

Exploration of the origin of large first hyperpolarizabilities of trisaza-bridged (36) fulleroids

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Abstract We investigate theoretically the structures and second-order nonlinear optical (NLO) responses (first hyperpolarizabilities) of 15 trisaza-bridged (36) fulleroids (series-A) and 15 triborane-bridged (36) fulleroids (series-B). 3A has smaller transition energy and smaller ground state dipole moment, resulting in relatively larger static first hyperpolarizability (10647 au). Most trisaza-bridged (36) fulleroids have larger β values than the corresponding triborane-bridged (36) fulleroids. The f_0 and $\Delta\mu$ remain stable values when substituents R change for series-A except 2A and 5A (for series-B except 5B and 10B) and β values are proportional to ΔE^{-3} , which implies that the β values for series-A and series-B follow the two-level model. Results demonstrate that a proper bridge and lower transition energy ΔE are more favorable to enlarging first hyperpolarizabilities of series-A and series-B. In addition, the frequency-dependent SHG and EOPE are also estimated and discussed. The current work can stimulate experimentalists to synthesize novel NLO materials designed in this work.

Keywords C_{36} · Chromophore · First hyperpolarizability · Fullerene derivative · Non-linear optics

Introduction

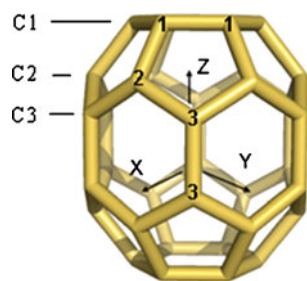
Fullerene derivatives with novel properties are of great potential application in material [1–3] and biomedical

sciences [4, 5]. Therefore, heterofullerenes [6–8], endohedral fullerene complexes with metals [9–11] and noble gases [12–14], and fullerene derivatives with chromophores [15, 16] have been widely synthesized. The three-dimensional conjugated π electron and the extensive charge delocalization [17] make fullerene derivatives exhibit high nonlinear optical (NLO) response. Fullerenes and their derivatives are also leading materials in photonic applications [18, 19]. The nonlinear optical properties including reverse saturation absorption, optical limiting [20–22], large third order nonlinear optical coefficient [23–25], and other nonlinear optical properties [26, 27] of fullerenes have been investigated. However, few fullerene derivatives with large first hyperpolarizabilities have been reported. In 2001, Barbosa [28] suggested a new approach for designing C_{36} fullerene derivatives with large hyperpolarizabilities. Two types of trisaza-bridged (60) fullerenes were first synthesized by Tang et al. [29] and the optical limiting and large third-order nonlinear optical susceptibility were tested. On the other hand, a novel building block consisted of four trisaza-bridge (60) fulleroids was linked to a central cubane unit [30].

The smaller fullerene C_{36} is much more reactive than C_{60} and C_{70} [28] and tends to form covalent bonds with other atoms or groups. The three kinds of carbon atoms for C_{36} with D_{6h} symmetry are marked as C1, C2, and C3, respectively as shown in Fig. 1. The (6, 5) open ring adducts are easy to be obtained in the addition reaction [29]. In the current work, we study the (6, 5) open ring adducts of C_{36} as shown in Fig. 2, in which the trisaza-bridge and triborane-bridge moieties are bonded to the six-numbered ring on the top of C_{36} cage. Interestingly, it is found that β values for series-A and series-B follow the two-level model. The current work provides primary physical insights into the origin of large first hyperpolarizabilities of the trisaza-

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Fig. 1 Structure of C_{36} with D_{6h} symmetry. The three kinds of carbon atoms in C_{36} , are marked as C1, C2, and C3, respectively



bridged (36) fullerenes, which strongly suggests that some molecules designed in this work can be good candidates for synthesizing novel NLO materials.

Calculation details

The energy of a system in an electric field can be represented as [31]

$$E = E^0 - \mu_i F_i - \frac{1}{2} \alpha_{ij} F_i F_j - \frac{1}{6} \beta_{ijk} F_i F_j F_k - \frac{1}{24} \gamma_{ijkl} F_i F_j F_k F_l + \dots \quad (1)$$

where E^0 is the energy of the system without electronic field and F_i represents the components of the applied electronic field. μ_i , α_{ij} , β_{ijk} , and γ_{ijkl} are dipole moment, polarizability, the first and second hyperpolarizabilities, respectively. We use the HF/3-21G//CPHF/3-21G technique to investigate the structures, first hyperpolarizabilities, and other physical properties for designed systems, that is, the structures of the systems are optimized at the HF/3-21G level and vibrational frequency analysis is performed to examine the stabilities of the optimized geometries at the same level. The first hyperpolarizabilities and other physical properties are estimated at the CPHF/3-21G level. The static first hyperpolarizability is calculated in terms of

