

A Comprehensive Theoretical Investigation of Intramolecular Proton Transfer in the Excited States for Some Newly-designed Diphenylethylene Derivatives Bearing 2-(2-Hydroxy-Phenyl)-Benzotriazole Part

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Abstract This article presents a comprehensive theoretical investigation of excited state intramolecular proton transfer (ESIPT) for some newly-designed diphenylethylene derivatives containing 2-(2-hydroxy-phenyl)-benzotriazole moiety with various substituted groups. The calculation shows the structural parameters and Mulliken charges of phototautomers enol (E) and keto (K) of these compounds exhibit no or tiny changes from S_0 to S_1 . The calculated results suggest that HOMO and LUMO + 1 of the compounds displays excellent overlapping nature, and thus the absorption and emission could be from the electron transition of HOMO→LUMO + 1. The electron density distribution in the frontier orbital of E and K are influenced remarkably by various substituted groups in S_0 and S_1 states. Electron density distribution deficiency in 2-(2-hydroxy-phenyl)-benzotriazole part is observed in L + 1 for these derivatives. The calculation also suggests the potential energy curves of ESIPT are shown to be a strong relationship with electron donor-acceptor groups. The absorption spectra, normal emission spectra and ESIPT spectra of the derivatives were also calculated.

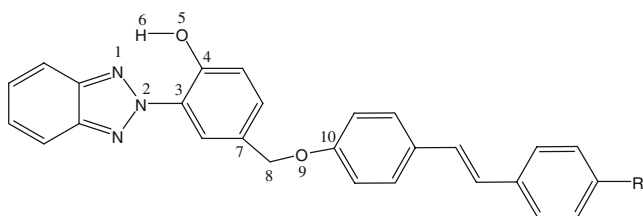
Keywords ESIPT · Energy level curve · 2-(2-Hydroxy-phenyl)-benzotriazole · Chromophore · Electron donor-acceptor groups

Introduction

ESIPT is a significantly important phenomenon in chemical and biological systems, for example phototautomerization occurs in DNA base pair [1, 2], and it attracts numerous experimental and theoretical interests [3–8]. Generally, enol (E)—keto (K) phototautomerism takes place mainly via five- [9], six- [10], or rarely seven-member [11] quasi transition state in the excited state of ESIPT molecule, and so dual fluorescence bands could be observed normally as the absorption is from $E \rightarrow E^*$ and emission is from $K^* \rightarrow K$. Hence, the second emission band is characterized with huge Stokes red-shift, which has been found in a wide range of applied fields, such as photochromic dyes [12], laser dyes [13], fluorescent probes [14], sensors [15], organic electroluminescence optical materials [16] and so on [17]. Consequently, this inspires scientists to search for various ESIPT organic compounds. ESIPT depends on the energy level changes of $E^* \rightarrow K^*$, and only small energy barrier or even barrierless is allowed. This could be the major reason why the most ESIPT molecules reported were characterized with small molecular sizes.

We propose herein that it could be an efficient strategy to develop new large size ESIPT molecules if ESIPT moiety is attached to chromophore group via covalent bond. If ESIPT is correlated to chromophore part, the potential energy curves of the internal proton transfer could be tuned by the variation of chromophore part. This means that the variation of electron donor or acceptor groups in chromophore part could be employed to tune the potential energy curves of ESIPT. To our limited knowledge, no detail theoretical investigation has been performed for such large organic

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C1: R: H, C2: R: F, C3: N(CH₃)₂, C4: R: N(Ph)₂

Fig. 1 Chemical structures of diphenylethylene derivatives containing 2-(2-hydroxy-phenyl)-benzotriazole derivatives **C1** to **C4**

compounds because the complicated and time-exhausting computation is always a huge challenge.

