Reexamination of CeCl₃ and InCl₃ as Activators in the Diastereoselective Mukaiyama Aldol Reaction in Aqueous Media

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Abstract: A search for suitable reaction conditions in Mukaiyama-type aldol condensations activated by CeCl₃ and InCl₃ revealed that the reaction proceeds best in *i*-PrOH/ H₂O (95:5). Contrary to literature precedent, no reaction was observed in pure water, and the encountered destruction of the starting silvl enol ether can be ascribed to initial hydrolysis of the Lewis acid. As anticipated from the dual parameter (pK_h , WERC value) characteristics of CeCl₃ and InCl₃, the former proved more efficient as Lewis acidpromoter, in terms of reaction speed and yield. Nevertheless, InCl₃ was a superior catalyst during evaluation of the diastereoselectivity of the process. In this regard, determination of diastereoselectivity as a function of time showed that the InCl₃-catalyzed reaction is irreversible, whereas the CeCl₃-catalyzed reaction is a reversible process. In both cases, formation of the syn product is kinetically preferred, although $\Delta\Delta G_{273K}^{\dagger}(InCl_3) = 1.50$ kcal/mol versus $\Delta\Delta G_{273K}^{\dagger}(CeCl_3) = 0.38$ kcal/mol. Molecular modeling (semiempirical PM3, ab initio HF/3-21G*, hybrid B3LYP/3-21G*, and B3LYP/LANL2DZ) of the diastereoselective aldol reaction promoted by InCl₃ supports a "closed", Zimmermann-Traxler transition state.

The aldol reaction is well-recognized as one of the most important carbon-carbon bond-forming reactions in organic synthesis. As can be appreciated in eq 1, two

$$R^{1}$$
 + R^{3} CHO base R^{1} + R^{3} CHO (1)

stereogenic centers are generated in the aldol reaction and useful protocols must fulfill satisfactory levels of reaction yield, diastereoselectivity, and enantioselectivity.1

A most relevant variant of the classical aldol reaction (eq 1) was developed by Mukaiyama et al.,² who found that silvl enol ethers react with carbonyl compounds in the presence of Lewis acids to give aldol products in a highly chemoselective manner (eq 2). The other main advantage in the Mukaiyama approach is the potential for catalytic, enantioselective reactions.³

OSiMe₃

$$R^{1} \xrightarrow{P^{2}} + R^{3}CHO \xrightarrow{(\geq 1 \text{ equiv.})}{2. H_{3}O^{+}} R^{1} \xrightarrow{P^{2}} R^{3}$$
 (2)

A variety of Lewis acids have been used as catalysts in the Mukaiyama reaction (eq 2), including triarylcarbenium ions,^{4a} boron Lewis acids,^{4b} tin Lewis acids,^{4c,d} palladium Lewis acids,4e titanium Lewis acids,4f and copper Lewis acids.^{4g} Most of these Lewis acids react rapidly with water and become deactivated in the process; thus, the reactions must be carried out under strict anhydrous conditions. Nevertheless, Kobayashi et al.⁵ have recently shown that lanthanide triflates [Ln(OTf)₃] can be used as efficient Lewis acids in aqueous media (typically, H_2O -THF (1:4) or H_2O -EtOH (1:9)], as their hydrolysis by water is generally slow. This development is quite remarkable because, in regard to the topic of interest in the present report, Mukaiyama-type aldol reactions can be carried out in aqueous media, avoiding the use of potentially toxic solvents and allowing the easy recovery of the active Lewis acid catalyst.

