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A Theoretical Study of Substituent Effects. Analysis of Steric Repulsion by Means of Paired Interacting Orbitals

Hiroshi Fujimoto,* Yoshitaka Mizutani, Jun Endo, and Yasuhisa Jinbu

Division of Molecular Engineering, Kyoto University, Kyoto 606, Japan

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The steric effect of substituent groups is studied by taking a simple model of the acid-catalyzed esterification of acetic acid. By replacing the hydrogens of the acetyl group by methyl groups, the changes in activation barriers for the nucleophilic attack are examined by means of MO calculations. The possible origin of steric repulsion is investigated by applying the transformation of MO's into paired interacting orbitals. The transition-state structures are located for some simple reaction models. The Cram and anti-Cram selectivities in the nucleophilic additions to chiral C=O systems are also discussed.

Introduction

Among the factors that govern rates and selectivities of chemical reactions, the polar effect and steric effect of substituents have been investigated most extensively.¹ With respect to the polar effects, there exists a very useful and practical way of generalization, i.e., electron-withdrawing and electron-releasing groups. This view has been represented in a concise equation by Hammett² and has been applied widely throughout the vast field of chemistry. The usefulness of the equation and the parameters involved in it have also been discussed from theoretical viewpoints.^{3,4}

An attempt to represent quantitatively steric effects of substituent groups was made by Taft⁵ by measuring the rates of some model reactions suggested by Ingold.⁶ The steric parameters E_{s} were determined from average values of log (k/k_0) for four types of related reactions, e.g., acidcatalyzed ester hydrolysis and esterification of carboxylic acids at 25 °C, where k_0 stands for the reaction rate for the reference group CH_3 and k for other substituent groups. Since then, several papers appeared to criticize and/or attempt to improve the Taft E_s scale.⁷⁻⁹ Dubois and his collaborators proposed a revised version of steric parameters and called them $E_{s}^{\prime 10}$ To eliminate possible errors originating from averaging the reaction rates for different reactions in the Taft E_s values, they have reevaluated the steric constant of groups for the rates of

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acid-catalyzed esterification of carboxylic acids in methanol at 40 °C. These steric parameters, however, do not seem to indicate a complete separation of steric and polar effects. When we carry out molecular orbital (MO) calculations,

both the steric and polar effects are included. For instance, we may partition the energy of interaction between two fragment species into several energy terms, e.g., the Coulombic, delocalization, polarization, and exchange energies.11-13 The delocalization interaction brings about formation of new bonds between the reagent and reactant, as well as transfer of an electronic charge from one fragment to the other fragment.¹⁴ This interaction, as well as the Coulombic interaction, is closely related to the polar effect of the substituent groups. The exchange interaction arises from the interaction between the occupied MO's of two fragments.¹⁵ A bulkier group possesses a greater number of occupied MO's having large amplitude in the space spanned by that group and, hence, brings about a stronger closed-shell repulsion with the occupied MO's of an attacking reagent. The understanding of steric effects is clearly of profound significance in organic syntheses. Thus, we made an attempt to elucidate the steric effects of substituents by means of theoretical calculations.

Method of Calculation

In order to discuss steric effects theoretically, we set up first a simplified reaction model as sketched in Figure 1.¹⁶ A methoxy anion attacks a carboxylic acid molecule in the presence of a proton as an acid catalyst. Acetic acid is the reference system in the present study. One may start a discussion of reactivities and selectivities from a comparison of the magnitudes of activation energy by calculating the transition-state structures for each reacting system and for each path.¹⁷ In this work, we try to in-

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H.; Osamura, Y.; Minato, T. J. Am. Chem. Soc. 1978, 100, 2954 and the references cited therein. (16) We assumed here tentatively that the anion attacks at the right

angle to the C=O bond (cf. Ann, N. T. Fortschr. Chem. Forsch. 1980, 88, 145). The O-C bond was taken to be 1.5 Å and the standard values were taken for other bonds and bond angles.



R=CH₃-, CH₃CH₂-, (CH₃)₂CH-Ph-, CH₂=CH-, PhC=CH-

Figure 1. A sketch of the reaction model for attack of a CH_3O^- to a protonated acetic acid molecule and its substituted systems.