In order to reveal the interrelationship between the chromophore part and ESIPT in theory, **C1**–**C4** (Fig. 1) were newly designed by the covalent linkage of 2-(2-hydroxy-phenyl)-benzotriazole and diphenylethylene part containing various electron donor or acceptor groups (H, F, dimethylamino, diphenylamino). We have two main reasons to investigate ESIPT of such derivatives in theory: (1) 2-(2-hydroxy-phenyl)-benzotriazole could undergo

ESIPT easily via energy barrierless [18]. Hence, such molecules could act as excellent models to survey the effect of chromophore part on the internal proton transfer path in the excited states. (2) the emission of the derivatives could be enhanced by chromophore part. Of particular interests of this article is trying to understand theoretically the effect of electron donor or acceptor in chromophore part on ESIPT. The calculation would give the guidance to develop new various large ESIPT molecules.

Calculation Method

The calculations were performed by means of the Gaussian 03 program package [19]. The geometry optimization of phototautomers (E and K) in the ground electronic state (S_0) was carried out with HF (Hartree-Fock) method and at DFT (density functional theory) level using the B3LYP method both [20–22], while CIS has been employed to optimize the geometries of S_1 state of the phototautomers of **C1** to **C4** (Fig. 1).

Table 1 Main structural parameters of phototautomers of **C1**, **C2**, **C3** and **C4**

Parameters	E_0	E	E^*	K^*	E_0	E	E^*	K^*
	C1				C2			
N ₁ –N ₂	1.370	1.330	1.330	1.375	1.369	1.330	1.330	1.375
N ₂ –C ₃	1.421	1.421	1.420	1.383	1.421	1.421	1.420	1.382
C ₃ –C ₄	1.414	1.391	1.391	1.459	1.414	1.391	1.391	1.460
C ₄ –O ₅	1.368	1.361	1.360	1.268	1.368	1.360	1.360	1.268
O ₅ –H ₆	1.001	0.958	0.958	1.841	1.001	0.958	0.958	1.838
N ₁ –H ₆	1.731	1.898	1.897	1.007	1.731	1.897	1.897	1.005
N ₁ –O ₅	2.599	2.668	2.667	2.595	2.600	2.667	2.667	2.703
N ₁ –H ₆ –O ₅	142.78	135.61	135.60	128.91	142.76	135.61	135.56	129.07
N ₁ –N ₂ –C ₃ –C ₄	0.34	0.77	0.82	–19.27	0.31	0.72	0.81	17.40
C ₃ –C ₄ –O ₅ –H ₆	–0.42	–0.81	–0.85	13.58	–0.38	–0.76	–0.83	–12.39
C ₇ –C ₈ –O ₉ –C ₁₀	177.25	178.84	178.71	–179.23	177.27	178.88	178.66	–179.83
	C3				C4			
N ₁ –N ₂	1.369	1.330	1.330	1.378	1.369	1.330	1.330	1.375
N ₂ –C ₃	1.421	1.421	1.421	1.384	1.421	1.421	1.421	1.383
C ₃ –C ₄	1.424	1.391	1.392	1.459	1.414	1.391	1.391	1.459
C ₄ –O ₅	1.369	1.361	1.361	1.268	1.368	1.361	1.361	1.268
O ₅ –H ₆	1.001	0.958	0.958	1.844	1.001	0.958	0.958	1.841
N ₁ –H ₆	1.732	1.898	1.897	1.008	1.733	1.898	1.897	1.007
N ₁ –O ₅	2.600	2.668	2.668	2.597	2.601	2.668	2.668	2.595
N ₁ –H ₆ –O ₅	142.77	135.63	135.65	128.82	142.72	135.61	135.63	128.92
N ₁ –N ₂ –C ₃ –C ₄	0.18	0.77	0.77	–20.53	0.26	0.77	0.79	–19.25
C ₃ –C ₄ –O ₅ –H ₆	–0.37	178.80	178.52	–179.20	–0.43	178.83	178.45	–179.21
C ₇ –C ₈ –O ₉ –C ₁₀	176.73	–178.88	–175.15	–178.90	178.04	–179.17	180.00	–179.07