Very recently, from a systematic examination of the catalytic activity exhibited by group 1-15 metal chlorides, perchlorates, and triflates in the Mukaiyama aldol reaction of benzaldehyde with silvl enol ether Z-1 in water-THF (1:9) (eq 3), Kobayashi concluded that the

$$\begin{array}{c} \begin{array}{c} \text{OSiMe}_3 \\ \text{Ph} \end{array} + \text{PhCHO} \end{array} \begin{array}{c} \begin{array}{c} \text{MX}_n \\ (20 \text{ mol }\%) \\ \text{H}_2\text{O-THF (1:9)} \end{array} \begin{array}{c} \text{O} \\ \text{Ph} \end{array} \begin{array}{c} \text{OH} \\ \text{Ph} \end{array} \begin{array}{c} \text{OH} \\ \text{Ph} \end{array} \begin{array}{c} \text{OH} \\ \text{Ph} \end{array}$$
(3)

catalytic activity of the metal cations depends on two parameters: (1) the hydrolysis constants, $K_{\rm h}$, and (2) water exchange rate constants, WERC. In particular, highest catalytic activity was found in those metal cations with pK_h values in the range from about 4 to 10, and WERC values greater than $3.2 \times 10^6 \text{ M}^{-1} \text{ s}^{-1.5d}$

As anticipated from the previous analysis, "borderline" indium(III) salts gave the aldol products in modest yields.^{5d} Nevertheless, an influential review by Cintas⁶ has elicited much interest in the utility of indium

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⁽⁶⁾ Cintas, P. Synlett 1995, 1087.

 TABLE 1. Solvent Effect on the Mukaiyama-Type Aldol

 Condensation

	OSiMe ₃ Ph +	InCl ₃ or Ce0 PhCHO (20 mol %	Cl ₃) ►	o h	OR Ph	
	2			3, R = \$ 4, R = I	SiMe ₃ H	
entry	Lewis acid (20 mol %)	solvent(s)	temp (°C)	time (h)	yield of 3	yield of 4
1	InCl ₃	CH ₂ Cl ₂	0	24	14	
2	InCl ₃	toluene	0	24	17	
3	InCl ₃	CH ₃ CN	0	24	39	9
4	InCl ₃	H ₂ O	25	24		
5	InCl ₃	H ₂ O/EtOH (1:9)	25	18		43
6	InCl ₃	H ₂ O/ <i>i</i> -PrOH (1:19)	25	18		55
7	CeCl ₃	CH_2Cl_2	0	24	28	
8	CeCl ₃	toluene	0	24	35	
9	CeCl ₃	CH ₃ CN	0	24	45	16
10	CeCl ₃	H ₂ O	25	24		traces
11	CeCl ₃	H ₂ O/EtOH (1:9)	25	12		67
12	CeCl ₃	H ₂ O/ <i>i</i> -PrOH (1:19)	25	12		90

reagents in synthesis. Furthermore, Loh and co-workers⁷ reported in 1996 that $InCl_3$ was an efficient catalyst in aldol reactions of silyl enol ethers with aldehydes *in pure water*. This report was subsequently questioned by Kobayashi et al.,⁸ who repeated the experiments and found that hydrolysis of the Mukaiyama silyl enol ethers is faster than the desired condensation, unless the Lewis acid (InCl₃) is used neat or in micellar systems.

With this background, we would like to communicate our own results in the area, in particular the evaluation of InCl₃ (p K_h = 4.0; WERC value = 4.0 × 10⁴ M⁻¹ s⁻¹) and CeCl₃ (p K_h = 8.3; WERC value = 2.17 × 10⁸ M⁻¹ s⁻¹) as Lewis acid catalysts in Mukaiyama-type aldol reactions.

Results and Discussion

Solvent Effect. First of all, a search was undertaken for the best reaction conditions (solvent, temperature, reaction time) in the aldol condensation of trimethylsilyl enol ether 2^9 with benzaldehyde, in the presence of 0.2 equiv of the Lewis acid activator (Table 1).