Figure 2. Changes in potential energy with rotation of alkyl groups attached to the carboxylic carbon in the models of acidcatalyzed esterification of acetic, propionic, isobutyric, and pivalic acids.

vestigate the steric effect from a somewhat different viewpoint; we compare first the width of the reactive channel that connects the reactant and the product. In order to examine the steric repulsion between the substituent groups and the attacking anion, we fixed the sp² planar structure of the reaction center. If we allow the rehybridization of the reaction center, another repulsive interaction will intervene between the substituent group and the C–O bonds of the carboxyl group in an eclipsed conformation. This repulsion will be discussed later. The calculations have been carried out mainly at the minimal basis STO-3G level¹⁸ since we are dealing with sizable systems. Our main purpose here is to get an insight into the physical significance of steric effects that have been discussed empirically.^{5,10}

Discussion

Origin of Steric Effects. Figure 2 illustrates the potential energy for different values of rotational angle θ in the reference system, acetic acid (R = CH₃), and those for the substituted systems, R = CH₃CH₂, (CH₃)₂CH, and (CH₃)₃C. The energy values are plotted by taking the most stable conformation of the reference system as the standard. The shape of the potential curves characterizes each reacting system. For R = CH₃ and (CH₃)₃C, the systems possess a 3-fold rotational symmetry, showing potential barriers at $\theta = 0^{\circ}$, 120°, and 240°. The barriers are shown to be much higher in the system with (CH₃)₃C than in the reference system. The other two systems are seen to be located in between.

The following points are noted with respect to the results given in Figure 2. Firstly, the reactive domain θ with the low potential energy gets narrower with an increase in the

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 Table I. Overlap Populations between Paired Interacting

 Orbitals

	R		
	CH3	CH ₃ CH ₂	(CH ₃) ₂ CH
$\theta = 0^{\circ}$	-0.273	-0.284	-0.286
$\theta = 30^{\circ}$	-0.271	-0.275	-0.277
$\theta = 60^{\circ}$	-0.268	-0.267	-0.269

number of methyl groups in the substituent R. This is clearly due to the steric effect of the methyl groups. Secondly, the lowest value of potential energy for the variation of the angle θ is elevated as the number of methyl group increases. This energy difference is regarded as originating primarily from the polar effect of methyl groups. It is interesting to see that the potential curves are much the same for ethyl, isopropyl and *tert*-butyl groups in the range of $\theta = -40^{\circ}$ to 40°, so far as the geometry at the reaction center is frozen.

The nuclear repulsion and interatomic electron repulsion are counterbalanced by the attractions between the nuclei and electrons to yield the Coulomb interaction in bimolecular interactions.¹⁹ Steric repulsion is regarded as another electronic effect that arises from the overlap of the occupied MO's of the reagent and reactant.^{20,21} This repulsive interaction, that is called exchange repulsion or very often overlap repulsion, is roughly proportional to the square of overlap integrals²² and, hence, is very sensitive to the separation between the two species. It causes a decrease of electron density in the intermolecular region between the reagent and reactant molecules.

We have developed a simple method of representing bimolecular interactions by pairs of fragment orbitals.^{23,24} Let us try to utilize that method to reveal the origin of steric effects. For the purpose of representing the repulsion, we recombine the occupied MO's of A, ϕ_i (i = 1, 2, ..., m), and the occupied MO's of B, ϕ_k (k = 1, 2, ..., n), simultaneously within each orbital set in such a manner that a new occupied MO ϕ'_f of A interacts only with its paired occupied MO ϕ'_f of B. These orbitals may be obtained by making the bond-order matrix that represents overlap repulsion between A and B show nonzero off-diagonal elements only between the paired fragment orbitals (ϕ'_f , ϕ'_f). Our previous calculations have shown that chemical interactions are expressed practically by one or two orbital pairs in most cases.^{23,24}

Figure 3 illustrates the orbitals of the acid molecules that play the dominant role in the repulsive interaction by overlapping out-of-phase with the paired orbital of the attacking anion shown on the top. It is demonstrated that a strong repulsive interaction arises between the electron pair of the attacking anion and the π electrons of the COOH(+H⁺) group. This type of antibonding interaction is characteristic of nucleophilic attacks to a conjugated molecule.