Bond lengths and angle in Angstroms and Degree

E_0 calculated with DFT/6-31G, E calculated with HF/6-31G, E^* , K^* calculated with CIS/6-31G

Fig. 2 Electron cloud density distribution of the frontier orbitals of phototautomers of C1 to C4

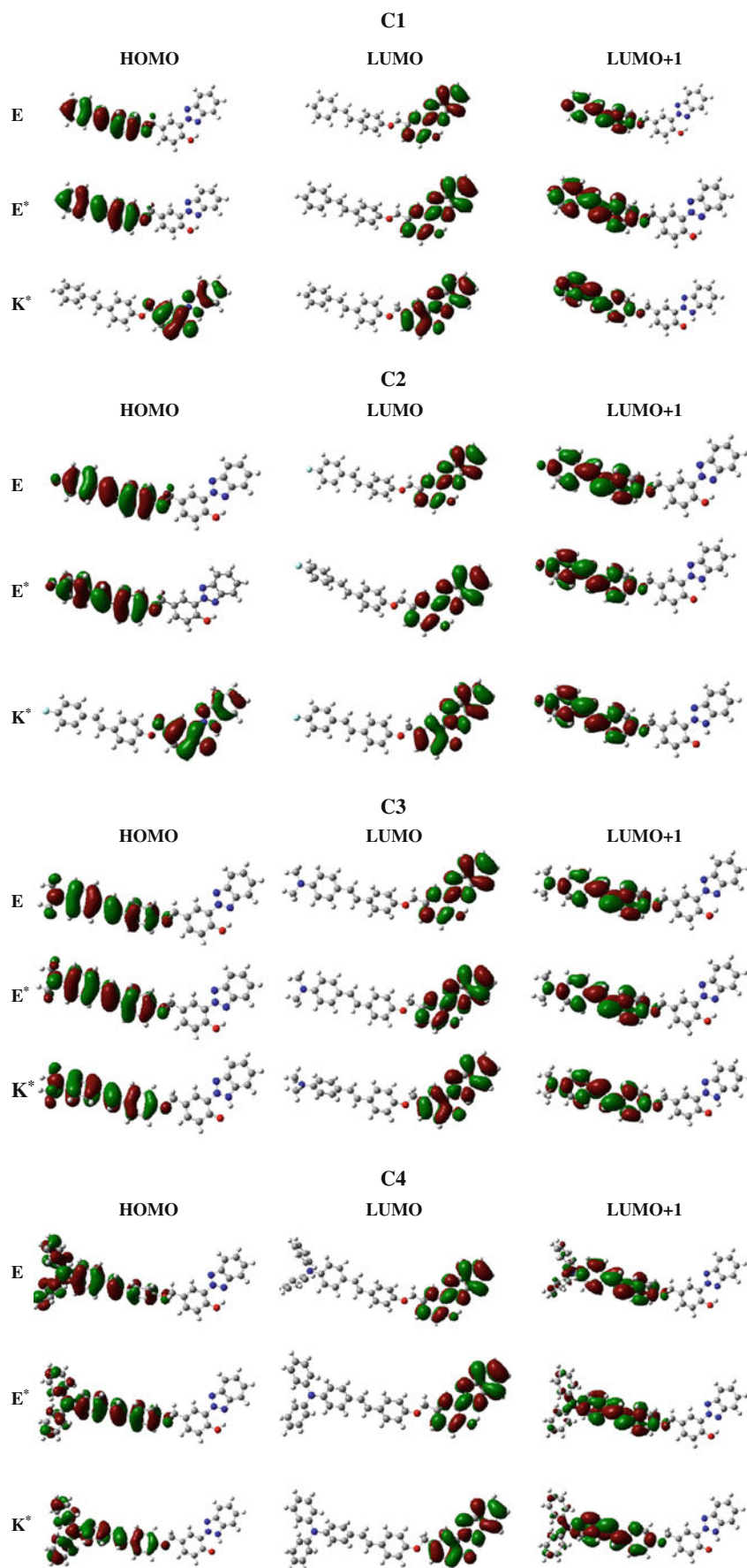


Table 2 Mulliken charge population for the active atoms of phototautomers of **C1** to **C4**

