

Acknowledgment. This work was supported by the National Science Foundation (Grant CHE 76-17572) and the U.S. Public Health Service (Grant GM 22620-01).

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Received March 22, 1977

On the Dichotomy between Cycloaddition Transition States Calculated by Semiempirical and *ab Initio* Techniques

Sir:

The timing of bonding changes in cycloaddition reactions has been the subject of many experimental investigations¹ and heated controversy.² The problem may be stated as follows: in a cycloaddition reaction where two new bonds are formed, are both bonds partially formed in the rate-limiting transition state, or is only one partially formed, the formation of the second occurring only after the rate-limiting transition state? Figure 1 shows the problem diagrammatically. All gradations between "bonding-concerted"³ or "two-bond"⁴ synchronous

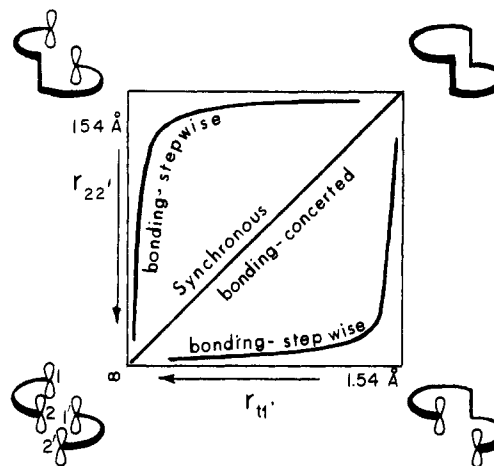


Figure 1. Bonding map for cycloadditions. The extreme pathways are labeled, but all variations are conceivable.

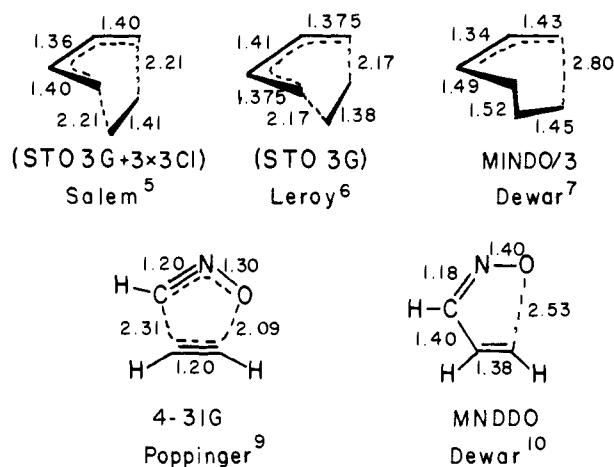


Figure 2. Cycloaddition transition-state geometries obtained from different calculations.

reaction pathways and "bonding-stepwise"³ or "one-bond"⁴ asynchronous pathways are possible. The question of the shape of the energy vs. reaction coordinate profile is, in principle, different, having to do with the absence ("energetically concerted")³ or presence ("energetically stepwise")³ of energy minima along the reaction coordinate.

Recently, detailed quantum mechanical calculations for two "classic" cycloadditions—a Diels–Alder reaction (butadiene + ethylene) and a 1,3-dipolar cycloaddition (fulminic acid + acetylene)—have been performed by several different techniques. These calculations predict distressingly dissimilar transition-state geometries (Figure 2). Two *ab initio* calculations have been published for the Diels–Alder transition state. The first used the STO-3G basis set with 3×3 configuration interaction (CI) to determine the lowest energy pathway, followed by calculations with the 4-31G basis and 3×3 CI for important geometries.⁵ The second used a STO-3G geometry search, followed by recalculations of energies using a 7s,3p contracted basis set.⁶ Although both concur on the synchronicity of σ bond formation in the transition state, the Leroy transition state is slightly "earlier" than the Salem.^{6b} More disquieting is the comparison of these with the MINDO/3 transition state,⁷ which is extremely unsymmetrical (biradicaloid) in nature. A point of agreement between the *ab initio* and MINDO/3 transition states is that no intermediates intervene between reactants and product.⁸

The dichotomy between *ab initio* and semiempirical calculations extends to calculations on the 1,3-dipolar cycloaddition of fulminic acid with acetylene. Figure 2 shows the transition

