

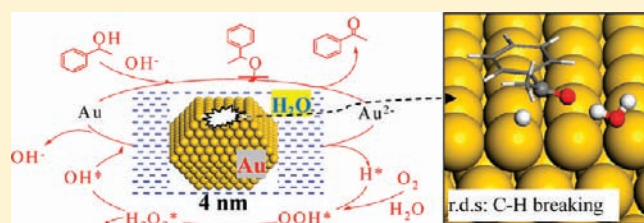
# Origin and Activity of Gold Nanoparticles as Aerobic Oxidation Catalysts in Aqueous Solution

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Supporting Information

**ABSTRACT:** Whether gold is catalytically active on its own has been hotly debated since the discovery of gold-based catalysis in the 1980s. One of the central controversies is on the  $O_2$  activation mechanism. This work, by investigating aerobic phenylethanol oxidation on gold nanoparticles in aqueous solution, demonstrates that gold nanoparticles are capable to activate  $O_2$  at the solid–liquid interface. Extensive density functional theory (DFT) calculations combined with the periodic continuum solvation model have been utilized to provide a complete reaction network of aerobic alcohol oxidation. We show that the adsorption of  $O_2$  is very sensitive to the environment: the presence of water can double the  $O_2$  adsorption energy to  $\sim 0.4$  eV at commonly available edge sites of nanoparticles ( $\sim 4$  nm) because of its strongly polarized nature in adsorption. In alcohol oxidation, the hydroxyl bond of alcohol can break only with the help of an external base at ambient conditions, while the consequent  $\alpha$ -C–H bond breaking occurs on pure Au, both on edges and terraces, with a reaction barrier of 0.7 eV, which is the rate-determining step. The surface H from the  $\alpha$ -C–H bond cleavage can be easily removed by  $O_2$  and OOH via a  $H_2O_2$  pathway without involving atomic O. We find that Au particles become negatively charged at the steady state because of a facile proton-shift equilibrium on surface,  $OOH + OH \leftrightarrow O_2 + H_2O$ . The theoretical results are utilized to rationalize experimental findings and provide a firm basis for utilizing nanoparticle gold as aerobic oxidation catalysts in aqueous surroundings.



## 1. INTRODUCTION

It has been a consistent goal to realize homogeneous organic reactions at mild environmentally friendly reaction conditions. Solid–liquid heterogeneous catalysis as an attractive synthetic approach has been tested, and recent research demonstrated the possibility of utilizing a gold-based catalyst for the aerobic oxidation of certain alcohols to aldehydes/ketones at ambient conditions.<sup>1–5</sup> High activity was reported for unsupported and supported gold nanoparticles (on various inert supports such as activated-carbon, polymers, and  $SiO_2$ ) in the presence of base additives and solvent (e.g., water).<sup>6–11</sup> The phenomenon of molecular  $O_2$  activation on Au itself is not anticipated, as the active oxide supports (e.g.,  $TiO_2$ ,  $CeO_2$ ) are often essential in Au-based catalysts for coactivating  $O_2$  at solid–gas reaction conditions.<sup>12–14</sup> Compared to the surface reaction in ultrahigh vacuum (UHV), reactions at the solid–liquid interface are much more poorly understood, not least because of the added complexity of the solvent environment. To date, a theoretical framework is highly desired to understand the solid–liquid catalysis at the level of detail rivaling that of surface reactions in UHV, which is essential toward the rational design of improved catalysts with high activity and selectivity.

Although the detailed mechanism is still in much debate, it was now generally regarded that aerobic alcohol oxidation can be decomposed into four major steps following a Langmuir–Hinshelwood mechanism, namely, (i) the adsorption of reactants (alcohol,  $O_2$ ), (ii) and (iii) the hydroxyl (OH) bond and the  $\alpha$ -C–H bond

breaking of alcohol, and finally (iv) the removal of H by  $O_2$  or its derivatives (possibly atomic O).<sup>15–17</sup> As a key feature, aerobic alcohol oxidation is not very sensitive to the type of oxide supports provided with the base additives (often within 2-fold difference in activity),<sup>18–20</sup> unlike the well-studied CO oxidation over gold-based catalysts (e.g., 3 orders of magnitude difference in activity reported for  $Au/TiO_2$  and  $Au/SiO_2$ ).<sup>13,21</sup> For instance,  $Au/TiO_2$  is a poor catalyst for alcohol oxidation in the absence of a base<sup>19</sup> ( $TiO_2$  surfaces are acidic<sup>22</sup>), but it can catalyze CO oxidation even at low temperatures (200 K).<sup>13</sup> Since  $O_2$  adsorption and activation are shown to be facile in the  $Au/TiO_2$  system,<sup>23</sup> it was naturally expected that the role of the base is to enhance the decomposition of alcohol at steps (ii) and (iii), not related to  $O_2$  reduction. A number of experimental findings indeed confirm this.<sup>15,17,19,24,25</sup> With isotope labeling during alcohol oxidation on  $Au/CeO_2$ , Conte et al.<sup>17</sup> detected the existence of Au–H species with electron paramagnetic resonance spectroscopy. They further demonstrated that the surface hydrogen is produced from the rate-determining step, the  $\alpha$ -C–H cleavage of alcohol.<sup>15</sup> By direct utilizing basic oxide supports (Hydrotalcite), Mitsudome et al. showed that alcohols can still be oxidized efficiently without adding an external base.<sup>19</sup>

Received: April 14, 2011

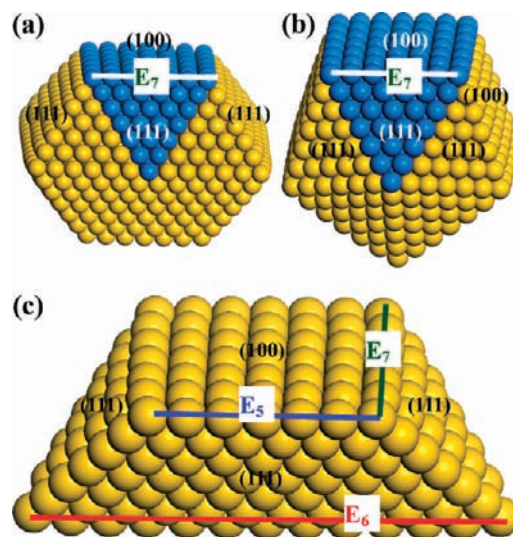
Published: May 24, 2011

On the other hand, the mechanism for the O<sub>2</sub> reduction involving steps (i) and (iv) remains elusive. Previous work generally showed that O<sub>2</sub> adsorption and dissociation is kinetically difficult on pure Au at ambient conditions,<sup>23,26–28</sup> which is apparently contradictory to the observation on the facile O<sub>2</sub> reduction over different supporting materials in aerobic alcohol oxidation. Furthermore, since the working Au catalysts are usually in the form of nanoparticles at the size of a few nanometers (e.g., 5 nm in diameter, >1000 Au atoms), it is unlikely that extremely low coordinated Au corner sites (e.g., apex or adatoms) are responsible for catalyzing O<sub>2</sub> reduction (if so, O<sub>2</sub> activation would be rate-determining due to extremely low concentration of such sites). In fact, Abad et al.<sup>15</sup> found that the rate of alcohol oxidation increases with the increase of the area of exposed Au sites in Au/TiO<sub>2</sub>, implying the irrelevance of the minority sites in the rate-determining step. The O<sub>2</sub> reduction on Au must therefore be related to the unique reaction conditions of alcohol oxidation, for example, the presence of the solid–solution interface, the participation of the base, and the possible presence of charged (anionic) Au particles.<sup>7,8,29–31</sup>

Using aerobic 1-phenylethanol oxidation as the model reaction, here we aim to establish a complete mechanism for this solid–liquid reaction process to answer the above puzzles. Large-scale density functional theory (DFT) calculations are performed to model the catalytically most relevant Au particles, 2–5 nm in diameter, and a periodic continuum solvation model as developed recently<sup>32–34</sup> was utilized to take into account the long-range electrostatic solvation effect of aqueous surroundings. We demonstrate that O<sub>2</sub> reduction in the presence of surface H can occur facetly on commonly available edge sites of Au particles. Not the Au coordination number, but the size of the particle and the aqueous environment are critical to O<sub>2</sub> adsorption and activation. The comprehensive reaction network of aerobic 1-phenylethanol oxidation is revealed, with particular emphasis on the promotional role of base and the structure-insensitivity of the rate-determining  $\alpha$ -CH bond breaking step.