Compounds	Phototautomers	N ₁ /e	O ₅ /e	H ₆ /e
C1	E	-0.466	-0.570	0.335
	E*	-0.467	-0.569	0.335
	K*	-0.431	-0.644	0.320
C2	E	-0.466	-0.570	0.335
	E*	-0.467	-0.569	0.335
	K*	-0.432	-0.644	0.320
C3	E	-0.466	-0.571	0.334
	E*	-0.466	-0.571	0.334
	K*	-0.430	-0.645	0.320
C4	E	-0.370	-0.806	0.480
	E*	-0.370	-0.806	0.480
	K*	-0.637	-0.793	0.503

Although CIS method could produce reliable geometry and force-field, it predicts too high excitation energy (by *ca.* 1 eV) [23]. In order to correct the errors and introduce the dynamic electron correlation, DFT and TDDFT (Time-resolved DFT) were performed to calculate the energies of the HF and CIS optimized geometries in S_0 and S_1 state respectively, such as DFT//HF or TDDFT//CIS (denoted as single-point calculation//optimization method). TDDFT//HF and TDDFT//DFT were employed to calculate the absorption spectra, and Franck-Condon progression was calculated by TDDFT. TDDFT//CIS was used to analyze the energies and fluorescence spectra of the phototautomers. The calculated absorption spectra, normal fluorescence spectra of the normal emission and “abnormal” fluorescence spectra of tautomer species emission of each compound were obtained with the Lorenz broadening of the anterior twenty excitation energies and corresponding oscillator strengths with Swizard program [24, 25]. The peak wavelength of the spectrum is equal to the corresponding singlet-singlet strongest transition energy. The values of absorption refer to the vertical transition from the S_0 states to the Franck-Condon S_1 states, while the value from the S_1 states to the corresponding Franck-Condon S_0 state yields an assignment to fluorescence [26].

Results and Discussion

Structural Parameters and Mulliken Charge

Normally the molecular structure of a ESIPT exhibits large change as excitation. This means that the structural parameter changes of E and K in S_0 and S_1 could be employed to determine internal proton transfer in the excited

Table 3 Dipole moment changes of the phototautomers of **C1** to **C4** during ESIPT

Compounds	E/Debye	E*/Debye	K*/Debye
C1	3.5310	3.5467	7.6134
C2	4.6885	4.8772	8.8682
C3	4.4019	4.7216	7.2821
C4	3.5456	3.5508	7.5122

state. We feel some surprised that the stable structure of K forms of the derivatives could not be obtained in S_0 . In contrast, 2-(2-hydroxy-phenyl)-benzotriazole exhibits the stable K form in S_0 [18]. This indicates that the molecular size does have influence on ESIPT. CIS method in the excited state is equivalent to HF method in the ground state, hence, the results from CIS and HF are compared particularly herein. It is generally accepted that O–H distance will be enlarged and N–H distance will be reduced in the excited state of E form if ESIPT occurs. However, Table 1 shows that O5–H6 and N1–H6 distances of the phototautomers of the derivatives in S_0 and S_1 exhibit no change or very tiny change from E to E*. This indicates that ESIPT of the derivatives could be inhibited by the enhanced molecular size.