$$\beta_0 = (\beta_x^2 + \beta_y^2 + \beta_z^2)^{1/2}, \quad (2)$$

where

$$\beta_i = (3/5) \sum_{j=x,y,z} \beta_{ijj}. \quad (3)$$

Two optical processes, namely, the second-harmonic generation (SHG) and electrooptical Pockels effect (EOPE) can be expressed as $\beta(-2\omega; \omega, \omega)$ and $\beta(-\omega; \omega, 0)$, respectively. The frequency-dependent β can be denoted as [32]

$$\beta_{vec}(-2\omega; \omega, \omega) = \frac{1}{5} \sum_{\alpha=x,y,z} (\beta_{\xi\alpha\alpha} + 2\beta_{\alpha\xi\alpha}) \quad (4)$$

$$\beta_{vec}(-\omega; \omega, 0) = \frac{1}{5} \sum_{\alpha=x,y,z} (\beta_{\xi\alpha\alpha} + 2\beta_{\alpha\xi\alpha}) \quad (5)$$

where ξ is the molecular-fixed dipole moment axis. The frequency-dependent first hyperpolarizabilities ($\beta(-2\omega; \omega, \omega)$ and $\beta(-\omega; \omega, 0)$) of trisaza-bridged (36) fullerenes are also calculated at the CPHF/3-21G level. All calculations are performed using GAUSSIAN 09 program package [33].

Results and discussion

Equilibrium structure

30 optimized structures of trisaza-bridged (36) fullerenes and triborane-bridged (36) fullerenes are obtained. It is well known that the first hyperpolarizabilities (β) are very sensitive to the geometry structures [34, 35]. As shown in Fig. 1, the calculated C1-C1, C1-C2, C2-C3, and C3-C3 bond distances of C_{36} are 1.42, 1.50, 1.44, and 1.45 Å, respectively. It is noted that after trisaza-bridge is attached to C_{36} , the C_{36} part exhibits significant geometrical change.

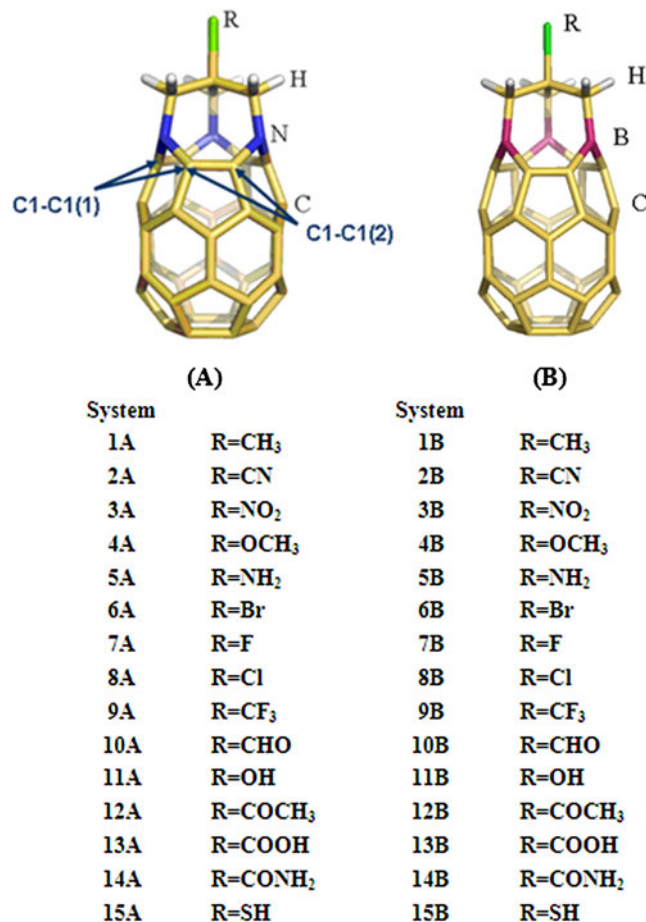


Fig. 2 Optimized structures of trisaza-bridged (36) fullerenes (series-A) and triborane-bridged (36) fullerenes (series-B)