Salient observations are the following: (1) No aldol reaction takes place in pure water (entries 4 and 10 in Table 1), presumably as a consequence of partial hydrolysis of the Lewis acid, which induces destruction of the silyl enol ether. This result is contrary to Loh's reports,⁷ but in line with Kobayashi's analysis.⁸ (2) Poor to moderate yields of the silylated aldol product **3** were found in aprotic solvents CH_2Cl_2 , toluene, or CH_3CN . Essentially quantitative desilylation of **3** to give **4** was achieved with tetrabutylammonium fluoride.¹⁰ (3) The best yields of the desired aldol product **4** were obtained

TABLE 2.	Diastereoselectivity	of	Aldol	Reactions
Promoted	by CeCl ₃ and InCl ₃			

Ph'	OSiMe ₃ + PhCHC) <u>/</u> <i>i</i> -PrOH/	IX ₃ H ₂ O (19:1)	Ph	OH Ph
	Z-1			syn- a	nd <i>anti-</i> 5
	MCl ₃	temp	time	yield	dr
entry	(mol %)	(°C)	(h)	(%)	(syn:anti)
1	InCl ₃ (100)	0	6	63	96:4
2	InCl ₃ (20)	0	24	65	92:8
3	InCl ₃ (20)	25	24	71	92:8
4	CeCl ₃ (100)	0	3	91	41:59
5	CeCl ₃ (20)	0	18	85	44:56
6	CeCl ₃ (20)	25	24	88	48:52

in a water-2-propanol (1:19) solvent mixture (entries 6 and 12 in Table 1). As anticipated from pK_h /WERC value dual parameter considerations,^{5d} CeCl₃ proved more efficient than InCl₃ as a Lewis acid activator (compare entries 5 and 11, as well as entries 6 and 12 in Table 1). (See, however, next section.)

Lewis Acid Effect on Diastereoselectivity. Once we had established suitable reaction conditions for the Mukaiyama-type aldol condensation promoted by CeCl₃ and InCl₃ [*i*-PrOH-H₂O (19:1), rt, 12 and 18 h, respectively], we proceeded to evaluate the diastereoselectivity of the process. To this end, the trimethylsilyl ether derived from propiophenone, Z-1,⁹ was reacted with benzaldehyde, with the results collected in Table 2. Diastereomeric ratios were determined by measurement of signal ratios in ¹H and ¹³C NMR spectra. The assignment of the relative configuration of products *syn*-**5** and *anti*-**5** was done by analysis of vicinal coupling constants, as described by Denmark et al.¹¹

Inspection of Table 2 confirms that $CeCl_3$ is a more efficient Lewis acid activator than $InCl_3$. Indeed, yields with $CeCl_3$ fall in the 85–91% range (entries 4–6), whereas moderate yields are seen with $InCl_3$, 63–71% (entries 1–3). Nevertheless, much better diastereoselectivities were achieved with $InCl_3$: dr = 92–96:8–4. By comparison, diastereomeric ratios with $CeCl_3$ are a disappointing 41–48:59–42.

Interestingly, determination of the diastereomeric product ratio with time indicates that such ratio remains constant in the case of the $InCl_3$ -promoted reaction (i.e., the reaction is kinetically controlled, with great predominance of the syn product), whereas the CeCl₃-activated reaction initially affords a syn:anti ratio equal to 67:33 that then gradually changes until an equilibrium syn: anti ratio of 47:53 dr is attained (Figure 1).

The epimerization process syn-**5** \Rightarrow anti-**5** observed with CeCl₃ could in principle be ascribed to a retro-Aldol reaction; however, a control experiment in which syn-**5** was treated with CeCl₃ in the presence of *p*-nitrobenzaldehyde afforded varying amounts of *anti*-**5**, but no appreciable formation of aldol product **6** (Scheme 1).

The above observation, together with literature precedent,¹² leads to the conclusion that CeCl₃ most likely promotes the epimerization *syn*-**5** \Rightarrow *anti*-**5** via keto-

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FIGURE 1. Diastereomeric (*syn-5/anti-5*) product ratios as a function of time. The reactions were carried out at 0 °C, with 20 mol % of Lewis acid catalyst.