Frontier Orbital and Electronic Transition

The electron cloud density in the frontier orbital of E and E* is presented in Fig. 2. An π symmetry in HOMO, LUMO and LUMO + 1 orbital of the derivatives suggests that the absorption and normal emission spectra of **C1**–**C4** is original from (π , π^*) electron transition. Figure 2 shows that the electron cloud density in HOMO orbital of E and E* is distributed mainly in chromophore part, and it locates mainly in 2-(2-hydroxy-phenyl)-benzotriazole segment in LUMO orbital. In contrast, the major electron cloud density

Table 4 Main peaks of the absorption and normal emission spectra (λ), oscillator strengths (f) and the excitation weightages of the derivatives **C1** to **C4**

Compounds	Absorption			Normal emission		
	λ /nm	f	Composition	λ /nm	f	Composition
C1	306.3	1.1787	H-0→L + 1 (+80%)	375.1	1.3770	H-0→L + 1 (+72%)
C2	306.1	1.1712	H-0→L + 1 (+80%)	378.1	1.3395	H-0→L + 1 (+72%)
C3	336.3	1.4417	H-0→L + 1 (+67%)	398.4	1.6054	H-0→L + 1 (+74%)
C4	367.9	1.1870	H-0→L + 1 (+88%)	429.3	1.6664	H-0→L + 1 (+77%)

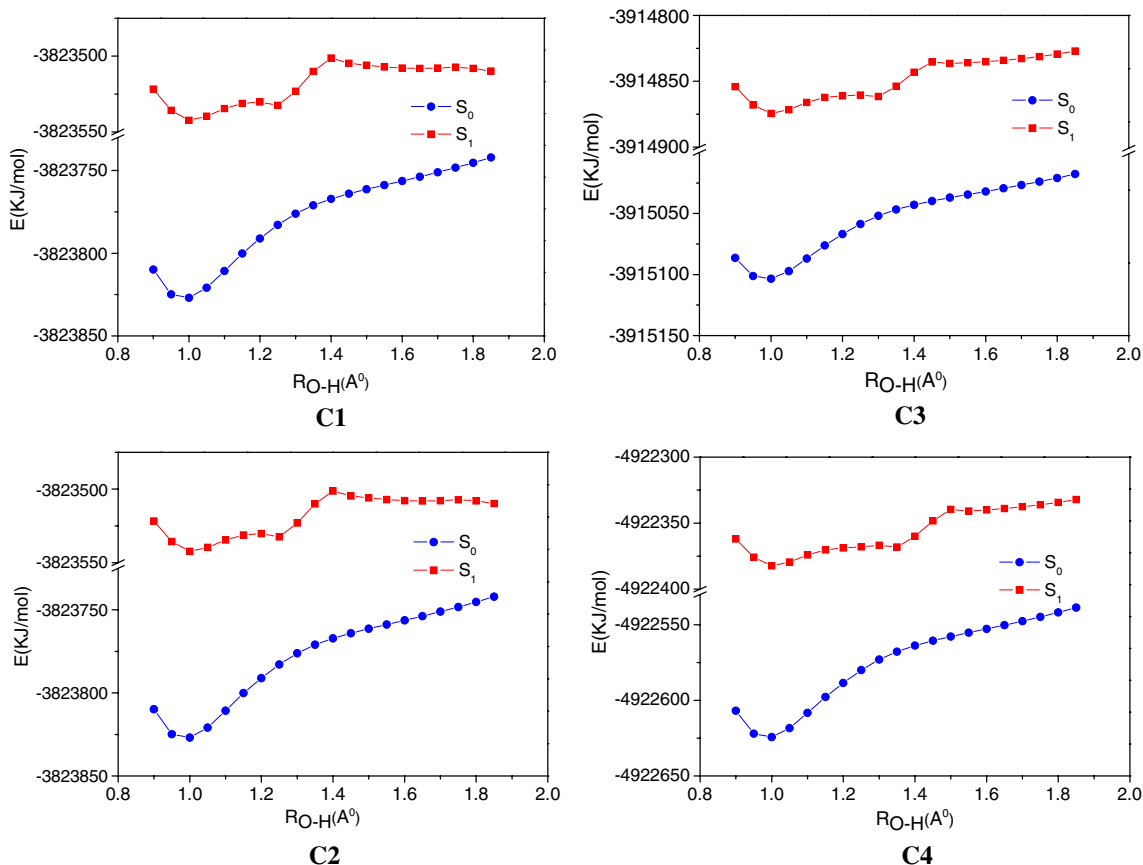
Table 5 Energy levels of HOMO, LUMO, LUMO + 1 in the derivatives C1 to C4