Table 1 The physical properties of trisaza-bridged (36)fulleroids

System	R	Point group	α^a (au)	β (au)	Ratio ^b	μ^a (D)	$\Delta\mu^a$ (D)	ΔE^a (eV)	f_0^a
1A	CH ₃	C _{3v}	331.62	5740	3.99	15.81	7.26	0.7902	0.0045
2A	CN	C _{3v}	341.22	2592	2.17	5.55	4.37	1.3678	0.0012
3A	NO ₂	C ₁	339.83	10647	6.67	9.75	6.91	0.6402	0.0059
4A	OCH ₃	C ₁	335.95	6319	4.31	15.28	7.17	0.7632	0.0049
5A	NH ₂	C ₁	336.19	2777	2.33	1.10	5.14	1.3000	0.0014
6A	Br	C ₃	343.07	8309	5.54	12.63	7.22	0.7064	0.0053
7A	F	C _{3v}	322.96	7684	5.05	12.48	7.06	0.7063	0.0052
8A	Cl	C _{3v}	339.97	9050	5.86	11.50	7.13	0.6826	0.0054
9A	CF ₃	C _{3v}	331.19	8240	5.43	11.91	7.03	0.6925	0.0054
10A	CHO	C ₁	333.75	7245	4.87	13.11	7.00	0.7282	0.0052
11A	OH	C _s	324.90	6550	4.42	14.31	7.07	0.7481	0.0049
12A	COCH ₃	C ₁	343.18	6920	4.75	14.16	7.02	0.7433	0.0049
13A	COOH	C ₁	335.06	6874	4.71	14.60	7.12	0.7425	0.0050
14A	CONH ₂	C ₁	337.75	6851	4.73	14.39	6.83	0.7420	0.0050
15A	SH	C _s	343.59	7661	5.14	13.24	7.20	0.7251	0.0053

^a α represents polarizability, μ is dipole moment, $\Delta\mu = |\mu_g - \mu_e|$, ΔE accounts for transition energy, and f_0 is oscillator strength

^b The “Ratio” accounts for the ratio of the maximal main diagonal element of β tensor (β_{MDE}^{\max}) and maximal non-main diagonal element of β tensor (β_{NMDE}^{\max})

As shown in Table 1, 1A, 3A, 4A, and 6A-15A have relatively large β value. The averaged C1-C1(1) distance (in the (6, 5) open ring) and C1-C1(2) distance (in the (6, 5) closed ring) are about 2.207 Å and 1.324 Å, respectively, and the averaged C1-C2 and C2-C3 bond distances are 1.502 and 1.420 Å, respectively. However, 2A and 5A exhibit relatively smaller β values and the averaged C1-C1(1) and C1-C1(2) distances are about 2.260 and 1.350 Å, respectively. As mentioned by Tang [29], attaching trisaza-bridge moiety to C₃₆ leads to a hole on the fullerene surface. The relevant bond lengths as mentioned above reveal that 2A and 5A have larger holes on the surfaces of C₃₆ than other series-A molecules.

It is well known that the UV/Vis spectra [36, 37] are a useful tool for distinguishing the structures. The UV-vis spectra are calculated at the CIS/3-21G level, and 50 excited states are selected. For comparison, six series-A molecules (1A ($\beta=5740$ au), 3A ($\beta=10647$ au), 8A ($\beta=$

9050au), 9A ($\beta=8240$ au), 2A ($\beta=2592$ au), 5A ($\beta=2777$ au)), and six series-B molecules (1B ($\beta=3750$ au), 3B ($\beta=4884$ au), 8B ($\beta=4652$ au), 9B ($\beta=4374$ au), 2B ($\beta=2639$ au), 5B ($\beta=3078$ au)) are examined. Their UV/Vis spectra are displayed in Fig. 3. We take series-A as an example. It is worth to mention that 1A, 3A, 8A, and 9A exhibit similar absorption peaks in the UV/Vis spectra, while 2A and 5A also have similar ones. Obviously, C₃₆ part has conjugated character. As shown in Fig. 3, the first adsorption peak is attributed to the π - π^* transition of C₃₆ itself. 2A and 5A with larger C1-C1(1) and C1-C1(2) distances have larger holes on the surfaces of C₃₆, caused by trisaza-bridges, than other systems as mentioned above. In fact, the C₃₆ part (except the top layer) of 2A and 5A exhibit more delocalized structure, which results in red shift of the first adsorption peak compared to the corresponding peaks of other series-A molecules as shown in Fig. 3(a). The second peaks (370~400 nm) of 2A and 5A correspond to

Fig. 3 UV/Vis spectra of six molecules of series-A (a) and six molecules of series-B(b)