The participation of the substituent groups R in the steric repulsion is shown by the left-hand tail of the acid orbitals. At $\theta = 0^{\circ}$, there appears a repulsive interaction between the attacking anion and the group R. The re-

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Figure 3. A representation of steric repulsion in terms of a paired interacting orbitals.

pulsion is shown to be stronger in the case of $R = CH_3CH_2$ and $(CH_3)_2CH$ than in the reference system ($R = CH_3$). On the other hand, the ethyl group and isopropyl group show little difference from each other. This explains why the potential curves look similar in the region of $\theta = -40^{\circ}$ to 40° for $R = CH_3CH_2$, $(CH_3)_2CH$, and $(CH_3)_3C$. When the groups are rotated to the position of $\theta = 60^{\circ}$, all the groups have orbitals that bear a close resemblance with each other. The repulsive interaction does not intervene in this region, in agreement with the energy curves presented in Figure 2.

Table I shows the overlap populations of the orbital pairs. At $\theta = 60^{\circ}$, the three systems give negative overlap populations that are almost the same in magnitude. They represent the repulsive interactions between the attacking anion and the π electrons of the acid molecules. At θ = 0°, all three groups show stronger antibonding interaction than at $\theta = 60^{\circ}$, indicating the participation of substituents in the repulsion. The antibonding interaction is stronger in the case of $R = CH_3CH_2$ than in the reference system, but is almost the same in magnitude in the case of $R = CH_3CH_2$ and $R = (CH_3)_2CH$. These results indicate that steric repulsion is not governed by the global size of substituents but controlled principally by their local conformation. The groups having similar arrangements of bonds should exhibit similar steric effects. The paired interacting orbitals allow us to see how the steric repulsion arises in chemical interactions.

The overall rate of reaction may be evaluated by integrating the rate over all the θ values. The geometry around the reaction center is frozen here with a view to seeing the repulsion between the substituent group and the attacking reagent, and, therefore, the rotational barrier in Figure 2



Figure 4. Relation between the theoretically estimated steric repulsion and an empirical steric parameter $-E_s'$.



Figure 5. Changes in the potential energy with rotation of unsaturated groups in conjugation with the carboxyl group in the presence of an attacking methoxy anion.

is very much exaggerated. If we assume tentatively that the reaction would take place only in the region where the potential energy is below 10 kcal/mol, the width of reactive channel ω defined in this manner is 360/360 for the reference system, 290/360 for R = CH₃CH₂, 140/360 for R = (CH₃)₂CH, and 14/360 for R = (CH₃)₃C, by fixing the methyl groups of R in the eclipsed conformation. Figure 4 illustrates the relation between log (ω/ω_0) and the $-E_s'$ value where ω_0 refers to the acetic acid. Though the apparent correlation may be fortuitous, the result obtained here is in line with the aforementioned proposition that the steric effect is determined principally by the local arrangement of bonds in the substituent groups near the reaction center. The conclusion is much the same when we take 20 kcal/mol as the threshold.

Unsaturated Substituents. Let us examine next the effects of substituent groups that are in conjugation with the carbon $p\pi$ orbital of the reaction center. The potential energies calculated for the rotation around the C–C bond are illustrated in Figure 5 with regard to phenyl, vinyl, and phenylethynyl groups. By looking at the energy changes in the region of $\theta = -40^{\circ}$ to 40° , it is suggested that the steric effect of these groups is not necessarily large in comparison with an ethyl or isopropyl group. The local arrangements of bonds are not so different from those in alkyl groups. In experiments, however, these groups have been allotted much greater $-E_s'$ values than the *tert*-butyl group.¹⁰

Figure 6 compares the effect of methyl, phenyl, and vinyl groups on the rotation around the C–C bond in the absence of the attacking nucleophile. The most stable conformation was taken as the standard to represent the change in the potential energy upon rotation in each system. The









planar conformation has been taken at $\theta = 90^{\circ}$. The phenyl and vinyl substitutions show much higher rotational barriers at $\theta = 0^{\circ}$ and 180° than the propyl group.