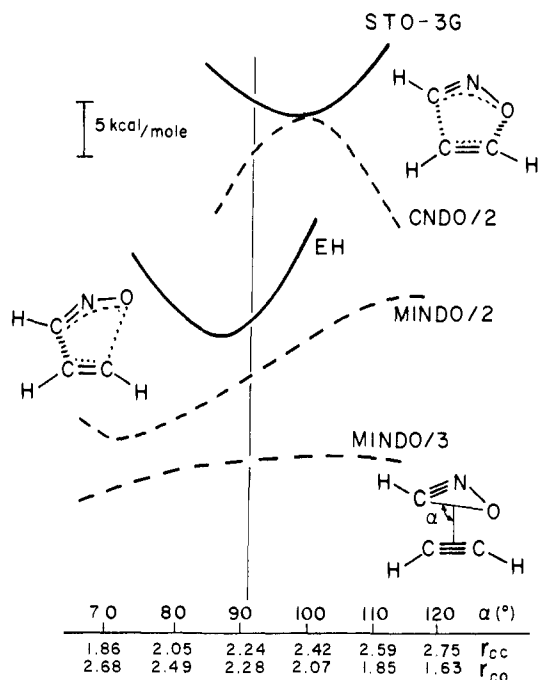


Figure 3. Energies of unsymmetrical "one-bond" and symmetrical "two-bond" "transition-state" geometries for fulminic acid-acetylene by various calculational techniques.

states calculated by ab initio (STO-3G geometry search, followed by 4-31G energy recalculations)⁹ and semiempirical (MNDDO)¹⁰ techniques.¹¹

One possible source of the difference in transition state structures could reside in the more complete geometry searches carried out in the semiempirical calculations.¹² On the other hand, the divergent geometrical outcomes could reflect inherent differences in calculational techniques. We provide here computational evidence which shows that semiempirical calculations which neglect overlap inherently favor "one-bond" (biradicaloid) transition states for orbital symmetry allowed cycloadditions, whereas ab initio or semiempirical calculations which include overlap favor "two-bond" synchronous transition states.¹³ In order to quantitatively compare differing biases for one-bond or two-bond transition states in commonly used calculational methods,¹⁴ slices of the reaction surface perpendicular to the reaction coordinate, $R = r_{11'} + r_{22'}$, were examined.

Figure 3 shows the results for the fulminic acid-acetylene surface. A transition state essentially like that obtained by Poppinger⁹ was taken as the synchronous extreme, and the angle, α (see Figure 3), was varied in order to produce geometries corresponding roughly to biradicaloids with the CC bond formed ($\alpha = 60^\circ$), or the CO bond formed ($\alpha = 120^\circ$). Figure 3 shows the striking contrast between the STO-3G and CNDO/2 profiles, which are nearly perfect mirror images. The former has a synchronous minimum corresponding to the CNDO/2 maximum. The profile obtained by EH calculations—which include overlap—is shifted somewhat, but still mimics the shape of the STO-3G curve. The MINDO/2 and MINDO/3 curves are very flat, slightly favoring the CC formed biradicaloid. However, fully optimized MNDDO¹⁰ calculations produce a pronounced maximum at the asynchronous geometry.

Model calculations on the Diels-Alder reaction were somewhat more complex, since the geometries of the biradicaloid and concerted transition states are quite different. A slice of the surface was obtained by MINDO/3, setting the forming CC bond lengths at $2.21 \text{ \AA} + X$ and $2.21 \text{ \AA} - X$, respectively, varying X from 0 to 0.7 \AA in 0.1-\AA increments; all