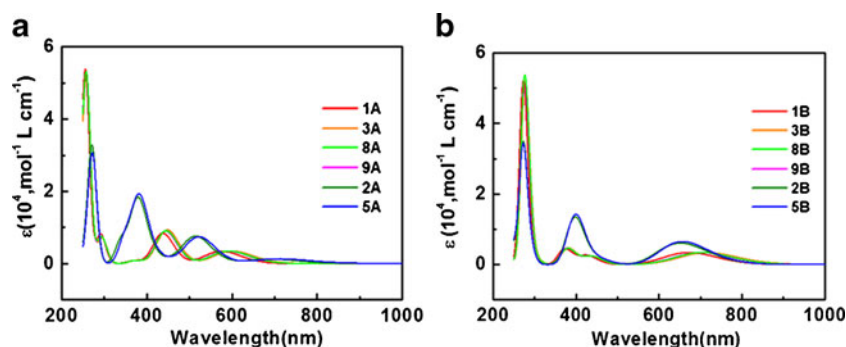
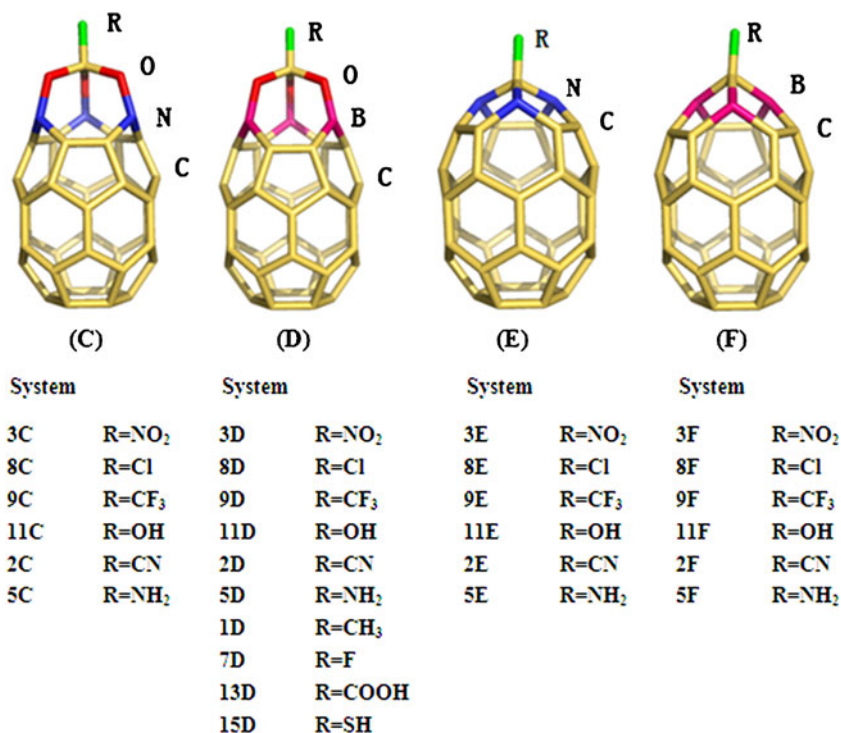


Fig. 4 Optimized structures of the molecules for series-C~series-F



photoinduced ligand-to-fullerene charge transfer process with $\sigma \rightarrow \pi^*$ character. For other series-A molecules, this peak shows red-shift (400~500 nm). In addition, the other bands in visible region are caused by $n \rightarrow \pi^*$ transitions, which are related to substituents (R).

The static first hyperpolarizabilities

Some physical parameters of the trisaza-bridged (36) fulleroids are summarized in Table 1. It is well known that the first hyperpolarizability of C₃₆ with D_{6h} symmetry is 0. Upon attaching trisaza-bridge moiety to C₃₆, the symmetries of the derived trisaza-bridge (36) fulleroids decrease and their first hyperpolarizabilities significantly increase, which suggests that the trisaza-bridge moiety may play an important role in enlarging first hyperpolarizability. In order to support the above conclusion, the trisaza-bridge moiety (-C(CH₂N)₃) of 8A is removed, resulting in β value of 861 au, which is only one-tenth of that (9050 au) of 8A as shown in Table 1.

In order to further explore the contribution of the trisaza-bridge (-C(CH₂N)₃) (or triborane-bridge (-C(CH₂B)₃) to β values, we design four series molecules (series-C~series-F). Series-C and series-D can be derived by replacing each -CH₂- group in the bridges of series-A and series-B using oxygen atom while series-E and series-F can be obtained by removing three -CH₂- groups in the bridges of series-A and series-B as shown in Fig. 4. The optimized structures for series-C~series-F are obtained at the HF/3-21G level, the first hyperpolarizabilities and some physical properties are

computed at the CPHF/3-21G level and listed in Table 2. It is noted that for series-C~series-F, their β values are relatively smaller. Moreover, their β values are not sensitive to different substituents (R) except series-D. It is clear that for series-E and series-F, the shorter bridge results in significant decrease of β values. It demonstrates that the trisaza-bridge (or triborane-bridge) moiety plays an important role in enlarging first hyperpolarizability.