## 2. CALCULATION METHODS AND MODELS

All total energy calculations were performed using the DFT package SIESTA with numerical atomic orbital basis sets and Troullier–Martins norm-conserving pseudopotentials.<sup>35–37</sup> The exchange–correlation functional utilized was at the generalized gradient approximation level, known as GGA-PBE.<sup>38</sup> Except for Au where extra 7s polarization orbital was added for all surface atoms of gold particle, the optimized double- $\zeta$  plus polarization basis (DZP) set was employed for all elements.<sup>37,39,40</sup> The energy cutoff for the real space grid used to represent the density was set as 150 Ry. The basis set superposition error (BSSE) was corrected in computing the adsorption energy ( $E_{\text{ad}}$ ) of molecules. The vibrational frequency of reaction intermediates was calculated by the numerical finite-difference method, and the results were then utilized to correct the zero point energy (ZPE). The geometry relaxation was carried out using the quasi-Newton Broyden method until the maximal force on each coordinate is below 0.1 eV/Å for all surface reactions and a finer criterion (<0.05 eV/Å) for computing adsorption energetics. The transition states (TS's) of the reactions were searched using our recently developed constrained-Broyden-minimization method<sup>41</sup> and constrained-Broyden-dimer method.<sup>42</sup> For the extended Au surfaces, a  $p(3 \times 2\sqrt{3})$  ( $8.824 \times 10.190$  Å) and  $p(1 \times 5)$  ( $12.128 \times 14.707$  Å) four layer slabs were used for (111) and stepped (322) surfaces, respectively, with the bottom two layers fixed at the bulk-truncated position (see Figure S1 of the Supporting Information for the structure of the (322) surface, which has a monatomic (100) step every four rows of (111) terrace). The Monkhorst–Pack  $k$ -points sampling of  $(2 \times 2 \times 1)$  and  $(1 \times 3 \times 1)$  were



**Figure 1.** Model of Au nanoparticles. (a) decahedral gold cluster; (b) penta-star gold cluster; and (c) a Au<sub>252</sub> cluster that is a common building block (shaded by blue color in a and b) for decahedral and penta-star clusters. Edge sites, including E<sub>5</sub>, E<sub>6</sub>, and E<sub>7</sub>, are labeled.

utilized for the two surfaces. A convergence check of the above calculation setups have been checked by benchmarking the O<sub>2</sub> adsorption energetics on extended Au surfaces with the plane-wave basis-set codes, which showed that the difference in adsorption energetics is within 0.05 eV.

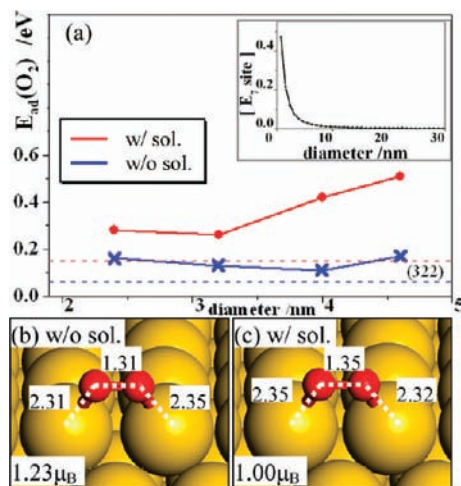
Without explicit mention, the long-range electrostatic solvation effect for the catalytic systems in aqueous surroundings has always been taken into account by using a periodic continuum solvation model based on the modified Poisson–Boltzmann equation (CM-MPB).<sup>32–34</sup> The details on the implementation of the CM-MPB model are also given in the Supporting Information. Explicit water molecules have also been considered to examine the possible specific interaction between the first-shell water and the reaction intermediates. Compared to that of small molecules, the solvation effect of solid surfaces is more challenging to measure or compute due to the dynamic metal–solution interface structure. To validate our model on treating the Au surface, we have calculated the potential of zero charge (PZC) of Au(111) surface using the CM-MPB approach and it gives 0.32 V versus standard hydrogen electrode, in a fair agreement with experimental values,  $\sim 0.5$  V.<sup>43</sup> It should be mentioned that the computed solvation energy gain for Au surfaces with CM-MPB is generally low, that is, 0.028, 0.035, and 0.042 eV per surface Au atom for Au(111), (100), and (322) surfaces, respectively, indicating that the solvation effect on reactions, if present, should mainly act on the polarized reaction intermediates.

To compute the adsorption energy ( $E_{\text{ad}}$ ) of a species X in solution, we utilize eq 1

$$E_{\text{ad}}(X) = E_{\text{tot}}(\text{Au}) + E_{\text{tot}}(X) - E_{\text{tot}}(X/\text{Au}) \quad (1)$$

where  $E_{\text{tot}}$  is the DFT total energy in aqueous solution (via the CM-MPB model), respectively. The larger (more positive) the value is, the more strongly the species binds on surface. Similarly, the adsorption energy for the species X without solvent can be calculated by directly using the DFT total energy in vacuum (without the CM-MPB model) on the right-hand side of eq 1.

**2.1. Models of Gold Nanoparticles.** To investigate the catalytic reactions on gold nanoparticles, we have constructed a series of gold nanoparticles from  $\sim 2$  to  $\sim 5$  nm by only exposing the lowest surface energy (111) and (100) microfacets according to Wulff construction rule,<sup>44,45</sup> namely, three decahedral gold clusters, Au<sub>203</sub>, Au<sub>429</sub>, and Au<sub>781</sub> (surface area (111):(100) =  $3(3)^{1/2}$ :1), and a penta-star gold cluster Au<sub>932</sub> (surface area (111)/(100) =  $3^{1/2}$ :2), as shown in Figure 1a and b.



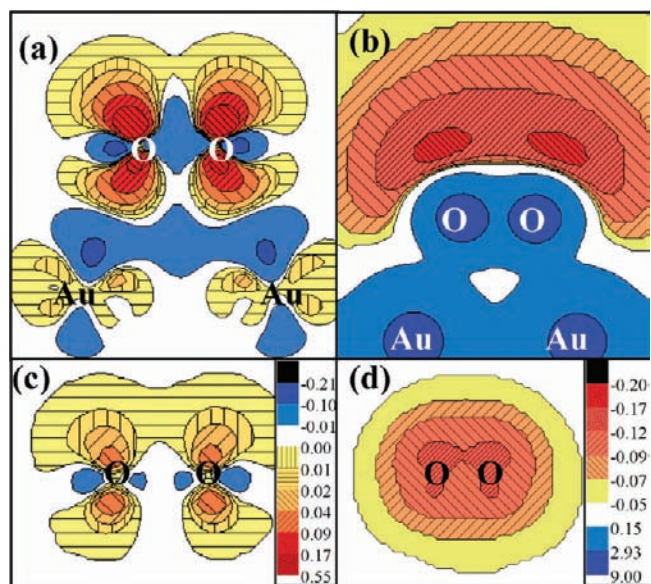
**Figure 2.**  $O_2$  adsorption on Au nanoparticles in the presence (w/sol.) or absence (w/o sol.) of aqueous solution. (a) The adsorption energy of  $O_2$  ( $E_{ad}(O_2)$ ) at  $E_7$  sites of clusters,  $Au_{203}$ ,  $Au_{429}$ ,  $Au_{781}$ , and  $Au_{932}$ . Dashed lines represent the values of  $E_{ad}(O_2)$  on stepped Au(322) with and without solvent. The insert shows the rapid drop of the population of  $E_7$  sites ( $[E_7 \text{ site}]$ ) with the increase of particle diameter. (b and c) The optimized structure for  $O_2$  adsorption on the  $E_7$  site of  $Au_{781}$ . The key distances (Å) and spin polarization ( $\mu_B$ ) of the adsorbed oxygen molecules are indicated.

The similar nano gold structures have been observed experimentally or used in previous theoretical calculations.<sup>46–48</sup> From our calculations, the surface energies of the (111) and (100) of Au are close (different by  $0.14 \text{ J/m}^2$ ) in aqueous surroundings, and therefore the exact morphology of Au particles [(111):(100) ratio] can be sensitive to the synthetic conditions as has been explored in the experiment.<sup>49–51</sup> The details for computing the surface energy are given in the Supporting Information.