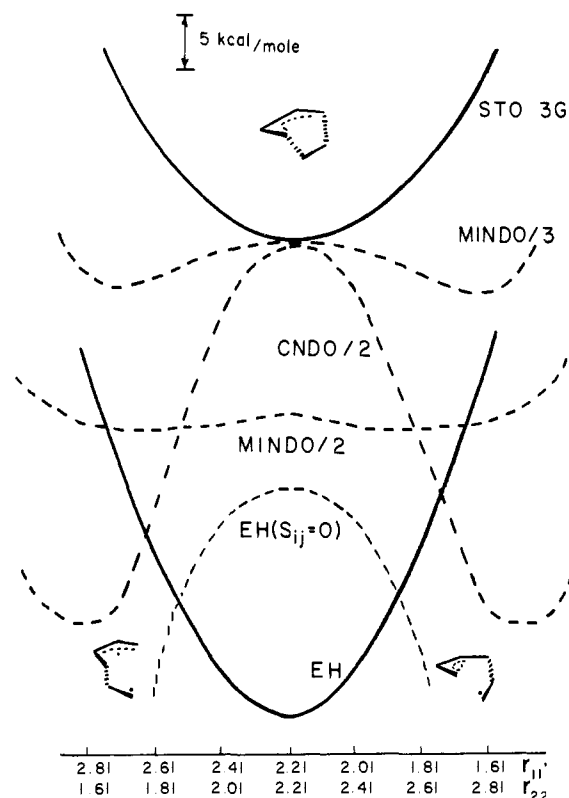


Figure 4. Energies of unsymmetrical "one-bond" and symmetrical "two-bond" Diels-Alder "transition-state" geometries by various calculational techniques.

of the remaining geometrical parameters were then optimized. Ab initio STO-3G, as well as CNDO/2, EHT, and MINDO/2 calculations were then performed using these optimized geometries. A comparison of the results is shown in Figure 4. MINDO/3 and CNDO/2 show definite minima at very unsymmetrical geometries,¹⁵ MINDO/2 gives shallow minima at unsymmetrical geometries, whereas the STO-3G and EHT minima are at the symmetrical geometry.¹⁶ For both the cycloadditions, STO-3G and EHT favor symmetrical (synchronous) transition-state geometries, while CNDO/2, MINDO/2, and MINDO/3 favor unsymmetrical (asynchronous) geometries. Thus, the results summarized in Figure 2 arise from inherent differences in calculational techniques, not from incomplete geometry searches.

What is the origin of these differences? Calculations including overlap favor two-bond synchronous transition states, while calculations neglecting overlap favor one-bond (biradicaloid) geometries. Thus, the closed-shell (exchange) interactions appear to be the differentiating factor. This "closed-shell" or "exchange" repulsion takes into account the interaction of two filled orbitals which results in greater destabilization of the antibonding combination than stabilization of the bonding combination.¹⁷ Its energetic consequences are expressed numerically as

$$\Delta E = \frac{4(\epsilon_{av}S_{ij}^2 - H_{ij}S_{ij})}{1 - S_{ij}^2} \approx 4S_{ij}^2(\epsilon_{av} - k)$$

where ϵ_{av} is the average energy of the interacting orbitals, and the approximate expression arises from the assumption that $S_{ij}^2 \ll 1$ and that $H_{ij} \approx kS_{ij}$ (the Mulliken approximation).¹⁸ When diatomic overlap is neglected (CNDO/2, INDO, MINDO, MNDDO), this repulsion is also neglected. In CNDO/2 computations, the tendencies for bimolecular reactions to be far too exothermic, and to occur without activation,¹⁹ may be attributable to this effect.

However, MINDO/2 and MINDO/3 calculations over-

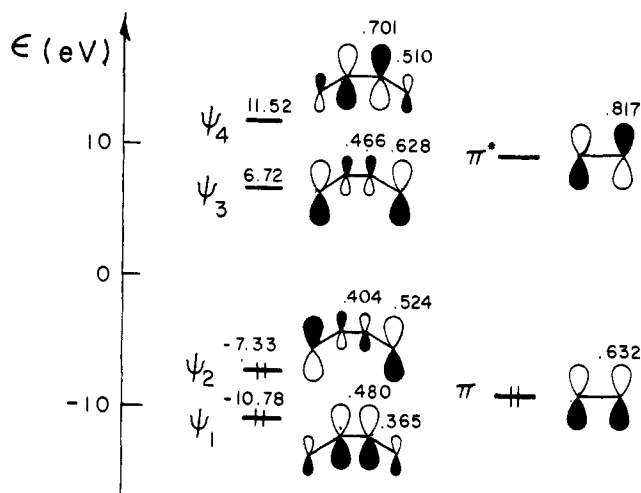


Figure 5. MOs of butadiene and ethylene used for calculations of closed-shell repulsion.