In order to examine the role of the three N atoms in the trisaza-bridge moiety in enlarging β , the three N atoms in the bridge are replaced by three B atoms, resulting in 15 structures of triborane-bridged (36) fulleroids. The opti-

Table 2 The first hyperpolarizabilities and dipole moment for series-C~series-F

System	β (au)	μ (D)	System	β (au)	μ (D)
3C	2276	12.21	3E	2051	8.41
8C	2312	14.52	8E	2061	10.64
9C	2338	11.49	9E	2136	7.77
11C	2356	9.43	11E	2108	5.22
2C	2345	12.91	2E	2123	9.43
5C	2520	12.60	5E	2220	3.05
3D	7796	5.72	3F	1730	9.74
8D	1980	13.89	8F	1594	11.94
9D	7707	6.39	9F	1814	9.30
11D	6043	9.03	11F	1900	6.82
2D	2063	12.22	2F	1603	11.61
5D	2406	6.05	5F	1964	5.60

Table 3 The physical properties of triborane-bridged (36) fulleroids

System	R	Point group	α^a (au)	β (au)	Ratio ^b	μ^a (D)	$\Delta\mu^a$ (D)	ΔE^a (eV)	f_0^a
1B	CH ₃	C _{3v}	346.56	3750	1.95	14.27	7.63	1.0315	0.0028
2B	CN	C _{3v}	357.33	2639	1.94	8.62	7.16	1.1266	0.0020
3B	NO ₂	C ₁	350.63	4884	2.43	8.07	7.48	0.9024	0.0034
4B	OCH ₃	C ₁	351.25	3888	1.97	13.64	7.56	1.0076	0.0029
5B	NH ₂	C ₁	352.76	3078	2.30	3.54	0.28	1.0558	0.0023
6B	Br	C ₁	355.67	4467	2.28	10.73	7.68	0.9550	0.0032
7B	F	C _{3v}	336.46	4212	2.11	10.97	7.51	0.9601	0.0031
8B	Cl	C _{3v}	352.14	4652	2.32	9.57	7.62	0.9322	0.0033
9B	CF ₃	C _{3v}	343.92	4374	2.22	10.35	7.54	0.9481	0.0031
10B	CHO	C ₁	355.80	2777	2.01	6.32	4.36	1.0922	0.0022
11B	OH	C ₁	339.56	3912	1.98	12.79	7.46	0.9962	0.0029
12B	COCH ₃	C ₁	357.51	4097	2.14	12.49	7.33	0.9899	0.0030
13B	COOH	C ₁	349.07	4097	2.13	12.97	7.51	0.9920	0.0030
14B	CONH ₂	C ₁	351.86	4050	2.13	12.75	7.05	0.9892	0.0030
15B	SH	C _s	356.84	4328	2.21	11.47	7.59	0.9708	0.0031

^a α represents polarizability, μ is dipole moment, $\Delta\mu = |\mu_g - \mu_e|$, ΔE accounts for transition energy, and f_0 is oscillator strength

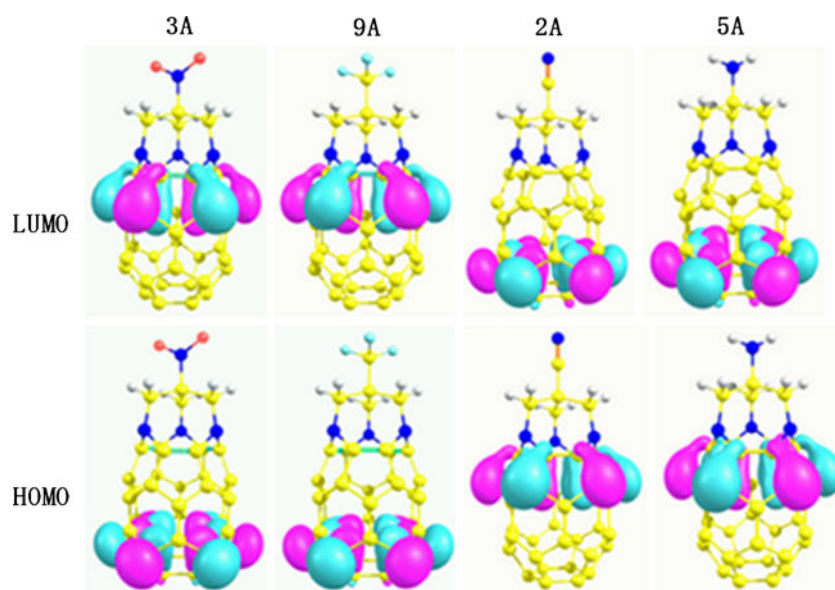
^b The “Ratio” accounts for the ratio of the maximal main diagonal element of β tensor ($\beta_{\text{MDE}}^{\text{max}}$) and maximal non-main diagonal element of β tensor ($\beta_{\text{NMDE}}^{\text{max}}$)

mized structures of triborane-bridged (36) fulleroids and physical properties are represented in Fig. 2 and Table 3. Clearly, their β values are smaller than corresponding values of trisaza-bridged (36) fulleroids, which reveals that electron-rich nitrogen atoms are more favorable to increasing β compared to the electron-deficient boron atoms