For chemical reactions, the local surface sites ought to receive more attention, where the available bonding geometry and the Au coordination number (a simple index often utilized to indicate the saturation level of Au atom) often dictate the activity. It can be seen from Figure 1a that the corner and apex sites (the Au coordination number below four) have a very low population (<0.06%) on all Wulff particles, and we therefore only considered the terrace sites and the edge sites as the possible active sites for aerobic alcohol oxidation. From a theoretical point view, the terrace/stepped sites may be represented by extended surfaces in slab calculations using crystalline surfaces, such as (111), (100), and (322) as also utilized in this work. On the other hand, the edge sites that are common to nanoparticles are often not present on low Miller index surfaces and thus rarely investigated previously due to the high computational demanding of nanoparticle systems. This kind of edge sites commonly available in nanoparticles, denoted as  $E_7$  sites, is located at the conjunction between (111) and (100) surfaces with an obtuse dihedral angle ( $120^\circ$  from bulk-truncated structure). The Au coordination number of  $E_7$  sites is seven, two less than that of surface atoms on the close-packed (111). These unique sites should therefore be the focus for investigating the catalytic properties of nanoparticles.

### 3. RESULTS

**3.1.  $O_2$  Adsorption and Dissociation on Au Nanoparticles in Aqueous Solution.** To fully understand the  $O_2$  reduction process on gold, it is important to determine the  $O_2$  adsorption energy ( $E_{ad}(O_2)$ ) on gold nanoparticles and assess the possible effects due to the finite size of particle. The Au clusters studied, including three decahedral  $Au_{203}$ ,  $Au_{429}$ , and  $Au_{781}$  and a pentastar  $Au_{932}$  (see calculation models for detail), vary from 2 to 5 nm in diameter, which are in the regime most relevant to the



**Figure 3.** (a) The contour plot for the total electron charge density difference (unit:  $e/\text{Å}^3$ ) before and after  $O_2$  adsorption on Au nanoparticle in solution, constructed by subtracting the total electron densities of the  $O_2$  adsorbed model ( $O_2/Au$ ) from the separated  $O_2$  and Au cluster. (b) The contour plot of total electrostatic potential (unit: V) for the  $O_2$  adsorbed system in solution. (c) The change of the total electron charge density difference induced by solvation. (d) The change of the total electrostatic potential induced by solvation. All contour planes are cutting through the bonding plans of  $O_2$  with Au.

oxidation reactions on gold.<sup>52–54</sup> As mentioned, we will mainly focus on the  $O_2$  adsorption on the commonly available  $E_7$  sites of these nanoparticles, and the results are compared to those on extended (111) and stepped (322) surfaces. The calculated results are plotted in Figure 2a. As a representative, the optimized structures for adsorbed  $O_2$  on  $Au_{781}$  are shown in Figure 2b.

Figure 2 shows that  $E_{ad}(O_2)$  with solvent (red curve) is generally larger than it without solvent (blue curve) at the  $E_7$  sites of Au particles. In the presence of water,  $E_{ad}(O_2)$  is 0.3 eV on a 2 nm  $Au_{203}$  cluster, and it can reach to 0.4–0.5 eV on 4–5 nm Au clusters, where the solvation effect could contribute more than the half,  $\sim 0.3$  eV.  $E_{ad}(O_2)$  without solvent is consistently low, being around 0.1 eV. Consistently, the spin polarization for adsorbed oxygen with solvent is generally lower compared to that without solvent, as shown in Figure 2b,c, which implies that  $O_2$  is more negatively charged in solution. For comparison,  $E_{ad}(O_2)$  on extended surfaces without or with solvent are also computed and found to be below 0.2 eV, no matter whether close-packed (111) (0.05/0.13 eV) or stepped (322) (0.07/0.15 eV, shown by the dotted lines in Figure 2a). These low values should represent the limit for  $O_2$  adsorption on large (bulk-like) Au particles and therefore confirm the nobleness of bulky Au, even in aqueous solution. Contrary to the conventional view,  $E_{ad}(O_2)$  is not sensitive to the Au coordination number, considering that the Au atoms involved in  $O_2$  adsorption on Au(322) (steps) and nanoparticles ( $E_7$  site) are both seven coordination but  $E_{ad}(O_2)$  values are distinct. From these results, we can conclude that both the finite size of the particle and the water surroundings are important to  $O_2$  adsorption on Au.

It should be emphasized that the concentration of  $E_7$  sites decreases rapidly with the increase of the particle size. Their

relation in the decahedron Wulff particle is plotted in the insert of Figure 2a, from which we can estimate that the concentration of  $E_7$  site in 10 nm Au clusters is already 1 order of magnitude lower than that in 2 nm Au clusters. The Au nanoparticle size below 4 nm is therefore predicted to be the optimum size regime, which possesses both a high concentration of  $E_7$  sites ( $>5.1\%$ ) and a reasonable  $O_2$  adsorption energy, that is, 0.3–0.4 eV.

To provide deeper insight into the remarkable solvation effect for  $O_2$  adsorption, we have examined the electronic structure of the  $O_2$  adsorbed  $Au_{781}$  system with and without the solvation by analyzing the total electronic charge density and the total electrostatic potential. In Figure 3a, we have shown the contour plot for the total electronic charge density difference before and after the  $O_2$  adsorption on the Au cluster in solution, which is constructed by subtracting the total electron densities of the  $O_2$  adsorbed model ( $O_2/Au$ ) from the separated  $O_2$  and Au cluster. The contour plane is cutting through the bonding planes of  $O_2$  with Au. It shows that the  $2\pi^*$  of  $O_2$  can bond with the  $d_{z^2}$  orbital of gold with the net electron flow from Au to  $O_2$  (adsorbed  $O_2$  is  $-0.52$  charged from Mulliken analysis). To be consistent with this picture, the total electrostatic potential for the  $O_2$  adsorbed system in solution, shown in Figure 3b, also demonstrates the strong polarized nature of  $O_2/Au$ . The negative electrostatic potential is located maximally at the  $2\pi^*$  lobes of  $O_2$  distal to the surface.

The solvation effect can then be visualized by plotting the change of the total electronic charge density difference and the total electrostatic potential on going from the vacuum model to the solvation model, as shown in Figure 3c and d, respectively. We found that the solvation can induce extra electron accumulation on  $O_2$   $2\pi^*$  orbital, but the electron depletion is not localized on the Au atoms in contact with  $O_2$ , indicating a nonlocal electron donation behavior of Au and the internal polarization of the whole Au particle. Fundamentally, the electron density relocation in Figure 3c can be rationalized by the applied external solvation potential shown in Figure 3d, which places a net negative electrostatic field centered on the adsorbed  $O_2$  molecule. It is the intrinsic polarization of  $O_2$  binding on Au that facilitates the subsequent solvation energy gain at the Au/ $O_2$ /solution interface.

To efficiently map out the reaction network in aerobic alcohol oxidation, we have considered utilizing a truncated Au cluster model to represent the active  $E_7$  site based on two facts: the  $E_7$  site being the junction between (111) and (100) facets is commonly available and  $E_{ad}(O_2)$  is rather constant (0.3–0.4 eV) for Au nanoparticles below 4 nm in solution. The model we adopted is an  $Au_{252}$  cluster, which is a common building block for the decahedral gold cluster and the penta-star gold cluster, as shown in Figure 1. The structure stability of the  $Au_{252}$  cluster has been checked by fully optimizing the structure of the cluster until the maximal force on each coordinate is below 0.01 eV/Å. The length of  $E_7$  in the optimized  $Au_{252}$  cluster is 16.68 Å, which is 5.25% squeezed with respect to the bulk-truncated structure. The dihedral angle between (111) and (100) surfaces was  $128^\circ$  ( $120^\circ$  in the bulk-truncated structure). As will be shown below, we found that the commonly available  $E_7$  sites of Au nanoparticles, as represented by those in  $Au_{252}$ , are already capable to catalyze the aerobic alcohol oxidation.

