - \gamma x_{i2} + F_i$ 

#### Pendulum equation

Equilibrium points of the pendulum equations are at  $k\pi$ 

 $2k\pi$  are stable equilibrium  $(2k+1)\pi$  are unstable equilibrium (saddle points)



θ

## The Equilibrium Points

- For nonlinear system x = f(x), the equilibrium points are obtained by f(x\*)=0
- In the case of linear particle interaction, the equilibrium is at (x<sub>i1</sub>,x<sub>i2</sub>)=(x<sub>i1</sub>\*,0),where x<sub>i1</sub>\* are solutions to

$$-\sin x_{11}^* + \kappa (x_{21}^* - x_{11}^*) = 0,$$
  

$$-\sin x_{i1}^* + \kappa (x_{i+1,1}^* - 2x_{i1}^* + x_{i-1,1}^*) = 0,$$
  

$$i = 2, \dots, N - 1,$$
  

$$-\sin x_{N1}^* + \kappa (x_{N-1,1}^* - x_{N1}^*) = 0$$



- An example system: N=3,  $\kappa$ =0.26,  $\gamma$ =0.1
- The system may have infinite number of equilibrium points
- Two sets of equilibrium points are at:

- Set 1:

 $(\phi_1, \dot{\phi}_1, \phi_2, \dot{\phi}_2, \phi_3, \dot{\phi}_3) = (0.19, 0, 0.93, 0, 4.77, 0)$ 

- Set 2:

 $(\phi_1, \dot{\phi}_1, \phi_2, \dot{\phi}_2, \phi_3, \dot{\phi}_3) = (0.69, 0, 3.14, 0, 5.59, 0)$ 



### **Matlab Simulation**



The first set of equilibrium points is stable  $(\phi_1, \dot{\phi}_1, \phi_2, \dot{\phi}_2, \phi_3, \dot{\phi}_3) = (0.19, 0, 0.93, 0, 4.77, 0)$ 



## **Matlab Simulation**



The second set of equilibrium points is unstable

 $(\phi_1, \dot{\phi}_1, \phi_2, \dot{\phi}_2, \phi_3, \dot{\phi}_3) = (0.69, 0, 3.14, 0, 5.59, 0)$ 



## The Equilibrium Points

• In the case of nonlinear particle interaction, the equilibrium is at  $(x_{i1}, x_{i2}) = (x_{i1}^*, 0)$ , where  $x_{i1}^*$  are solutions to

$$-\sin x_{11}^* + \frac{\kappa}{\beta} \left\{ e^{-\beta(x_{21}^* - x_{11}^*)} - e^{-2\beta(x_{21}^* - x_{11}^*)} \right\} = 0,$$
  

$$-\sin x_{i1}^* + \frac{\kappa}{\beta} \left\{ e^{-\beta(x_{i+1,1}^* - x_{i1}^*)} - e^{-2\beta(x_{i+1,1}^* - x_{i1}^*)} \right\}$$
  

$$-\frac{\kappa}{\beta} \left\{ e^{-\beta(x_{i1}^* - x_{i-1,1}^*)} - e^{-2\beta(x_{i1}^* - x_{i-1,1}^*)} \right\} = 0, i = 2, \dots, N - 1,$$
  

$$-\sin x_{N1}^* - \frac{\kappa}{\beta} \left\{ e^{-\beta(x_{N1}^* - x_{N-1,1}^*)} - e^{-2\beta(x_{N1}^* - x_{N-1,1}^*)} \right\} = 0$$



- An example system: N=3,  $\kappa$ =0.26,  $\gamma$ =0.1, $\beta$ =1
- The system may have infinite number of equilibrium points
- Two sets of equilibrium points are at:

- Set 1:

 $(\phi_1, \dot{\phi}_1, \phi_2, \dot{\phi}_2, \phi_3, \dot{\phi}_3) = (0.0001, 0, 0.0004, 0, 6.28, 0)$ 

- Set 2:

 $(\phi_1, \dot{\phi}_1, \phi_2, \dot{\phi}_2, \phi_3, \dot{\phi}_3) = (0.01, 0, 3.14, 0, 6.27, 0)$ 