It is found that most structures of series-A have similar HOMO and LUMO orbitals like 3A and 9A while 2A and 5A show reverse results as shown in Fig. 5. For series-B molecules, similar phenomenon is also observed, that is, the

HOMO and LUMO orbitals of series-B molecules are similar to 3A except 2B, 5B, and 10B. The charge distribution of the ground state is often indicative of the nature of the molecular moieties. Therefore, first, we examine the charge distribution of the ground state for trisaza-bridge fulleroids. It is found that the positive charges (1.79 and 1.73e) on fullerene moieties of 2A and 5A are more than those (1.57~1.66e) of other molecules of series-A, which clearly suggests that C₃₆ in series-A is electron donor. Substituents (R) have positive or negative charges,

Fig. 5 HOMO and LUMO orbitals for the trisaza-bridged (36) fulleroids with R=NO₂ (3A), CF₃ (9A), CN (2A), and NH₂ (5A)



which is mainly caused by the complicated $-(\text{NCH}_2)_3$ -bridge in series-A. In order to explain the results of Fig. 5, we further examine the charge transfer between ground state and first excited state for each atom. Mulliken charge analysis demonstrates that the charge of $\sim 0.07e$ transfers from C_{36} moiety to the trisaza-bridged part and substituent (R) for each of series-A except 2A and 5A, which is consistent with the results from Fig. 5. In the case of series-B, the charge of $\sim 0.1e$ transfers from C_{36} moiety to the triborane-bridged part and substituent R except 2B, 5B and 10B. It suggests that C_{36} moiety is a good donor and the charge transfer between C_{36} and trisaza-bridge (or triborane-bridge) part as well as substituent (R) has influence on first hyperpolarizability.

In order to further investigate the origin of larger β values of series-A and series-B, we use the following two-level model to examine the main influencing factors of β [38, 39],

$$\beta_0 = (3/2) \Delta\mu f_0 / \Delta E^3 \quad (6)$$

where ΔE , f_0 , and $\Delta\mu$ are the transition energy, oscillator strength, and the difference in dipole moment between the ground state and the first excited state, respectively. For series-A and series-B, ΔE , f_0 , and $\Delta\mu$ are estimated at the CIS/3-21G level and listed in Tables 1 and 3, respectively. It is interesting to note that from Tables 1 and 3 that f_0 and $\Delta\mu$ do not appear to significantly change when substitutes (R) change for the molecules of series-A except 2A and 5A (for series-B except 5B and 10B). If we plot β against ΔE^{-3} for series-A and series-B, an approximately linear relation is observed as shown in Fig. 6(a), that is, β values are proportional to ΔE^{-3} , which reveals that the β values for series-A and series-B follow the two-level model and transition energy ΔE is one controlling factor for β . Since $f_0 = \Delta\mu^2 / \Delta E$, in that case, an equation analogous to Eq. 6 demonstrates that the first hyperpolarizability is proportional to ΔE^{-2} , which is supported by Fig. 6(b).

It is not difficult to note from Tables 1 and 3 that the dipole moments of trisaza-bridged (or triborane-bridged) (36)

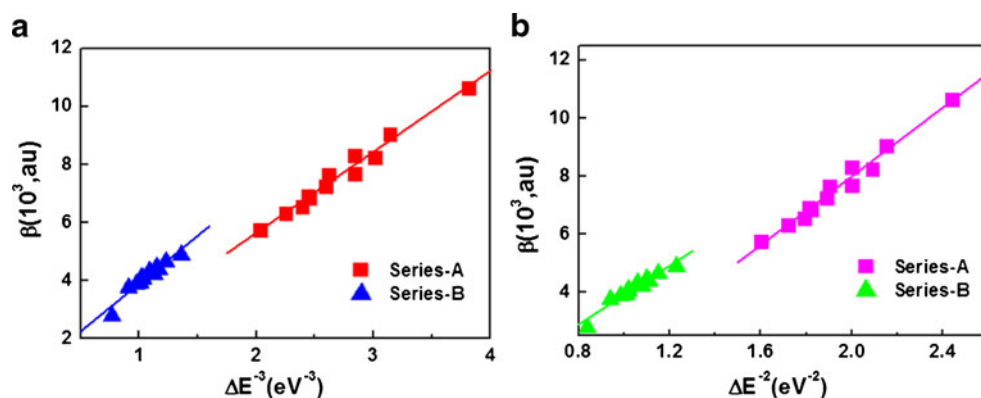
fulleroids are relatively larger because of the large charge separation between the C_{36} moiety and the trisaza-bridge (or triborane-bridge) moiety. It is well known that strong dipole-dipole interactions in a system with large dipole moment will lead to a centrosymmetric crystal [40], which may make the second-order NLO response vanish. Fortunately, their β values are inversely proportional to ground state dipole moment as shown in Fig. 7. Generally, for conventional D- π -A systems [39–42], large ground state dipoles are favorable to increasing β values. However, for the molecules designed in current work, 3A with larger β value (10647au) has relatively smaller dipole moment (9.75D). These structures are different from the traditional D- π -A systems. The relationship between the β and the ground state dipole moment demonstrates that the reduction of the ground state dipole moment is favorable to increasing β value.