Figure 8. Transition structures for $(CH_3)CH_2COOH(+H^+) + CH_3O^-$ system.

C2-C3-C4: 113.5

This measures the magnitude of conjugation energy at the level of present calculation.

Nucleophilic attacks to a benzoic acid molecule and to an acrylic acid molecule are likely to occur at $\theta \sim 90^{\circ}$. In addition to the destabilization due to the rotation of the phenyl or vinyl group at $\theta = 0^{\circ}$ and 180°, the phenyl and vinyl-substituted systems are subjected to a significant elevation of the energy in the range of $\theta = 60-120^{\circ}$, compared with nucleophilic attacks to acetic acid and to propionic acid. The destabilization in this region implies that the conjugation between the substituent groups and the carbon atom is destroyed partially by the attack of a nucleophile.²⁵ The loss of conjugation should be a significant part of the steric parameters for phenyl, vinyl, and other unsaturated groups.

Let us look at the experimental parameters from this point of view, taking an isopropyl group $(-E_{\rm s}' = 0.48)$ and a phenyl group $(-E_{\rm s}' = 2.31)$.¹⁰ The difference in $-E_{\rm s}'$ values of these two groups is 1.83. By replacing a hydrogen atom by a methyl group, one finds $-E_{\rm s}' = 1.00$ for CH₃- (C_2H_5) CH and $-E_{\rm s}' = 2.81$ for the o-tolyl group.¹⁰ The difference is 1.81. Thus, this amount of difference should be attributed to the conjugation effect.

Structures. We assumed above a common planar structure of the reaction center for the molecules with different conformations and with different numbers of methyl groups with a view to seeing the repulsion between the attacking nucleophile and the substituent group in the

⁽²⁵⁾ The attack of CH₃O⁻ retaining the planar structure destabilizes acids, the destabilization being ~7 kcal/mol greater in acrylic acid than in propionic acid at the present level of calculation. A complete breaking of the π conjugation is estimated to cost about twice by comparing the energy difference between the protonated acid molecule and the sp³ rehybridized adduct, RC(OH)₂OCH₃, for R = ethyl and vinyl.



Figure 9. Transition structures for $(CH_3)_2CHCOOH(+H^+) +$ CH₃O⁻ system.

substrate molecule. Figures 7-10 illustrate the transition-state structures for several model systems retaining the C_s symmetry which have been determined by gradient optimization at the STO-3G level. The energy difference between the eclipsed and staggered conformations obtained above is 1.84 (STO-3G), 3.61 (4-31G), and 3.89 (4-31G/MP2) kcal/mol for R = CH₃; 2.21 (STO-3G), 3.96 (4-31G), and 3.72 (4-31G/MP2) kcal/mol for $R = CH_3CH_2$; 4.36 (STO-3G) and 7.39 (4-31G) kcal/mol for $R = (C-1)^{-1}$ H₃)₂CH; and 5.68 (STO-3G) and 8.92 (4-31G) kcal/mol for $\mathbf{R} = (\mathbf{C}\mathbf{H}_3)_3\mathbf{C}.$

The following should be noted here. In comparison with the calculation with the rigid framework, the repulsion between the incoming methoxy anion and substituent R has been reduced by the distortion of the reaction center to make them away from each other. The repulsion is approximately proportional to the square of overlap integrals as mentioned above. In the eclipsed conformation, the distortion brings about a strong repulsive interactions between the methyl group(s) and the C-O bond(s) of $COOH(+H^+)$ group within the substrate molecule. The increase in energy difference between the two conformers on going from $R = CH_3$ to $(CH_3)_2CH$ and from CH_3CH_2 to $(CH_3)_3C$ is due to this repulsion. The repulsion between the methyl groups and the C-O bonds in the eclipsed conformation of $R = (CH_3)_3 C$ is strong enough to tilt the substituent R in such a way as to shorten the distance between the oxygen of the incoming anion and the nearest hydrogen H_5 in the other methyl group by 0.109 Å upon the replacement of $R = CH_3CH_2$ by a $(CH_3)_3C$ group. The apparent energy difference allowing the structural changes around the reaction site includes several effects, and, therefore, it is difficult to see the steric repulsion between the reagent and reactant.