### **Matlab Simulation**



The first set of equilibrium points is stable  $(\phi_1, \dot{\phi}_1, \phi_2, \dot{\phi}_2, \phi_3, \dot{\phi}_3) = (0.0001, 0, 0.0004, 0, 6.28, 0)$ 



## **Matlab Simulation**



The second set of equilibrium points is unstable

 $(\phi_1, \dot{\phi}_1, \phi_2, \dot{\phi}_2, \phi_3, \dot{\phi}_3) = (0.01, 0, 3.14, 0, 6.27, 0)$ 



## Given a set of equilibrium points, how to tell its stability without doing simulations?



 Linearize around equilibrium (x<sub>i1</sub><sup>\*</sup>,0), and define new states z<sub>i1</sub>=x<sub>i1</sub>-x<sub>i1</sub><sup>\*</sup>, z<sub>i2</sub>=x<sub>i2</sub> we have

$$\dot{z}_{i1} = z_{i2}$$

$$\dot{z}_{i2} = -\cos x_{i1}^* z_{i1} - \gamma z_{i2} + \kappa (z_{i+1,1} - 2z_{i1} + z_{i-1,1})$$

$$-\sin x_{i1}^* + \kappa (x_{i+1,1}^* - 2x_{i1}^* + x_{i-1,1}^*) = 0$$

$$= -\cos x_{i1}^* z_{i1} - \gamma z_{i2} + \kappa (z_{i+1,1} - 2z_{i1} + z_{i-1,1})$$



• Stacking the equations for i=1,2,...,N:

$$\dot{z} = Az + BFz$$

$$A = I_N \otimes A_i, B = I_N \otimes B_i, F = Q \otimes \begin{bmatrix} 1 & 0 \end{bmatrix},$$

$$A_i = \begin{bmatrix} 0 & 1 \\ 0 & -\gamma \end{bmatrix}, B_i = \begin{bmatrix} 0 \\ 1 \end{bmatrix},$$

$$Q = \begin{bmatrix} -\kappa - \cos x_{11}^* & \kappa & 0 & \dots & 0 \\ \kappa & -2\kappa - \cos x_{21}^* & \kappa & 0 & \dots \\ & \vdots & & \\ 0 & \dots & \kappa & -2\kappa - \cos x_{N-1,1}^* & \kappa \\ 0 & \dots & 0 & \kappa & -\kappa - \cos x_{N1}^* \end{bmatrix}$$



• Theorem 1:

The open-loop system with linear particle interaction is locally asymptotically stable at the equilibrium points  $(x_{i1}^*, 0)$  if all of the eigenvalues of the matrix Q have negative real parts; it is unstable if any of the eigenvalues of the matrix Q has a positive real part.



- Particularly, we have the following cases:
- 1. If  $\cos x_{i1}^* \ge 0$  for all *i* with strict sign for at least one *i*, *Q* is Hurwitz and the system is asymptotically stable;
- 2. If  $\cos x_{i1}^* = 0$  for all *i*, *Q* has one (and only one) eigenvalue 0. The linearized system is marginally stable and the stability of the original nonlinear system could be either stable or unstable;
- 3. If  $\cos x_{i1}^* \leq 0$  for all *i* with strict sign for at least one *i*, *Q* has at least one positive eigenvalue. The system is unstable;
- 4. If  $\cos x_{i1}^*$ , i = 1, ..., N have mixed signs, the system could be either stable or unstable and numerical calculations is necessary to determine the sign of the real parts of the eigenvalues of Q.



- Special cases:
  - $2k\pi$  are stable equilibrium
  - $(2k+1)\pi$  are unstable equilibrium

Y. Guo, Z. Qu, and Z. Zhang, "Lyapunov stability and precise control of the frictional dynamics of a one-dimensional particle array", Physical Review B, Vol. 73, No. 9, 2006.



#### • Outline of proof:

Define a similarity transformation  $z = \overline{T}\zeta$ . In the new coordinate, the system dynamics is  $\dot{\zeta} = H\zeta$ .