The “ratio” in Tables 1 and 3 accounts for the ratio of the maximal main diagonal element of β tensor ($\beta_{\text{MDE}}^{\text{max}}$) and maximal non-main diagonal element of β tensor ($\beta_{\text{NMDE}}^{\text{max}}$). The data in Tables 1 and 3 show that the ratios of $\beta_{\text{MDE}}^{\text{max}} / \beta_{\text{NMDE}}^{\text{max}}$ are about 1.9–6.7. Figure 8 represents the correlation of β with $\beta_{\text{MDE}}^{\text{max}} / \beta_{\text{NMDE}}^{\text{max}}$. It reveals that the $\beta_{\text{MDE}}^{\text{max}}$ have larger contribution to the β value and the designed systems in this work are one-dimensional charge transfer systems.

Frequency-dependent first hyperpolarizability

The averaged values of the $\beta(-2\omega; \omega, \omega)$ and $\beta(-\omega; \omega, 0)$ in the region of applied frequencies are computed in terms of Eqs. 4 and 5 as mentioned above. Since 3A, 8A and 9A have relatively larger static first hyperpolarizabilities, we examine frequency-dependent first hyperpolarizabilities ($\beta(-2\omega; \omega, \omega)$ and $\beta(-\omega; \omega, 0)$) for them as shown in Figs. 9 and 10. As shown in Fig. 9(a), for 9A, the dispersion of the $\beta(-2\omega; \omega, \omega)$ is positive up to $2\omega = 0.045$ a.u. Then, it tends to be strongly negative in the region $2\omega = [0.045, 0.050]$ a.u., which encompasses the transition frequency ω_{CT} of the charge transfer state. In addition, as shown in Fig. 9(b), for 8A, it is interesting to

Fig. 6 Relationship between β and transition energy for series-A and series-B. (a) for $\beta \sim \Delta E^{-3}$; (b) for $\beta \sim \Delta E^{-2}$



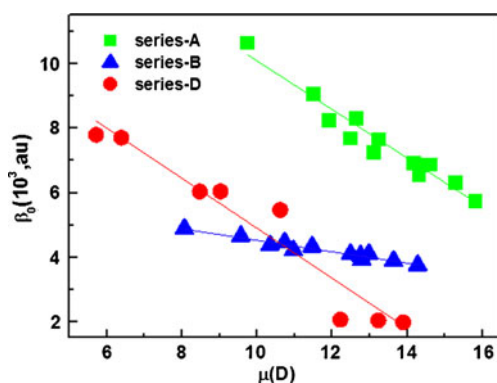


Fig. 7 Correlation of β values with dipole moments for series-A, series-B, and series-D

note that there is a platform between two peaks of $\beta(-2\omega; \omega, \omega)$. The dispersion of $\beta(-2\omega; \omega, \omega)$ for 3A exhibits reverse trend, which may be attributed to the negative dipole moment along the x axis. It is not difficult to see from Fig. 10 that there is a positive peak near $\omega=0.025$ au for 8A and a negative peak near $\omega=0.0225$ au for 3A, which may also be associated with the direction of the dipole moment. For 9A, the peak of $\beta(-\omega; \omega, 0)$ is relatively smaller. However, for 8A and 3A, there are very strong peaks near resonance frequency. The SHG and EOPE at different frequency ω showed in Figs. 9 and 10 indicate that if the larger frequency does not adopt, the stronger resonance will be induced, which is consistent with the recent reports [43, 44].