come this problem to some extent, presumably by an artificial increase in repulsive forces which are retained in the calculations—namely, electron–electron and nuclear–nuclear repulsions. While it may be possible to successfully parameterize MINDO for ground-state geometries, there is no guarantee that the functional form used for repulsive forces which are included will exactly compensate for those which are neglected at distances such as those involved in transition states.²⁰

Furthermore, there is an orbital symmetry restriction on closed-shell repulsion just as there is on attraction arising from interactions of filled and vacant orbitals. That is, for orbital-symmetry-allowed cycloadditions, the HOMOs of the two molecules will always be of opposite symmetry, so that there will be no net overlap in a symmetrical transition state, and no closed-shell repulsion will arise from HOMO–HOMO interactions. In the absence of symmetry, such as in the HCNO–acetylene reaction, the synchronous transition state will still have very small overlap between the HOMOs of the two molecules. On the other hand, in a highly asynchronous transition state, all filled orbitals of the two molecules will mix, leading to higher closed-shell repulsion than in the synchronous transition state. Since this factor favors symmetrical (or synchronous) transition states, and is left out of overlap-neglected calculations, and since the more crowded symmetrical (or synchronous) transition state may have greater electron–electron and nuclear–nuclear repulsive interactions, which may be overestimated in semiempirical schemes, the differences between *ab initio* and some semiempirical transition states arises, at least in part, from an inherent defect in the latter techniques resulting from neglect of overlap.

Figure 5 shows the STO-3G MOs for butadiene and ethylene. Using these to compute closed-shell repulsions for the symmetrical and unsymmetrical transition states gives repulsive energies of 4.4 and 8.8 kcal/mol, respectively, using $k = -20$ eV, or 13.7 and 25.3 kcal/mol, respectively, using $k = -39.9$ kcal/mol.²¹ All of the closed-shell repulsion in the symmetrical transition state arises from $\psi_1-\pi$ interaction, while 66% of the closed-shell repulsion arises from $\psi_2-\pi$ interaction in the unsymmetrical transition state.²²

In order to verify that neglect of overlap is responsible for the energy maximum at symmetrical transition state geometries, calculations on the Diels–Alder surface were repeated using the extended Hückel method with neglect of overlaps involving orbitals on different centers. That is, in the Hamiltonian matrix, $|H_{ij} - \epsilon S_{ij}|$, all values of S_{ij} were set equal to zero for $i \neq j$. The pronounced maximum in the resulting curve at the symmetrical geometry (Figure 4) indicates that overlap must be included to find an energy minimum at a symmetrical

geometry.

Although a systematic discrepancy between the calculations with and without overlap has been identified in the transition states of allowed cycloadditions, this information regrettably does not lead to a definitive answer as to the true structures of cycloaddition transition states. That is, *ab initio* calculations are nonempirical, but, even with a very extended basis set and inclusion of limited configuration interaction, a large part of the correlation energy is omitted. Whether or not calculations including correlation energy will favor one-bond or two-bond transition states and, thus, support *ab initio* or MINDO/3 conclusions is, as yet, untested. However, the use of 3×3 CI in Salem's Diels–Alder calculations should overestimate the stability of the one-bond (biradicaloid) geometry as compared to the two-bond (synchronous) geometry.²³ The parallelism between STO-3G and 4-31G + 3×3 CI calculations suggest that the actual transition state for allowed cycloadditions will be a synchronous one.²⁴

Acknowledgment. Financial support of this work by the National Science Foundation is gratefully acknowledged. We wish to thank Robert W. Strozier for programming assistance.

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- (25) (a) NATO Fellow, 1975–1976. (b) Camille and Henry Dreyfus Teacher–Scholar Grant Recipient, 1972–1977; Alfred P. Sloan Foundation Fellow, 1975–1977.