Since Q is a real symmetric matrix, there exists a unitary matrix T such that  $T^{-1}QT = D$  where D is a diagonal matrix of eigenvalues of Q. Let the transformation matrix be

$$\overline{T} = T \otimes I_2 \tag{1}$$

where  $I_2$  is the 2 × 2 identity matrix. We can obtain  $H = diag H_{ii}$  and

$$H_{ii} = \begin{bmatrix} 0 & 1 \\ \alpha_i & -\gamma \end{bmatrix},$$

where  $\alpha_i, i = 1, 2, ..., N$  are eigenvalues of Q.

The sign of  $\alpha_i$  determines whether the eigenvalues of  $H_{ii}$  have negative real parts at the equilibrium point.



- Checking the two simulation examples:
  - Set 1:  $(\phi_1, \dot{\phi}_1, \phi_2, \dot{\phi}_2, \phi_3, \dot{\phi}_3) = (0.19, 0, 0.93, 0, 4.77, 0)$ cos(0.19)>,cos(0.93)>0,cos(4.77)>0, case 1, asymptotically stable;
  - Set 2:  $(\phi_1, \dot{\phi}_1, \phi_2, \dot{\phi}_2, \phi_3, \dot{\phi}_3) = (0.69, 0, 3.14, 0, 5.59, 0)$ cos(0.69)>0,cos(3.14)<0,cos(5.59)>0, case 4, check eigenvalues of Q, →unstable system.

$$Q = eig(Q) =$$

-1.0312	0.2600	0	-1.1150
0.2600	0.4800	0.2600	-1.0302
0	0.2600	-1.0292	0.5648



• Recall that the equilibrium points are at  $(x_{i1}, x_{i2}) = (x_{i1}^*, 0)$ , where  $x_{i1}^*$  are solutions to

$$-\sin x_{11}^* + \frac{\kappa}{\beta} \left\{ e^{-\beta(x_{21}^* - x_{11}^*)} - e^{-2\beta(x_{21}^* - x_{11}^*)} \right\} = 0,$$
  
$$-\sin x_{i1}^* + \frac{\kappa}{\beta} \left\{ e^{-\beta(x_{i+1,1}^* - x_{i1}^*)} - e^{-2\beta(x_{i+1,1}^* - x_{i1}^*)} \right\}$$
  
$$-\frac{\kappa}{\beta} \left\{ e^{-\beta(x_{i1}^* - x_{i-1,1}^*)} - e^{-2\beta(x_{i1}^* - x_{i-1,1}^*)} \right\} = 0, i = 2, \dots, N - 1,$$
  
$$-\sin x_{N1}^* - \frac{\kappa}{\beta} \left\{ e^{-\beta(x_{N1}^* - x_{N-1,1}^*)} - e^{-2\beta(x_{N1}^* - x_{N-1,1}^*)} \right\} = 0$$



 Linearize the system around its equilibrium (x<sub>i1</sub><sup>\*</sup>,0), and define new states z<sub>i1</sub>=x<sub>i1</sub>-x<sub>i1</sub><sup>\*</sup>, z<sub>i2</sub>=x<sub>i2</sub> we have

$$\begin{aligned} \dot{z}_{i1} &= z_{i2} \\ \dot{z}_{i2} &= -\cos x_{i1}^* z_{i1} - \gamma z_{i2} \\ &+ \frac{\kappa}{\beta} \left[ -e^{-\beta(x_{i+1,1}^* - x_{i1}^*)} + 2e^{-2\beta(x_{i+1,1}^* - x_{i1}^*)} \right] (z_{i+1,1} - z_{i1}) \\ &- \frac{\kappa}{\beta} \left[ -e^{-\beta(x_{i,1}^* - x_{i-1,1}^*)} + 2e^{-2\beta(x_{i1}^* - x_{i-1,1}^*)} \right] (z_{i1} - z_{i-1,1}) \\ &\frac{def}{=} -\cos x_{i1}^* z_{i1} - \gamma z_{i2} + \frac{c_{i1}}{c_{i1}} (z_{i+1,1} - z_{i1}) \\ &- \frac{c_{i2}}{z_{i1} - z_{i-1,1}} \right] \\ \end{aligned}$$

• Notice the same structure as in the linear interaction case with different coupling coefficients