Figure 10. Transition structures for $(CH_3)_3CCOOH(+H^+)$ + CH₃O[−] system.

Since we attached a naked proton to the substrate molecule as an acid catalyst and used a naked methoxy anion as the attacking nucleophile, a stabilized ionic complex was formed before coming up to the transition state. The adduct is shown in Figure 7 with respect to the reference system. The activation energy of this hypothetical process was estimated to be 19.7 kcal/mol at the 4-31G level. We are studying more realistic systems by replacing the proton by a solvated cation and by lifting the C_s symmetry.

Nucleophilic Additions to Chiral Carbonyl Systems. Asymmetric inductions by means of the addition of achiral nucleophiles to chiral carbonyl bonds have been studied extensively by Cram²⁶ and by Karabatsos.²⁷ They tried to explain the stereochemistry on the basis of stable conformation of ketones deduced from the steric repulsion between substituents at the reaction center and the carbonyl oxygen in the isolated reactant molecule. On the other hand, Felkin and his collaborators stressed the importance of the repulsion between the substituents and the attacking nucleophile.²⁸

Figure 11 compares the potential energies for the addition of methyllithium to a C=O bond.²⁹ The substit-

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⁽²⁹⁾ As for experiments, see, for example: ref 26c.



Figure 11. Changes in potential energy in a model of Cram type and anti-Cram type addition of methyllithium to an aldehyde molecule. The geometry of the reaction center was taken after a calculation on the addition of methyllithium to formaldehyde³² and fixed during the rotation.

uents of different sizes are represented by an ethyl (R_L), a methyl (R_M), and a hydrogen (R_S). When the ethyl group is retained in the conformation denoted by S in Figure 11, the ethyl group should provide a steric effect that is much the same as that of a methyl group. The calculation shows actually no difference between the two faces of the C=0 bond; the type I curve is approximately the mirror image of the type II curve. Effects of larger substituent groups in actual experiments may be represented virtually by allowing the ethyl group to come in the conformation denoted by E in our simplified reaction model.

In the E conformation of the ethyl substituent, there exists a clearcut difference between the two faces. The lowest energy point in the path leading to the Cram-type selectivity in type I is found at $\theta \sim 90^{\circ}$, which is located somewhat lower than the lowest point in the path leading to the anti-Cram selectivity in type II at $\theta \sim 0^{\circ}$. Here, it is important to note that the shapes of the potential curve look different from each other. The potential energy remains low for a wider range of θ in the path leading to the Cram selectivity relative to the path that leads to the anti-Cram selectivity.

The calculation has shown that the more stable conformation S should prevail at low temperature, and, therefore, high stereoselectivity will not be observed. In experiments, the largest substituent group R_L is often a phenyl group or a cyclohexyl group.³⁰ These groups have the bond arrangements that are closer to that in the E form of ethyl group. The selectivity of the reaction is likely to be controlled by the steric repulsion, which seems to be related not only with the height of barrier but also with the width of reactive channels of low potential energy. A broader range of θ should be available for nucleophilic reagents when they attack the C=O bond from the side that favors the Cram-type diastereomer.^{28,31}

Conclusion

By applying a pair of orbital transformations, we attempted to visualize the parts of the reagent and reactant molecules that should take part dominantly in the repulsive interaction. The local arrangements of bonds in the groups have been shown to have a decisive effect in determining the magnitude of steric repulsion, so far as the atoms involved are of the same kind. The global size and structure of substituent groups are less important. It is obvious, however, that the steric repulsion is governed also by the electron density of substituent groups. For example, a group with a negative charge will show a greater repulsion than the same group with a neutral or positive charge. The transition structures of the systems having many degrees of freedom may not be so rigid particularly in solution. The shape of potential surfaces as well as the transition states should be of significance in understanding the selectivity of reactions.

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Registry No. Acetic acid, 64-19-7; propionic acid, 79-09-4; isobutyric acid, 79-31-2; pivalic acid, 75-98-9; methyl ethyl ketone, 78-93-3; methyllithium, 917-54-4; benzoic acid, 65-85-0; 2-propenoic acid, 79-10-7; 3-phenyl-2-propynoic acid, 637-44-5.

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