SCHEME 1



SCHEME 2



enolization (Scheme 2). Epimerization via ketoenolization is presumably favored by the greater Lewis acidity of Ce(III), with respect to In(III).¹³

Table 3 collects diastereoselectivity data obtained with additional aldehydes, both aliphatic (acetaldehyde, isobutyraldehyde, and pivalaldehyde) and aromatic (panisaldehyde, p-nitrobenzaldehyde, and p-chlorobenzaldehyde). It is appreciated that similar observations were recorded: faster but less stereoselective aldol addition in the presence of CeCl₃, and slower and highly diastereoselective addition with InCl₃ as Lewis acid catalyst.

Molecular Modeling of the Lewis Acid-Activated Complexes. From the kinetic studies discussed above (cf. Figure 1 and text), it is apparent that the difference in activation energies for the aldol reactions catalyzed by InCl₃ and CeCl₃ is substantial. Indeed, with InCl₃ as Lewis acid, silyl enol ether *Z*-1 reacts with benzaldehyde under kinetic control to give a ca. 94:6 ratio of the syn and anti aldol products; this suggests a $\Delta\Delta G_{273K}^{\ddagger} = 1.50$ kcal/mol, favoring formation of *syn*-5. By contrast, the syn:anti ratio of diastereomeric products 5 at short TABLE 3. Diastereoselectivity of Aldol Reactions with Both Aliphatic and Aromatic Aldehydes, Promoted by CeCl₃ and InCl₃

i	OSiMe ₃ 	MX ₃ (2	20 mol /H ₂ O (1	<u>%)</u>	Ph		H `R
	<i>Z</i> -1			,	syn- a	Ind <i>an</i> i	ti-5-11
entry	aldehyde	MX ₃	temp (°C)	time (h)	prod- uct	yield (%)	dr (syn:anti)
1	benzaldehyde	CeCl ₃	25	18	rac- 5	85	44:56
2	<i>p</i> -nitrobenzaldehyde	CeCl ₃	25	12	<i>rac-</i> 6	78	39:61
3	<i>p</i> -anisaldehyde	CeCl ₃	25	18	rac- 7	73	34:66
4	<i>p</i> -chlorobenzaldehyde	CeCl ₃	25	15	rac- 8	66	40:60
5	acetaldehyde	$CeCl_3$	0	12	rac- 9	83	45:55
6	isobutyraldehyde	$CeCl_3$	0	18	rac-10	47	36:64
7	pivalaldehyde	$CeCl_3$	0	18	rac-11	39	44:56
8	benzaldehyde	InCl ₃	25	24	rac- 5	71	92:8
9	<i>p</i> -nitrobenzaldehyde	InCl ₃	25	18	rac-6	60	68:32
10	<i>p</i> -anisaldehyde	InCl ₃	25	24	rac- 7	61	95:5
11	p-chlorobenzaldehyde	InCl ₃	25	18	rac- 8	51	90:10
12	acetaldehyde	InCl ₃	0	18	rac- 9	63	96:4
13	isobutyraldehyde	InCl ₃	0	18	rac-10	42	95:5
14	pivalaldehyde	InCl ₃	0	18	rac- 11	31	98:2

reaction times is 67:33, which indicates a smaller $\Delta\Delta G^{\ddagger}_{273\text{K}} = 0.38$ kcal/mol. Again, the activation energy is lower for the transition state leading to *syn*-**5**.

In his recent review, Mahrwald^{1d} concluded that the described stereochemical outcome of the Mukaiyama reaction cannot be explained by classical "closed" transition state models (Zimmermann–Traxler models); instead, "open" transition state models offer best agreement with the experimental data. To gain some mechanistic insight into the indium chloride catalyzed Mukaiyama reaction of interest,¹⁴ we performed semiempirical (PM3),¹⁵ ab initio (HF/3-21G*),¹⁶ and hybrid (B3LYP/3-21G* and B3LYP/LANL2DZ)¹⁶ theoretical calculations on the six "open" Lewis acid-activated arrangements that can in principle afford the anti and syn products **5** (Scheme 3).