• Stacking the equations for i=1,2,...,N:

$$\dot{z} = Az + BFz$$

$$A = I_N \otimes A_i, B = I_N \otimes B_i, F = Q \otimes \begin{bmatrix} 1 & 0 \end{bmatrix},$$
$$A_i = \begin{bmatrix} 0 & 1 \\ 0 & -\gamma \end{bmatrix}, B_i = \begin{bmatrix} 0 \\ 1 \end{bmatrix},$$

$$Q = \begin{bmatrix} -c_{11} - \cos x_{11}^* & c_{11} & 0 & \cdots & 0\\ c_{21} & -(c_{21} + c_{22} + \cos x_{21}^*) & c_{22} & 0 & \cdots \\ & \vdots & & & \vdots \\ 0 & & \cdots & c_{N-1,1} & -(c_{N-1,1} + c_{N-1,2} + \cos x_{N-1,1}^*) & c_{N-1,2} \\ 0 & & \cdots & 0 & c_{N2} & -c_{N2} - \cos x_{N1}^* \end{bmatrix}$$



• Theorem 2:

The stability of the nonlinear system is locally asymptotically stable at the equilibrium points  $(x_{i1}^{*}, 0)$  if all of the eigenvalues of the matrix Q have negative real parts; it is unstable if any of the eigenvalues of the matrix Q has a positive real part.



• Checking the two simulation examples: - Set 1: $(\phi_1, \dot{\phi}_1, \phi_2, \dot{\phi}_2, \phi_3, \dot{\phi}_3) = (0.0001, 0, 0.0004, 0, 6.28, 0)$ 

> Q = eig(Q) = -1.2598 0.2598 0 -1.2595 -0.0005 -1.2593 0.2598 -1.0000 0 0.5195 -1.5195 -1.7790

→ asymptotically stable; - Set 2:  $(\phi_1, \dot{\phi}_1, \phi_2, \dot{\phi}_2, \phi_3, \dot{\phi}_3) = (0.01, 0, 3.14, 0, 6.27, 0)$ 

> Q = eig(Q) = -0.9896 -0.0104 0 -0.9896 -0.0104 1.0207 -0.0104 1.0187 0 0.5086 -1.5085 -1.5065

unstable system.



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• Design feedback control u(t) such that  $\dot{\phi}_i$  tracks a constant targeted velocity,  $V_{t \arg et}$ 

$$\ddot{\phi}_i + \gamma \dot{\phi}_i + \sin(\phi_i) = \kappa \left(\phi_{i+1} - 2\phi_i + \phi_{i-1}\right) + u(t)$$



• Define average error states:

 $e_{1av} = \phi_{cm} - v_{target}t, e_{2av} = v_{cm} - v_{target},$ 

• State-space model:

$$\dot{e}_{1av} = e_{2av}$$
  
$$\dot{e}_{2av} = -\frac{1}{N} \sum_{i=1}^{N} \sin(e_{i1} + v_{target}t) - \gamma(e_{2av} + v_{target})$$
  
$$+u(t)$$



• Theorem 3:

The following feedback control law renders the error states of the closed-loop system bounded:

$$u(t) = \gamma v_{target} - e_{1av} - (c_1 - \gamma)e_{2av}$$
  
-(c\_1 + c\_2)\xi + \sin(v\_{target}t)  
= \gamma v\_{target} - k\_1 \overline{\phi\_{cm}} - v\_{target}t)  
-k\_2 (v\_{cm} - v\_{target}) + \sin(v\_{target}t)  
Average quantities



- Outline of proof:
  - Choose Lyapunov function candidate:

$$W = \frac{1}{2}e_{1av}^2 + \frac{1}{2}(c_1e_{1av} + e_{2av})^2$$

- Along the closed-loop dynamics, we have:

$$\dot{W} \leq -c_1(e_{1av}^2 + \xi^2) + \frac{1}{c_2}$$

where where  $\xi = c_1 e_{1av} + e_{2av}$ 



– We obtain:

$$\dot{W}(e_{av}) \le 0, \qquad \forall \|(e_{1av},\xi)\| \ge \frac{1}{\sqrt{c_1 c_2}}$$

– The ultimate bound of  $||e_{av}||$  is:

$$b = \sqrt{\frac{\lambda_{max}(P)}{c_1 c_2 \lambda_{min}^2(P)}} \quad \text{where} \quad P = \begin{bmatrix} 1 + c_1^2 & c_1 \\ c_1 & 1 \end{bmatrix}$$

- This indicates that by choosing  $c_1$ ,  $c_2$  appropriately, the error states can be made arbitrarily close to zero.