		HOMO	LUMO	LUMO + 1	$\Delta E_{\text{HOMO-LUMO/ev}}$	$\Delta E_{\text{HOMO-LUMO+1/ev}}$
C1	E	-5.3512	-1.8664	-1.0354	-3.4848	-4.3158
	E*	-4.8584	-1.8947	-1.5323	-2.9637	-3.3261
	K*	-4.9892	-2.6025	-1.0052	-2.3867	-3.9840
C2	E	-5.4094	-1.8877	-1.0893	-3.5217	-4.3201
	E*	-4.8965	-1.9152	-1.5938	-2.9813	-3.3027
	K*	-5.0181	-2.6139	-1.0613	-2.4042	-3.9568
C3	E	-4.6336	-1.8096	-0.6588	-2.8240	-3.9748
	E*	-4.2623	-1.8030	-1.0841	-2.4593	-3.1782
	K*	-4.6075	-2.5503	-0.6291	-2.0572	-3.9784
C4	E	-4.8140	-1.8558	-1.0408	-2.9582	-3.7732
	E*	-4.4532	-1.8534	-1.4003	-2.5998	-3.0529
	K*	-4.7985	-2.5914	-1.0082	-2.2071	-3.7903

is distributed in chromophore part of LUMO + 1 orbital. The results indicate that the absorption and normal emission is characterized with internal charge transfer nature. It is obvious that the overlapping extent of HOMO/LUMO + 1 is larger than that of HOMO/LUMO.

Figure 2 shows that the electron density distribution mainly locates at chromophore part in K^* , and 2-(2-

hydroxy-phenyl)-benzotriazole segment has negligible electron cloud density distribution. This means that the internal proton transfer in the excited state is lack of enough original electron driving force. As a consequence, the possibility of internal proton transfer could be diminished in the excited state. This also explains why the structural parameters of these derivatives display small change as excitation.

**Fig. 3** Potential energy curves of the internal proton transfer with O–H distance ($R_{\text{O-H}}$) in S_0 and S_1 of C1–C4

We further calculated the Mulliken charge distribution of the atoms associated with ESIPT (N_1 , H_6 , O_5 , Fig. 1). For a typical ESIPT molecule, proton transfers from hydroxy to amino group as E is excited. This causes the enhancement of negative charge in proton-donor atom, and the increasing positive charge in proton-receptor atom. Consequently, the alkalinity of proton-donor is increased and the acidity of proton-receptor is increased during ESIPT. However, Table 2 shows that for **C3** and **C4**, the charges in the three atoms do not exhibit any change as E is excited to E^* , which is quite similar to the structural parameter changes. In contrast, the charges of O_5 and N_1 atoms show some changes for **C1** and **C2**, though it is small (0.001 eV). The data suggest that the possibilities of ESIPT occurrence could be small for all the derivatives. On the other hand, **C1** and **C2** could have a larger possibility to undergo ESIPT than **C3** and **C4**. This also interpret that **C1** and **C2** exhibits larger dipole moment changes than **C3** and **C4** from E^* to K^* (Table 3).

The data in Table 4 demonstrate further that the absorption of **C1–C4** is mainly from the electron transition of $HOMO \rightarrow LUMO + 1$ because such transition has larger oscillator strengths and higher excitation weightages than $HOMO \rightarrow LUMO$. As a result, the normal emission of **C1–C4** is from the electron decay of $LUMO + 1 \rightarrow HOMO$. The calculation also shows that the energy gaps of $HOMO-LUMO$ and $HOMO-LUMO + 1$ of **C1** and **C2** are greater than those of **C3** and **C4** respectively (Table 5). Consequently, the maximal absorption wavelength and normal emission wavelength of **C1** and **C2** are red-shifted to those of **C3** and **C4** respectively (Table 5).