Conclusions

The structures and first hyperpolarizabilities of 15 trisaza-bridged (36) fulleroids (series-A) and 15 triborane-bridged (36) fulleroids (series-B) are systematically investigated. The main contributions are as follows: (i) the combination

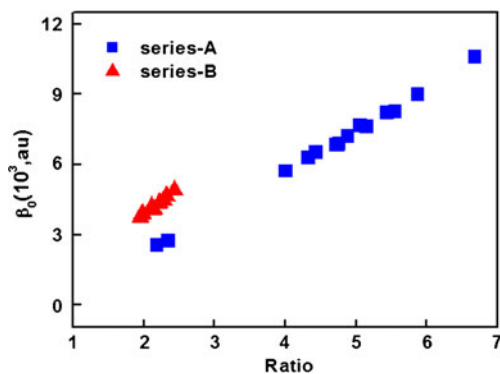


Fig. 8 Correlation of β values with ratio for series-A and series-B. The “ratio” accounts for the ratio of the maximal main diagonal element of β tensor (β_{MDE}^{max}) with maximal non-main diagonal element of β tensor (β_{NMDE}^{max})

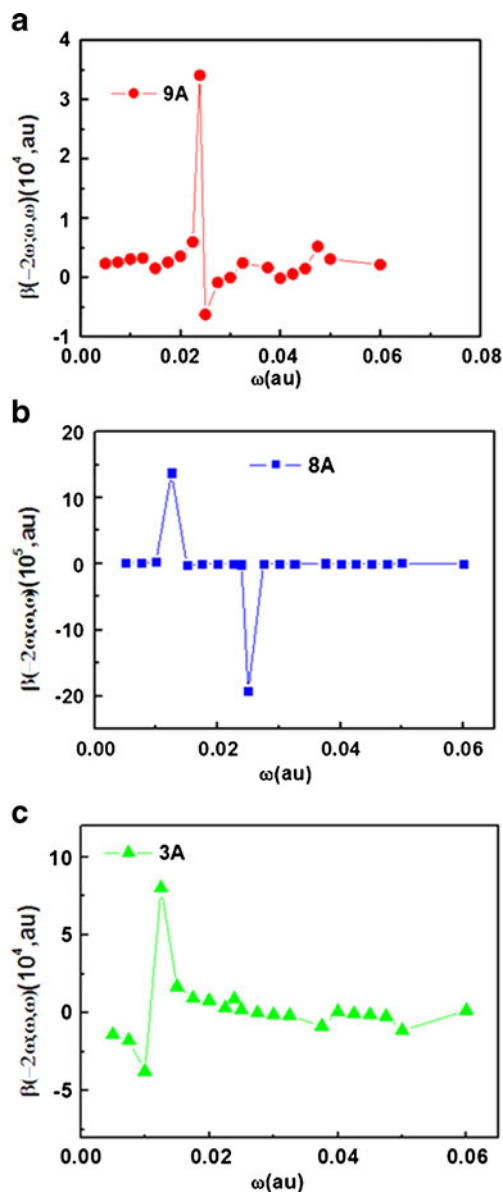


Fig. 9 The relationship of the averaged first-order hyperpolarizability $\beta(-2\omega; \omega, \omega)$ and the applied frequency

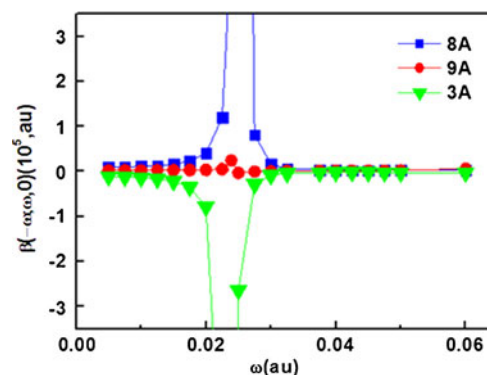


Fig. 10 The relationship of the averaged first-order hyperpolarizability $\beta(-\omega; \omega, 0)$ and the applied frequency*

of C_{36} , trisaza-bridge($C(CH_2N)_3$), and $-NO_2$ substitute (for 3A) leads to relatively larger static first hyperpolarizability (10647 au). It is due to the fact that 3A has smaller transition energy and smaller ground state dipole moment. 3A may be a good candidate for high-performance NLO material; (ii) most trisaza-bridged (36) fulleroids have larger β_0 values than the corresponding triborane-bridged (36) fulleroids. Thus, choosing a proper bridge is an important factor in the search for fullerene derivatives with large NLO responses; (iii) the f_0 and Δu keep stable values when substitutes (R) change for series-A except 2A and 5A (for series-B except 5B and 10B) and β values are proportional to ΔE^{-3} , which reveals that the β values for series-A and series-B satisfy the two-level model and transition energy ΔE plays the crucial role in enlarging first hyperpolarizability of series-A and series-B; (iv) the frequency-dependent SHG and EOPE reveal that if the larger frequency does not adopt, the stronger resonance will be induced, which is consistent with the observations by Kanatzidis et al. Moreover, when we screen high-performance NLO materials, we should consider not only the static β but also the frequency-dependent β . The current work will be valuable for experimentalists to design high-performance NLO materials.

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