On the  $Au_{252}$  cluster model, we have explored the possible adsorption sites for  $O_2$ , including the (111) and (100) terrace sites, namely,  $T_{(111)}$  and  $T_{(100)}$ , and three types of edges, namely  $E_5$ ,  $E_6$ , and  $E_7$  (the number in subscript indicates the coordination number of the edge Au). All of the results are shown in

**Table 1.  $O_2$  Adsorption and Dissociation on the  $Au_{252}$  Cluster**

	$T_{(100)}$	$T_{(111)}$	$E_5$	$E_6$	$E_7$
CN(Au) <sup>a</sup>	8	9	5	6	7
$E_{ad}(O_2)$ (eV) (w/o sol.)	0.00	0.08	0.11	0.15	0.18
$E_{ad}(O_2)$ (eV) (w sol.)	0.17	0.26	0.41	0.32	0.37 (0.38 <sup>b</sup> )
$d_{O-O}$ (Å)	1.32	1.28	1.35	1.35	1.33
spin ( $\mu_B$ )	1.24	1.69	1.01	1.02	1.06
$E_d(O_2 \rightarrow 2O)$ (eV)			1.28	1.32	1.47

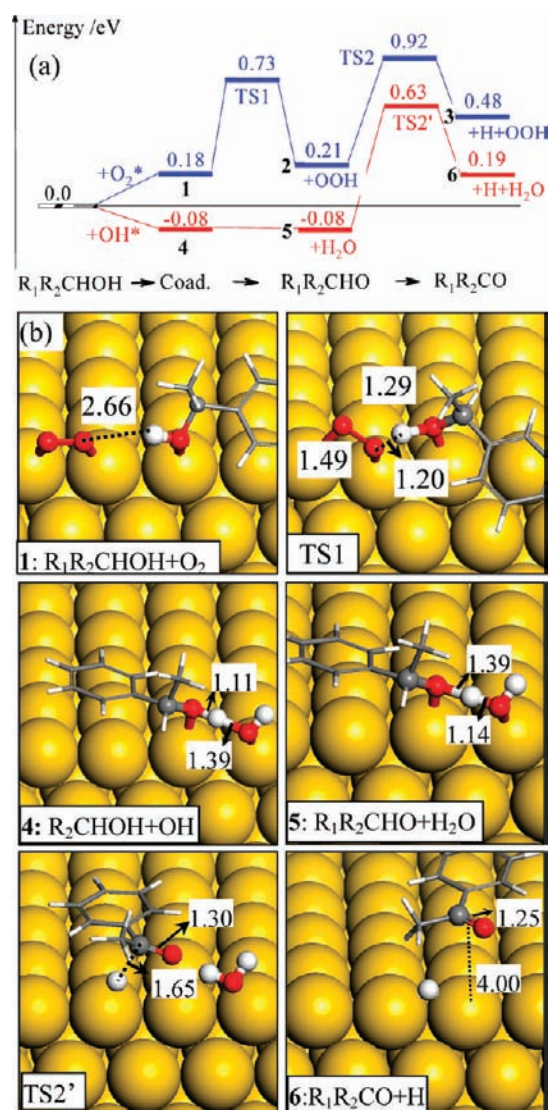
<sup>a</sup> Coordination number of Au. <sup>b</sup> With two explicit water molecules as the first solvation shell.

Table 1. As expected,  $E_{ad}(O_2)$  without solvent is weak ( $<0.18$  eV) on all sites despite the small size of the cluster. This is consistent with previous calculations and experimental findings on various Au surfaces.<sup>26,55,56</sup>

Similar to the results on the Wulff particle models, we found that the aqueous surroundings can improve  $E_{ad}(O_2)$  by  $\sim 0.2$  eV on the  $Au_{252}$  and  $O_2$  adsorbs most strongly at the edge sites and there is no obvious preference in adsorption among  $E_5$ ,  $E_6$ , and  $E_7$  sites despite the difference in their coordination number. The calculated spin polarization of the adsorbed oxygen at these edge sites are also very similar, being around 1.0  $\mu_B$ , consistent with that found in the decahedral  $Au_{781}$  (Figure 1c). At the  $E_7$  sites,  $E_{ad}(O_2)$  increases from 0.17 eV without solvent to 0.37 eV with solvent, a value indeed within the window of  $E_{ad}(O_2)$  in solution for 2–4 nm Wulff particles (Figure 1a). It might be mentioned that we also checked  $E_{ad}(O_2)$  at the  $E_7$  site by further adding two explicit water molecules as the first solvation shell to take into account the possible short-range specific interaction (the continuum solvation is always applied in background), and the recalculated value is 0.38 eV, indicating that the continuum solvation model is already enough to describe the energetics for  $O_2$  adsorption in aqueous surroundings.

Next, we also considered the possible effect of solute, that is, the added base, on the  $O_2$  adsorption. This required us first to determine the most likely adsorption site of the OH anion on Au. The OH anion in water has a large free energy of solvation ( $\Delta G_{sol}(OH^-)$  defined by the free energy change of  $OH^- + (H_2O)_n \rightarrow OH^-(H_2O)_n$ ), and thus the adsorption of OH anion is governed by the free energy change  $\Delta G_{ad}(OH^-)$  for the OH anion moving from solution to the surface. (The details for calculating  $\Delta G_{ad}(OH^-)$  are given in the Supporting Information.) Using the reported experimental value  $\Delta G_{sol}(OH^-) = -4.6$  eV as the reference<sup>57,58</sup> (our calculated value is  $-4.53$  eV ( $n = 4$ ) with the CM-MPB model), we found that  $\Delta G_{ad}(OH^-)$  is low on terrace sites, 0.04 and 0.04 on  $T_{(100)}$  and  $T_{(111)}$  terrace sites, respectively, but increases to 0.50, 0.51, and 0.52 eV on  $E_5$ ,  $E_6$ , and  $E_7$  sites, respectively. On all of the edges, the OH anion sits at a bridge site bonding with two edge Au atoms. Obviously, the coadsorption of OH anion and  $O_2$  at the edge sites is thermodynamically most likely to occur since both species prefer to adsorb at the edge sites. Our calculations show that adsorbed OH and  $O_2$  are repulsive by 0.21 eV in coadsorption, which is attributed to the fact that both OH and  $O_2$  are electronegative adsorbates. This result rules out the direct involvement of OH in promoting  $O_2$  adsorption.

It should also be mentioned that the dissociation of  $O_2$  to atomic O on the Au cluster were found to be infeasible at ambient conditions. Our calculated  $O_2$  dissociation barrier at the edges



**Figure 4.** (a) Potential energy diagram (ZPE-corrected) of the reaction channels for 1-phenylethanol oxidation in the absence (blue) and presence (red) of base (OH). The energy zero is defined as the individual adsorption state of  $O_2$ , phenylethanol,  $H_2O$ , and OH (see Table 2). (b) Snapshots of key reaction intermediates and the TS's:  $R_1=Ph$  and  $R_2=CH_3$ . Apart from an additional individually adsorbed OOH species (see Figure 5), the state of 2, 3, and TS2 in the  $O_2$ -assisted pathway are the same with the state of 5, 6, and TS2' in the OH-assisted pathway, respectively. The key distances (Å) are indicated.

without solvent is extremely high, more than 2 eV. In the aqueous surroundings, although the solvation can help to reduce the barrier, the calculated barriers at Au edges are still above 1 eV in general (see Table 1 and Figure S2 of the Supporting Information for the TS structure). Comparing to the low  $O_2$  adsorption energy ( $\sim 0.4$  eV),  $O_2$  would prefer to desorb rather than dissociate on Au kinetically. In other words, the residence time for  $O_2$  on Au is too short to dissociate at the ambient conditions. It is therefore expected that the  $O_2$  reduction is not via the  $O_2$  direct dissociation channel (i.e., via atomic O).