Potential Energy Curves

Figure 3 shows the potential energy curves of the internal proton transfer with O–H distance (R_{O-H}) in S_0 and S_1 states. **C1–C4** exhibit a minimal energy position at 1.0 Å (R_{O-H}) in S_0 and S_1 , which represents the stable E form.

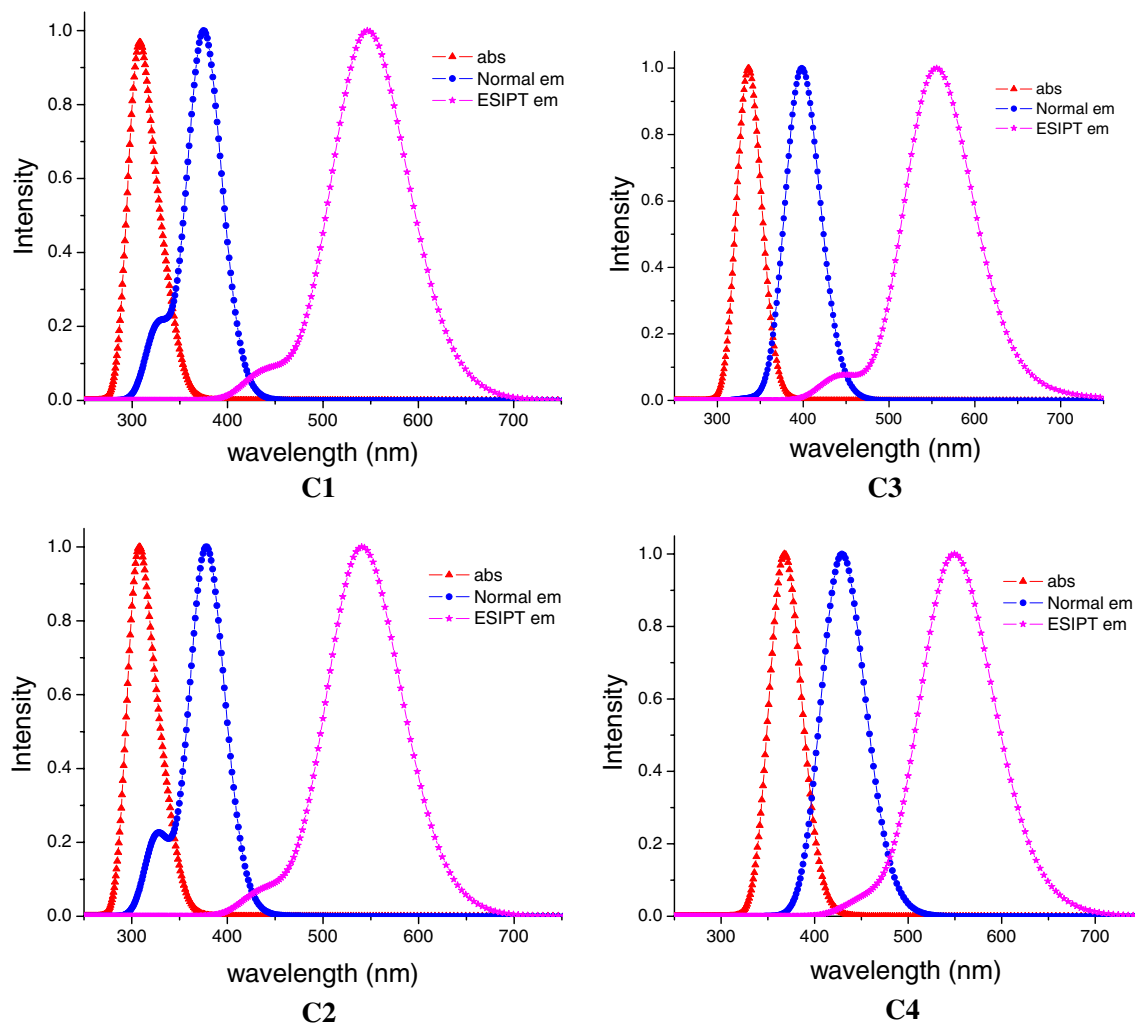


Fig. 4 Calculated absorption spectra, normal emission spectra, and ESIPT spectra of **C1** to **C4**