Table 4 collects the calculated energies for optimized geometries of the "open" transition states leading to anti (I–III) and syn (IV–VI) aldol products in the reaction

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⁽¹⁴⁾ For meaningful computational comparison of diastereomeric transition states, it is recommended that relative energies differ by at least 0.5 kcal/mol: Juaristi, E. *Introduction to Stereochemistry and Conformational Analysis*, Wiley: New York, 1991; p 170.

⁽¹⁵⁾ *PC Spartan-Pro*, version 1.0; Wavefunction, Inc.: Irvine, CA, 1999.



 TABLE 4.
 Calculated Relative Energies for "Open"

 InCl₃-Promoted Transition States Leading to anti-5
 (I-III) and syn-5 (IV-VI) (See Scheme 3)

	$E_{\rm rel}$ (kcal/mol)					
	PM3	HF/3-21G*	B3LYP/3-21G*	B3LYP/LANL2DZ		
I	6.313	4.597	6.115	14.940		
II	4.103	2.822	5.082	6.835		
III	8.804	7.701	12.599	9.324		
IV	7.759	7.177	11.290	12.405		
V	0.000	0.000	0.000	0.000		
VI	3.055	10.253	5.178	11.008		
VII	0.000	0.000	0.000	0.000		
VIII	5.539	5.669	6.909	4.889		

of silyl enol ether Z-1 with benzaldehyde, and activated by $InCl_{3}$.¹⁷ All methods predict that transition state V is lowest in energy, affording aldol product *syn*-5, as experimentally observed.

Interestingly, geometry reoptimization of **V** at the B3LYP/3-21G* level of theory afforded "closed" transition state **VII** (Scheme 4a). By comparison, optimization of the corresponding Zimmermann–Traxler transition state leading from **III** to *anti*-**5** (**VIII** in Scheme 4b) is estimated to be 6.9 kcal/mol higher in energy. Therefore, at the levels of theory explored in this work, we conclude that syn isomers are generated via a chelated (closed) model in the InCl₃-activated reactions. By contrast, open transition structure **II** is calculated to be the most favorable structure leading to the anti isomer, but this TS is estimated to be significantly higher in energy.

(17) Nuclei beyond the third row such as Ce(III) require an approximate treatment, via effective core potentials which include some relativistic effects. Although the LANL2DZ is the best known basis set for this purpose, so far we have been unable to manage cerium at this level of theory.

SCHEME 4



Conclusions. (1) Evaluation of both aprotic (CH₂Cl₂, toluene, CH₃CN) and aqueous media as solvents for Mukaiyama-type aldol condensations promoted by CeCl₃ and InCl₃ showed *i*-PrOH/H₂O (95:5) to give the highest yields.

(2) As anticipated by Kobayashi's dual parameter generalization, $CeCl_3$ proved to be a superior Lewis acid activator than $InCl_3$ in terms of reaction speed and chemical yield. Nevertheless, $InCl_3$ should be the catalyst of choice since high diastereoselectivity is then achieved.

(3) Kinetic studies revealed that the InCl₃-catalyzed aldol reaction is irreversible, whereas the CeCl₃-catalyzed process is reversible. In both cases, kinetic control favors formation of the *syn*-**5** diastereomeric product, although the difference in activation energy is much larger with InCl₃.

(4) Molecular modeling at various levels of theory supports a "closed" transition state in the highly diastereoselective aldol condensation of *Z*-**1** with PhCHO, when promoted by InCl₃.

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Supporting Information Available: General experimental information, general procedures for Mukaiyama aldol reactions catalyzed with CeCl₃ and InCl₃, general procedure for desilylation of aldol products, physical and spectroscopic data for Z-1, 2, 3, 4, syn-5, anti-5, and 6–11, and computational results (Cartesian coordinates for intermediates I–VIII). This material is available free of charge via the Internet at http://pubs.acs.org.

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