**3.2. Reaction Network for Phenylethanol Oxidation on Au.** To map out the whole reaction network, we took a recursive “trial-and-error” approach, the high work load of which is largely eased by the recently developed constrained TS location

**Table 2.** Calculated Adsorption Energy (eV) of Key Reaction Intermediates on the  $E_7$  Edge Site of the  $Au_{252}$  Cluster without and with Solvent (via the CM-MPB Model)<sup>a</sup>

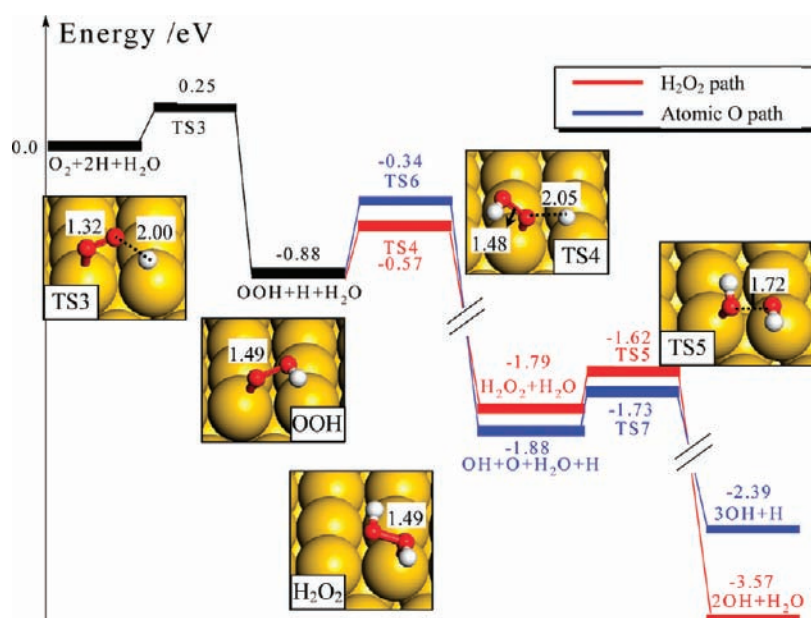
species	w/o solvent		w/solvent		$\Delta E_{ad(sol)}$ <sup>b</sup>	$d_{Au-X}$ <sup>c</sup> (Å)
	(111)	$E_7$	(111)	$E_7$		
$O_2$	0.05	0.18	0.13	0.37	0.24	2.40
1-phenylethanol	0.34	0.42	0.10	0.46	0.36	2.51
H	-0.28	-0.05	-0.31	-0.11	0.20	1.77
1-phenylethoxy	1.31	1.37	1.18	1.32	0.14	2.15
acetophenone	0.06	0.20	-0.12	0.13	0.25	2.42
$H_2O$	0.15	0.20	-0.01	0.19	0.20	2.71
OOH	0.62	0.76	0.50	0.89	0.39	2.22
OH	2.14	2.48	2.12	2.45	0.32	2.32
O	-0.10	0.04	0.09	0.28	0.19	2.12

<sup>a</sup>For comparison, the values on the extended (111) surface are also listed. All adsorption energies are calculated using eq 1 (for H and O atoms, the adsorption energy is with respect to  $1/2 H_2$  and  $1/2 O_2$ , respectively). <sup>b</sup> $\Delta E_{ad(sol)}$  is the adsorption energy difference between at the  $E_7$  site and at the extended (111) sites in solution. <sup>c</sup> $d_{Au-X}$  is the shortest distance between Au and the adsorbate at the  $E_7$  edge site of  $Au_{252}$  cluster with solvent. Except for H ( $X=H$ ), all the other adsorbates bond with Au via their O end ( $X=O$ ).

techniques.<sup>41,42</sup> We first explored the initial bond cleavage of 1-phenylethanol by breaking its CH or OH bond individually and then walked through each “likely” oxidation channel stepwise until acetophenone were reached. By “likely”, we mean that the reaction route must have relatively low reaction barriers, typically below 0.75 eV (a magnitude regarded as surmountable for surface reactions occurring at room temperatures). In deducing a complete oxidation mechanism, we also took into account the participation of base (adsorbed OH) and molecular  $O_2$  in reactions, which can serve as oxidants to accept H. In the following section, we elaborate on our calculated reaction network, including 1-phenylethanol oxidation to acetophenone and the  $O_2$  reduction on the  $Au_{252}$  cluster.

**3.2.1. Phenylethanol Oxidation to Acetophenone.** The phenylethanol dehydrogenation can follow either a direct mechanism (on Au) or an indirect mechanism assisted by the reactant  $O_2$  or the promoter OH anion. In Figure 4a, we show the determined energy profile (ZPE-corrected) for the most favorable reaction channels in the absence (blue curve) and presence (red curve) of base, which are named as the  $O_2$ -assisted pathway and the OH-assisted pathway, respectively, depending on how the first hydrogen is removed from phenylethanol. In both pathways, the OH bond of phenylethanol breaks first which is followed by the  $\alpha$ -CH bond breaking of phenylethoxy. The other possible reaction channels (e.g., first, the CH-bond breaking and then the OH-bond breaking) are less favorable and thus will be only mentioned briefly. The optimized key reaction intermediates and the TS's are shown in Figure 4b.

The adsorption energy of the involved reaction intermediates have been calculated in solution using eq 1 and are listed in Table 2. It shows that all reaction intermediates, not only molecular  $O_2$ , prefer to adsorb at the edge sites of Au particle compared to the (111) surface. The magnitude of the preference varies from 0.14 to 0.39 eV: 1-phenylethoxy has the flattest potential energy surface, while OOH, OH, and 1-phenylethanol have the most corrugated potential energy surface. We also



**Figure 5.** Potential energy diagram (ZPE-corrected) of  $\text{O}_2$  reduction by surface H. The energy zero is defined as the individual adsorption state of  $\text{O}_2$ , H, and  $\text{H}_2\text{O}$  (see Table 2). The key reaction intermediates and the TS's are also shown. The key distances ( $\text{\AA}$ ) are indicated.

noticed that the presence of aqueous solution can enhance greatly the adsorption of  $\text{O}_2$ -derivatives, including  $\text{O}_2$ , O atom ( $>0.2$  eV), and OOH (0.13 eV), apparently due to their large electronegativity. It might be mentioned that the adsorption data in solution listed in Table 2 are with the implicit solvation model only. The explicit  $\text{H}_2\text{O}$  molecules have been added in calculating reaction profiles. For example, 1-phenylethoxy has a large coadsorption energy gain with an explicit  $\text{H}_2\text{O}$  (0.39 eV) due to the formation of a strong H-bonding.

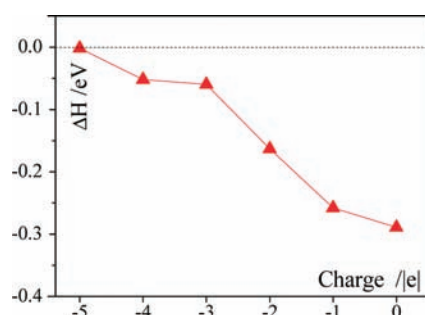
**$\text{O}_2$ -Assisted Pathway.** In this pathway, the adsorbed phenylethanol first breaks its hydroxyl bond and passes the H to a neighboring adsorbed  $\text{O}_2$ , which yields a 1-phenylethoxy and an OOH. At the initial state (IS, state 1), the coadsorption of  $\text{O}_2$  and phenylethanol is repulsive by 0.18 eV. At the TS (TS1), the passing H is far away (2.65  $\text{\AA}$ ) from the surface Au but sits in between two O atoms with a short distance (1.20, 1.29  $\text{\AA}$ ), implying that this is a proton transfer process (see Figure 4). The newly formed 1-phenylethoxy (state 2) adsorbs also most strongly at the edge site (see Table 2), and it can form a strong H-bonding interaction with a neighboring (explicit) water molecule (Figure 4b) with the coadsorption energy gain being 0.39 eV. Next, the 1-phenylethoxy breaks the  $\alpha$ -CH bond over an edge Au atom to produce an acetophenone (state 3) that can readily desorb from the surface ( $E_{\text{ad}}$ (acetophenone) is only 0.13 eV). At the TS of the  $\alpha$ -CH bond breaking (TS2), the C–H bond is stretched to 1.65  $\text{\AA}$ , and the evolving acetophenone is floating over the Au surface with the C–Au distance being at least 3.2  $\text{\AA}$ ; the calculated reaction barrier ( $E_{\text{a}}$ ) is 0.71 eV. It might be mentioned that the presence of the explicit water is essential to calculate the barrier of  $\alpha$ -CH breaking step due to the large coadsorption energy gain at the IS (with only the implicit solvation, the  $\alpha$ -CH breaking barrier is 0.34 eV). Overall, the  $\text{O}_2$ -assisted pathway produces acetophenone and adsorbed surface H and OOH, and the reaction energy ( $\Delta H$ ) is +0.48 eV (endothermic). The overall barrier height is 0.92 eV (the energy difference between TS2 and the initial adsorbed phenylethanol), which is a sum due to both the  $\alpha$ -CH and the hydroxyl bond breaking.