• To achieve asymptotically tracking, the following switching-type control law can be used:

$$u(t) = \gamma v_{target} - k_1(\phi_{cm} - v_{target}t) \\ -k_2 (v_{cm} - v_{target}) + \sin(v_{target}t) - 2sgn(\xi)$$

switching



#### **Matlab Simulation**





#### However, individual particles are not necessarily stable in the closed-loop system under average control!!



## **Single Particle Dynamics**



The phase variable of individual particles

The velocity variable of individual particles



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### Stability of Single Particles in the Closed-Loop System

• Define error states of individual particles:

 $e_{i1} = \phi_i - v_{target}t, \qquad e_{i2} = \dot{\phi}_i - v_{target}$ 

• Representing error dynamics:

$$\begin{array}{rcl}
e_{i1} &=& e_{i2} \\
\dot{e}_{i2} &=& -\gamma e_{i2} + \kappa \left( e_{i+1,1} - 2e_{i1} + e_{i-1,1} \right) - \bar{k}_1 \left( \sum_{i=1}^N e_{i1} \right) - \bar{k}_2 \left( \sum_{i=1}^N e_{i2} \right) \\
&+ \left[ \sin(v_{target}t) - \sin(e_{i1} + v_{target}t) \right] \\
\end{array}$$
Average control



#### • Theorem 4:

For system parameters  $\gamma$  and  $\kappa$  that satisfy

$$\kappa > \frac{1}{\min_{i \le N-1}(\mu_i)},$$
  
$$\gamma > \frac{1}{\sqrt{\min_{i \le N-1}(\mu_i)\kappa - 1}}$$

where  $\mu_i, i = 1, ..., N - 1$  are the positive eigenvalues of the matrix (-Q), the average control asymptotically stabilize the error system if  $k_1$  and  $k_2$  are chosen to satisfy

$$k_1 \ge \kappa \min_{i \le N-1}(\mu_i), \qquad k_2 \ge 0.$$



# Single Particle Dynamics

 This indicates that under certain conditions on system parameters (γ, κ), single particles can be stabilized under the average control, *i.e.*, the error system of individual particles is asymptotically stable.



• Outline of proof:

We re-present the error system in the following form:

$$\dot{E} = GE + f(e,t)$$

We show that under the transformation matrix  $T = V \otimes I_2$ , we have

$$T^{-1}GT = \mathrm{d}iagC_i.$$

Using the Lyapunov function

$$W(t,e) = E^T H E = E^T T P T^{-1} E = E^T (I_N \otimes P_i) E$$

we obtain

$$\dot{W}(t,e) = E^T(\mathrm{d}iagS_i)E$$

We showed that under conditions on  $\gamma, \kappa$ , the stability margin of the linear part of the system dominates the nonlinear part.



#### **Simulation Results**



Tracking control of the average system (a) the velocity of the center of mass, (b) the control.



#### **Simulation Results**



Error states for individual particles in the closed-loop system (a) the phase variables, (b) the velocity variables.



## Conclusions

- Motivated by friction control at the nanoscale, we considered the stability and tracking control of the nonlinear interconnected system represented by the FK-model
- Control theoretical methods are used to analyze the stability of open-loop system, and to design tracking control law utilizing average quantities only
- Matlab simulations verified theoretical results



## Future Research (Other Applications)

 Directed motion is induced by breaking the symmetry of particle interactions 
 molecular car



M. Porto, M. Urbakh, and J. Klafter. Atomic scale engines: Cars and wheels. Physical Review Letters, 84(26):6058–6061, 2000.



## **Future Research**

- Control theoretical methods can be applied to generate analytic results for precise control of the "molecular car"
- But the real challenge is how to implement it?
- A "molecular highway" in the future?



# Thank you for listening!