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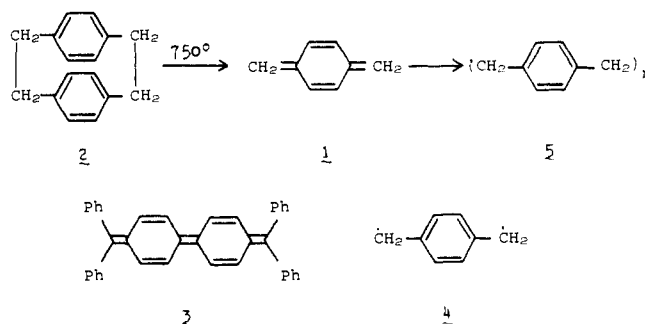
Received September 11, 1976

An Electron Diffraction Study of *p*-Xylylene

Sir:

We wish to report a preliminary electron diffraction study of the molecular structure of *p*-xylylene (**1**) or *p*-quinodimethane (3,6-bis(methylene)-1,4-cyclohexadiene), which was generated by the pyrolysis of [2.2]paracyclophane (**2**) at 750 °C. *p*-Xylylene has been of theoretical interest for over 30 years,¹ because of its fundamental structural relationship to Chichibabin's hydrocarbon (**3**) and the possibility that it possessed a biradical ground state (**4**). Szwarc provided the first experimental evidence for the existence of *p*-xylylene and showed that it polymerized rapidly at room temperature in the condensed phase to poly-*p*-xylylene (**5**).² Since then, the basic chemistry of *p*-xylylene has been outlined and its polymer chemistry explored extensively.³ A number of spectroscopic studies of *p*-xylylene have been reported,^{4–6} including IR and

UV measurements in the solid phase at 77 K⁵ and a recent photoelectron spectroscopy study.⁶ Our reasons for undertaking the present investigation were twofold. First, of course, was the longstanding interest in *p*-xylylene. Second, the [2.2]paracyclophane-*p*-xylylene pyrolysis reaction was uniquely suited for developing a high temperature nozzle assembly. Gorham^{3c} has shown that [2.2]paracyclophane can be cleaved quantitatively to *p*-xylylene at elevated temperatures.



The *p*-xylylene was generated in the sample nozzle immediately prior to encountering the electron beam. The [2.2]paracyclophane was vaporized in an adjoining reservoir (~290 °C). A thermocouple at the tip of the nozzle measured the experimental temperature. Details of the entire nozzle assembly will be presented elsewhere. Numerous diffraction patterns were recorded at a single camera distance⁷ (12 cm) at 750 °C on 4 × 5 in. Kodak Electron Image plates using the Indiana University electron diffraction unit (40-keV accelerating potential, 0.3-μA beam current, maximum chamber pressure 6×10^{-6} Torr). The plates were processed^{8a} and microphotometered.^{8b} Preliminary examination of the diffraction data and chemical analyses of the thermolysis products which collected on the liquid nitrogen trap opposite the nozzle indicated that the cleavage was complete at 750 °C. Two plates, which were somewhat lighter (0.2–0.5 o.d.) than the optimum optical density range,⁹ were selected for final processing. The general method of data reduction has been outlined previously.¹⁰ Fourth-order polynomials were employed as background functions. The data were interpolated to integral q intervals and averaged for the least-squares analysis ($37 \leq q \leq 112$). Calculated mean-square amplitudes of vibration were used exclusively. The force fields which were used are provided in the supplementary material. Since it was conceivable that the vibrational temperature of the *p*-xylylene entering the diffraction chamber was less than the experimental temperature at the nozzle tip,¹¹ the entire data reduction procedure was repeated assuming that the vibrational temperature was only 550 °C. The structural parameters changed very little and were well within the quoted error limits for 750 °C.

In the following discussion, the ring carbons of *p*-xylylene are numbered starting at one of the methylene groups; C₇ and C₈ are attached to C₁ and C₄, respectively. Three models were considered, which differed principally in terms of the number of parameters needed to specify the carbon skeleton. All were planar. The first used two C–C-bonded distances, one for the ring and one for the external (C₁–C₇) bonds. This was the simplest of the three structural alternatives and also served as a prototype for biradical **4**. It is instructive to consider the theoretical radial distribution curve of the trial structure for this model (Figure 1, model I difference curve). Although reasonable values (1.397, 1.48 Å) were assigned to the two C–C-bonded distances, the fit in this portion of the curve was poor. The agreement in the 2–3-Å region was even worse. Least-squares refinement of model I (model I') produced a