It might be mentioned that the other possible channels for the first dehydrogenation of phenylethanol are unlikely to occur due to their higher barriers ( $>1.2$  eV). These unfavorable channels include the direct hydroxyl bond breaking ( $\text{R}_1\text{R}_2\text{CHOH} \rightarrow \text{H} + \text{R}_1\text{R}_2\text{CHO}$ ,  $\text{R}_1=\text{Ph}$ , and  $\text{R}_2=\text{CH}_3$ ; hereafter,  $E_{\text{a}} = 1.67$  eV and  $\Delta H = 1.49$  eV), the direct  $\alpha$ -CH bond breaking ( $\text{R}_1\text{R}_2\text{CHOH} \rightarrow \text{H} + \text{R}_1\text{R}_2\text{COH}$ ;  $E_{\text{a}} = 1.69$  eV and  $\Delta H = 1.12$  eV), and the  $\text{O}_2$ -assisted  $\alpha$ -CH bond breaking ( $\text{O}_2 + \text{R}_1\text{R}_2\text{CHOH} \rightarrow \text{OOH} + \text{R}_1\text{R}_2\text{COH}$ ;  $E_{\text{a}} = 1.31$  eV and  $\Delta H = 0.24$  eV).

**OH-Assisted Pathway.** In the presence of the OH anion that adsorbs at the edge site, the adsorbed phenylethanol can readily lose its H of the hydroxyl group to the neighboring OH. The coadsorption of OH and phenylethanol is attractive by 0.08 eV (state 4), and the distance between the H of phenylethanol and the OH only 1.3  $\text{\AA}$  at the IS. Due to the close contact of the two species, the consequent proton transfer is essentially barrierless, which finally yields a 1-phenylethoxy and an  $\text{H}_2\text{O}$  (state 5). The next step,  $\alpha$ -CH bond breaking, is the same as that in the  $\text{O}_2$ -assisted pathway with a barrier of 0.71 eV. In this pathway, an acetophenone is formed together with a surface H and a water molecule (state 6). The overall barrier height in the OH-assisted pathway is thus 0.71 eV, originated solely from the  $\alpha$ -CH breaking step.

It is interesting to notice that the presence of base, or more generally the electronegative species, does not help the  $\alpha$ -CH bond breaking of phenylethoxy. We have utilized  $\text{O}_2$ , OH, or OOH as the H acceptor to assist the  $\alpha$ -CH dissociation, and the calculated barriers are all higher than 1 eV ( $\text{O}_2 + \text{R}_1\text{R}_2\text{CHO} \rightarrow \text{OOH} + \text{R}_1\text{R}_2\text{CO}$ :  $E_{\text{a}} = 1.08$  eV and  $\Delta H = -0.62$  eV;  $\text{OH} + \text{R}_1\text{R}_2\text{CHO} \rightarrow \text{H}_2\text{O} + \text{R}_1\text{R}_2\text{CO}$ :  $E_{\text{a}} = 1.09$  eV and  $\Delta H = -0.90$  eV;  $\text{OOH} + \text{R}_1\text{R}_2\text{CHO} \rightarrow \text{H}_2\text{O}_2 + \text{R}_1\text{R}_2\text{CO}$ :  $E_{\text{a}} = 1.21$  eV and  $\Delta H = -1.79$  eV). This is consistent with the fact that the H on  $\alpha$ -C is not proton-like (calculated Mulliken charge of H is +0.02, in comparison with +0.34 of H in hydroxyl of phenylethanol) and the CH bond breaking cannot be promoted by the electronegative acceptor.

From the reaction profile in Figure 4a, we can finally summarize three key features in the phenylethanol decomposition: (i) The presence of OH can reduce the overall barrier by 0.21 eV,



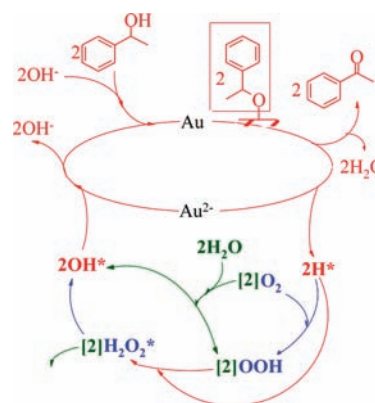
**Figure 6.** Reaction energy ( $\Delta H$ ) of  $\text{OH}^* + \text{OOH}^* \rightarrow \text{O}_2^* + \text{H}_2\text{O}^*$  on differently charged  $\text{Au}_{252}^{n-}$ .

indicating the strong promotional effect of the external base. Such an energy difference would mean that the reaction rate is different by 4 orders of magnitude at 300 K, assuming the pre-exponential factors are the same. (ii) The hydroxyl bond breaking of phenylethanol must be promoted by electronegative species, either coadsorbed  $\text{O}_2$  or  $\text{OH}$ , since the direct hydroxyl bond breaking over Au is highly activated ( $>1.2$  eV). Obviously, the hydroxyl bond breaking is sensitive to the basicity of the H acceptor. The stronger basicity of  $\text{OH}$  compared to  $\text{O}_2$  causes the lower overall barrier of the  $\text{OH}$ -assisted pathway. (iii) The  $\alpha$ -CH bond breaking occurs most favorably via the direct dehydrogenation over the Au site. Therefore, no matter which pathway is involved, the surface H is always produced due to the intrinsic low barrier of  $\alpha$ -CH bond breaking over Au. This is important as it implies that the presence of surface H on Au might be universal in alcohol oxidation on Au-based catalysts, independent of the type of oxide supports or the added base. The presence of H on Au was first confirmed by Conte et al.<sup>17</sup> over a Au/CeO<sub>2</sub> catalysts using isotope experiment, who demonstrated that the surface H originates from the  $\alpha$ -C—H cleavage.

**3.2.2. O<sub>2</sub> Reduction by Surface H.** The  $\text{OH}$ -assisted dehydrogenation of phenylethanol consumes  $\text{OH}$  anions from the solution, produces adsorbed H and  $\text{H}_2\text{O}$ , and consequently leaves negative charges to the Au particle ( $\text{OH}^- + \text{PhCH}(\text{CH}_3)\text{OH} \rightarrow \text{PhC}(\text{CH}_3)\text{O} + \text{H}_2\text{O} + \text{H}^* + e^-$ , superscript \* indicates the adsorbed state). To close the catalytic cycle, the reactant  $\text{O}_2$  must be reduced to regenerate  $\text{OH}$  anion and restore the charge state of Au. Due to the presence of  $\text{OH}$  anions, we found that the  $\text{O}_2$  reduction mechanism can be quite complex, involving several competing reaction routes. The most straightforward one is the stepwise hydrogenation via a hydrogen peroxide ( $\text{H}_2\text{O}_2$ ) intermediate, namely, from  $\text{O}_2$  to  $\text{OOH}$ ,  $\text{H}_2\text{O}_2$  and finally to the  $\text{OH}$  anion, as shown in Figure 5. These pathways are described in the following section.

**H<sub>2</sub>O<sub>2</sub> Pathway.** While the direct dissociation of  $\text{O}_2$  is not feasible, as addressed in Section 3.1, we found that the surface H can react with an adsorbed  $\text{O}_2$  to form  $\text{OOH}$  with a low barrier ( $E_a = 0.25$  eV). Next, the  $\text{OOH}$  can react with another surface H to form  $\text{H}_2\text{O}_2$ , which is followed by the cleavage of the O—O bond to produce  $\text{OH}$ . The barriers for the formation and degradation of  $\text{H}_2\text{O}_2$  are 0.31 and 0.17 eV, respectively. The whole reaction is highly exothermic by 3.57 eV per  $\text{O}_2$ , as shown in Figure 5. The highest barrier, 0.31 eV, occurs at the  $\text{OOH} + \text{H} \rightarrow \text{H}_2\text{O}_2$  step, which is still much lower than that in the dehydrogenation of phenylethanol. Finally, the surface  $\text{OH}$  can desorb into the solution as  $\text{OH}$  anion, which removes the extra electrons on the surface that were left by the  $\text{OH}$ -assisted 1-phenylethanol oxidation.