While, the energy keeps increasing with further extension of R_{O-H} in S_0 . In contrast, the energy barrier appears in S_1 of **C1–C4** as R_{O-H} is further increased. The results demonstrate that stable K form does not exist in the ground states of **C1–C4**, while it exists in the excited state. As discussed, the molecular geometry optimization also shows that no stable K form could be obtained. This suggests that **C1–C4** could not undergo internal proton transfer in the ground state.

Furthermore, the potential energy curves of **C1** and **C2** display remarkably different change tendency from those of **C3** and **C4** in S_1 . The energy of **C1** and **C2** tends to decrease while it passes through the energy barrier, while the energy of **C3** and **C4** keep increasing with R_{O-H} even as it gets over the energy barrier. The results demonstrate that the potential energy curves of ES IPT in **C1–C4** could be tuned by the variation of electron donor or acceptor group in chromophore part, and **C1** and **C2** could undergo ES IPT more easily than **C3** and **C4**.

In general, the relationship between ES IPT and its energy barrier has three different situations: (1) molecules can undergo ES IPT without a barrier between the normal tautomer (enol) and the proton transfer tautomer (keto), which have the energy order as ($E_{\text{enol}} < E_{\text{keto}} < (E_{\text{keto}}^* < E_{\text{enol}}^*)$); (2) ES IPT could occur with a barrier between enol and keto tautomers, which have the energy order is ($E_{\text{enol}} < E_{\text{keto}} < (E_{\text{keto}}^* \approx E_{\text{enol}}^*)$); (3) the energy order is ($E_{\text{enol}} < E_{\text{keto}} < (E_{\text{enol}}^* < E_{\text{keto}}^*)$), ES IPT cannot take place. In the present study, **C1–C4** exhibit remarkably large energy barrier (~ 40 KJ/mol), and $E^* \rightarrow K^*$ is a typical endothermic process. Hence, **C1–C4** could have small possibility to undergo ES IPT. As shown in Fig. 2, HOMO and LUMO electron densities are localized at different parts of the molecule. Even though the two moieties are connected through an oxo-bridge, the conjugated pi-electrons are separated at the two parts of the molecules. We assume that if two parts are connected with via C–C conjugated double bonds, the energy barriers of ES IPT could be decreased, and ES IPT could be easier to take place.

Figure 4 shows that ES IPT emission of **C1–C4** are red-shifted largely to those of normal emission. Furthermore, the red-shifts of **C3** and **C4** are smaller than those of **C1** and **C2**. This in turn indicates that it is more difficult for **C3** and **C4** to undergo ES IPT than for **C1** and **C2**.

Conclusions

The calculation of structural parameters, Mulliken charge and the electron density distribution of E and K in S_0 and S_1 suggests that it could be difficult to undergo ES IPT for these derivatives. The calculation demonstrates that the increased molecular size could play some negative role on

ES IPT. On the other hand, the derivatives with electron acceptor groups show greater chance to undergo ES IPT than the derivatives with electron donor groups. Electron density distribution demonstrates that the conjugated pi-electrons are separated by single oxo-bridge. This indicates that C–C double bridging bonds could be more beneficial for ES IPT. The calculation demonstrates if ES IPT occurs, the derivatives emit an obvious ES IPT fluorescence with large Stokes red-shift. The results presented in this article would be beneficial for the construction of new ES IPT compounds for various use.

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