**Scheme 1. Complete Mechanism for the Aerobic Oxidation of 1-Phenylethanol<sup>a</sup>**



<sup>a</sup>The key surface intermediate, 1-phenylethoxy, is highlighted in the dotted box.

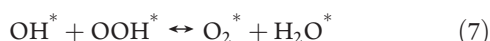
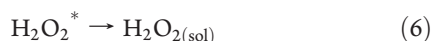
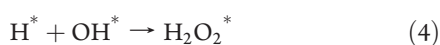
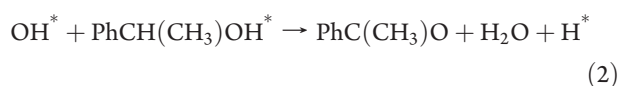
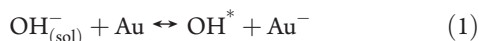
For the adsorbed  $\text{H}_2\text{O}_2$  at the  $E_7$  site, in parallel to its dissociation, it can also desorb by overcoming the adsorption energy, which is 0.20 eV, very close to the dissociation barrier 0.17 eV. Considering that  $\text{H}_2\text{O}_2$  dissociation requires two surface atoms/sites at the TS (for two OHs), it is anticipated that  $\text{H}_2\text{O}_2$  would become more likely to desorb into solution when the  $E_7$  sites are highly populated by surface species. This is likely because all reaction intermediates prefer to adsorb at the  $E_7$  site compared to the (111) terraces. We noticed that Zope et al.<sup>29</sup> reported that  $\text{H}_2\text{O}_2$  dissociation is highly activated by 0.7 eV on Au(111), which is used to rationalize the detected  $\text{H}_2\text{O}_2$  formation in experiment. Our results here provide an alternative view that  $\text{H}_2\text{O}_2$  can in fact both decompose and desorb at the edge sites of Au nanoparticles with low barriers, and the production of  $\text{H}_2\text{O}_2$  is kinetically controlled, which is sensitive to the coverage of the edge sites.

**Atomic O Pathway.** Alternative to the hydrogenation of  $\text{OOH}$ ,  $\text{OOH}$  can also dissociate into atomic O and  $\text{OH}$  by overcoming a barrier of 0.54 eV (TS6). The atomic O can then react with a neighboring  $\text{H}_2\text{O}$  via proton exchange (TS7) to generate two  $\text{OH}$  groups (The structures of TS6 and TS7 are shown in Supporting Information Figure S2). In total, three  $\text{OH}$  groups are produced on the surface, which can end up with  $\text{OH}$  anion in solution or with  $\text{H}_2\text{O}$  by accepting the hydroxyl H from alcohol. Because the barrier height of the atomic O pathway is about 0.2 eV higher than that of the  $\text{H}_2\text{O}_2$  pathway, the pathway is kinetically unlikely, and the atomic O will not be produced on Au surface.

It should be mentioned that we also identified a fast proton exchange equilibrium for  $\text{OOH}$  reacting with a neighboring  $\text{OH}$ ,<sup>29</sup> that is,  $\text{OH}^* + \text{OOH}^* \rightarrow \text{O}_2^* + \text{H}_2\text{O}^*$  at the  $E_7$  site of Au (the structures are shown in Figure S2 of the Supporting Information). On the neutral  $\text{Au}_{252}$ , we found that the reaction is facile with the barrier below 0.1 eV and is exothermic by 0.29 eV. Since the  $\text{OH}^* + \text{OOH}^* \rightarrow \text{O}_2^* + \text{H}_2\text{O}^*$  reaction does not involve electrons, it means that the negative charge on the Au particle would accumulate if the surface  $\text{OOH}$  keep being consumed by the adsorbed  $\text{OH}$  that is from  $\text{OH}$  anion in solution (overall reaction:  $\text{OH}^-_{(\text{sol})} + \text{OOH}^* + \text{Au} \rightarrow \text{O}_2^* + \text{H}_2\text{O}^* + \text{Au}^-$ ). It is naturally expected that the accumulation of electrons should in turn quench the reaction (to the left). By gradually charging the Au cluster by additional electrons, we indeed found

that, as the net electrons on Au<sub>252</sub> increases to 5 (Au<sub>252</sub><sup>5-</sup>), the reaction becomes thermal neutral, as shown in Figure 6. This indicates that the proton-exchange equilibrium can be achieved over the anionic Au particle. At the steady state, this equilibrium provides a new channel for O<sub>2</sub> reduction to surface OOH with even a lower barrier compared to that of O<sub>2</sub> direct hydrogenation; the surface H can then be consumed by the formed OOH.

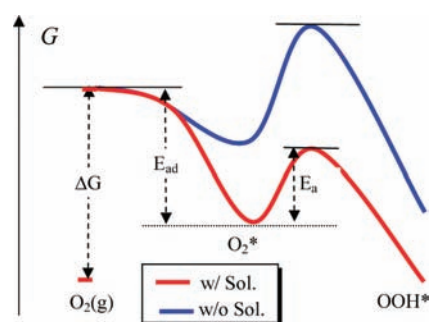
**3.2.3. Complete Reaction Network.** On the basis of the determined pathways, we can complete the reaction network of phenylethanol oxidation, as summarized in Scheme 1. There are seven key elementary steps in the main reaction channel numbered sequentially below from 1 to 7.



Among the steps, reaction 2, the  $\alpha$ -CH bond breaking, is the key step that possesses the highest barrier. The absence or the presence of the base does not change the rate-determining step but will lower the overall barrier of the alcohol dehydrogenation by facilitating the hydroxyl dehydrogenation of alcohol. Obviously, the lack of catalytic ability to break the hydroxyl bond is the key problem for gold, even nanoparticles, which is the fundamental reason why the external base is often required.

The O<sub>2</sub> reduction mechanism is more complex as it is related to both the surface coverage and the charge state of Au particle. At the initial stage when Au is neutral and the surface coverage is low, the reaction follows 1–5 elementary steps with the decomposition of H<sub>2</sub>O<sub>2</sub> on the surface (red + blue cycle in Scheme 1). Due to the presence of the side reaction 7 (on neutral Au the reaction favors the right-hand side product, O<sub>2</sub> and H<sub>2</sub>O), the added base will lead to the Au particle being negatively charged gradually. Once the reaction reaches to the steady state, when the surface coverage is high and Au particles are negatively charged, another O<sub>2</sub> reduction channel, step (6–7), takes over, in which the adsorbed H<sub>2</sub>O<sub>2</sub> desorbs and the reaction 7 O<sub>2</sub>\* + H<sub>2</sub>O\* → OH\* + OOH\* over anionic Au nanoparticles provides a facile route to reduce O<sub>2</sub> to OOH (red + green cycle in Scheme 1). The overall reaction thus follows a network including steps (1–4) and (6–7). Therefore, the catalytic roles of the added base are dual-fold: first, to start the reaction by facilitating the hydroxyl bond breaking of alcohol and second, to maintain the OH\* + OOH\* ↔ O<sub>2</sub>\* + H<sub>2</sub>O\* equilibrium by providing the negative charges to the Au particle.

It is worth comparing our O<sub>2</sub> reduction mechanism with that proposed by Zope et al.<sup>59</sup> recently. Using Au(111) as the model, they proposed that the O<sub>2</sub> reduction follows O<sub>2</sub>\* + H<sub>2</sub>O\* → OH\* + OOH\* and OOH\* + H<sub>2</sub>O\* → H<sub>2</sub>O<sub>2</sub>\* + OH\*. While the



**Figure 7.** Simplified free energy profile of O<sub>2</sub> activation on Au with (red curve) and without aqueous solution (blue curve).  $\Delta G$  accounts for the entropy loss for the gas phase O<sub>2</sub> trapping onto a surface physisorption state before its chemisorption.  $E_{\text{ad}}$  and  $E_{\text{a}}$  are the adsorption energy of O<sub>2</sub> and the reaction barrier of the O<sub>2</sub> + H reaction, respectively.

former reaction is the step (7) above, also identified on the edge site of Au particles, we noticed that the latter reaction is not favored thermodynamically (endothermic by 0.38 eV on Au-(111)<sup>29</sup> and 0.27 eV on E<sub>7</sub> site in this work). Maybe more importantly, the O<sub>2</sub> reduction via H<sub>2</sub>O alone cannot explain (i) the removal of surface H that has been detected by experiment or (ii) the essentiality of the base addition, if O<sub>2</sub> can readily react with H<sub>2</sub>O to produce OH.

## 4. DISCUSSION

**4.1. Solvation Effect on O<sub>2</sub> Activation.** We are now at the position to address how O<sub>2</sub> is activated on Au nanoparticles. Our calculations show that O<sub>2</sub> direct hydrogenation is involved at the initial stage to produce OOH and the reaction between OOH and OH then initiates the negative charge accumulation of Au. Although the O<sub>2</sub> hydrogenation may not be involved at the steady state (replaced by O<sub>2</sub> + H<sub>2</sub>O → OOH + OH), it is critical for the activation of the whole process. Once OOH is formed, the further hydrogenation to H<sub>2</sub>O<sub>2</sub> is kinetically more favorable compared to its decomposition back to O<sub>2</sub> and surface H. To produce OOH initially is thus the key to activate O<sub>2</sub>, which involves two competing elementary reactions, namely, the O<sub>2</sub> adsorption and the O<sub>2</sub> hydrogenation, as illustrated in the simplified free energy profile Figure 7. At finite temperature and pressures the adsorption of gas phase molecules will experience a loss of free energy ( $\Delta G$ ) from the gas phase to a surface-trapped physisorption state, which is usually a large term due to the large contribution of the translational and rotational entropy. For O<sub>2</sub> at ambient conditions (298 K, 0.2 atm),  $\Delta G$  is about 0.58 eV from standard thermodynamics data,<sup>59</sup> indicating a large free energy barrier for O<sub>2</sub> adsorption.

From Figure 7, a critical quantity for O<sub>2</sub> reduction is the relative order for  $E_{\text{ad}}$  and  $E_{\text{a}}$ . On the Au<sub>252</sub> cluster, we found that  $E_{\text{ad}}(\text{O}_2)$  is 0.37 eV, 0.12 eV larger than the  $E_{\text{a}}$  of the O<sub>2</sub> + H reaction (0.25 eV) in aqueous solution. This indicates that O<sub>2</sub> is well trapped onto the surface (long residence time) to enable the subsequent hydrogenation. By contrast, without solvent  $E_{\text{ad}}(\text{O}_2)$  is only 0.17 eV, which is lower than the  $E_{\text{a}}$  of the O<sub>2</sub> + H reaction, 0.33 eV, implying that O<sub>2</sub> prefers to desorb instead of hydrogenation kinetically. The change in the relative order for  $E_{\text{ad}}$  and  $E_{\text{a}}$  can lead to a large difference in kinetics. From microkinetics with a steady-state approximation ( $d[\text{O}_2^*]/dt = 0$ ), we can estimate that the O<sub>2</sub> reduction rate at the solid–water interface



is *two orders* of magnitude faster than that it at the solid–gas interface at 298 K. It is important that the presence of water solvent not only increases the residence time of O<sub>2</sub> on surface but also reduces the barrier of O<sub>2</sub> hydrogenation.

The catalytic role of water in activating O<sub>2</sub> on pure Au identified here can be used to explain why the water solvent is usually a must for aerobic alcohol oxidation on Au supported on inert materials at ambient conditions, such as SiO<sub>2</sub>, activated carbon, and polymers.<sup>8,9,54</sup> On the other hand, in the case of the active oxide (such as TiO<sub>2</sub>, CeO<sub>2</sub>) supported catalysts, where the Au/active-oxide interface are known to be active for O<sub>2</sub> adsorption and activation,<sup>23,60</sup> the presence of the water solvent is no longer essential. As demonstrated in the experiment, the non-polar solvent toluene has been widely used for aerobic oxidation on Au/active oxides.<sup>15,19</sup>

#### 4.2. Structural Sensitivity of Aerobic Alcohol Oxidation.

Since the  $\alpha$ -CH bond breaking barrier of 0.71 eV at the E<sub>7</sub> site of Au nanoparticle is higher than that for O<sub>2</sub> activation, it is thus reasonable that O<sub>2</sub> reduction is not the rate-determining step in alcohol oxidation, although O<sub>2</sub> adsorption occurs dominantly at the minority edge sites of particle. By identifying the rate-determining step, it is of interest to ask whether this reaction is surface-structure sensitive. From Table 2, we can see that all reaction intermediates prefer to adsorb at the E<sub>7</sub> edge site of Au particle compared to the (111) surface. Among them, 1-phenylethoxy has the lowest energy cost (0.14 eV) for diffusing from the E<sub>7</sub> site to the (111) sites. Because other species such as O<sub>2</sub> prefer more strongly on the E<sub>7</sub> site, it is thermodynamically preferred that the phenylethoxy diffuses to the (111) terrace sites to allow for the adsorption of other species, which will lower the overall energy of the system.

To further check whether the phenylethoxy can also decompose on (111) sites, we calculated the barrier for its C–H bond cleavage on the (111) surface. The barrier is found to be 0.10 eV lower than that on the E<sub>7</sub> site (the located TS on (111) is shown in Figure S3 of the Supporting Information). It is therefore that the overall barrier for phenylethoxy decomposition on the (111) surface sites (diffusion plus reaction) is only 0.04 eV higher than its direct degradation on the E<sub>7</sub> site. This energy difference is small ( $\sim 4.7$  times in rate difference at room temperature), and considering that the (111) facets are the dominant surface sites, we can deduce that the C–H bond cleavage of 1-phenylethoxy is in fact not sensitive to the surface sites on typical Au nanoparticles. The surface structure insensitivity of the alcohol oxidation reaction can explain the experimental finding by Abad et al.,<sup>15</sup> who showed that the rate of alcohol oxidation in Au/TiO<sub>2</sub> is proportional to the area of exposed Au sites.

The facile  $\alpha$ -C–H bond breaking even on the close-packed (111) surface may not be surprising as the TS for C–H bond cleavage of 1-phenylethoxy is rather final-state-like with the evolving acetophenone being far away from the surface and the leaving H only bonding with one Au atom. From the IS to the TS, the Au surface therefore only needs to provide one atom for accepting the monovalent H, which is a classical type of surface reaction that is not sensitive to the surface sites, as demonstrated previously for CH<sub>4</sub> dissociation on metals.<sup>61</sup>

## 5. CONCLUSION

By mapping out the reaction network of aerobic alcohol oxidation on nano gold particles using an integrated approach based on first principles calculations and a periodic continuum

solvation model, this work outlines some key features for catalytic reactions occurring on gold nanoparticles in aqueous solution. Although gold is poor in covalent bonding ability due to the saturation of its d-bands, it can still act as a good electron donor in bonding with electronegative adsorbates (similar to other transition metals). This effect of electron donation is enlarged in aqueous solution, where the solvation effect is found to enhance O<sub>2</sub> adsorption on gold nanoparticles dramatically due to the nonlocal polarization of the whole gold particle. We show that, without the need of minority corner or apex sites, the commonly available edge sites of Au nanoparticles are already capable to activate molecular O<sub>2</sub> (via hydrogenation) in an aqueous environment, which rationalizes the long-standing puzzles in the field concerning the remarkable activity difference between the liquid phase and the vapor phase for gold-based catalysis.

The most favorable reaction channel for alcohol oxidation is switched from a O<sub>2</sub>-assisted pathway to a OH-assisted pathway with the addition of external base due to the sensitivity of the hydroxyl (alcohol) bond breaking to the basicity of the H-acceptor. In the O<sub>2</sub>-assisted pathway, the adsorbed O<sub>2</sub> acts as the acceptor for the H of hydroxyl, but the reaction is still highly activated. In the OH-assisted pathway, the adsorbed OH that originates from OH anion in solution can accept easily the proton from the hydroxyl of alcohol. The consequent reaction is the same in both pathways, that is, the  $\alpha$ -C–H bond breaking of 1-phenylethoxy. The  $\alpha$ -C–H bond breaking can occur both at the edge and on the terrace sites of Au with the similar overall barrier (0.7 eV) due to the relatively flat potential energy surface of phenylethoxy and the intrinsic low barrier of the CH bond breaking on Au. As the  $\alpha$ -CH bond breaking step is the rate-determining step, it is expected that the alcohol oxidation is not sensitive to the structure of typical Au nanoparticles.

The surface H produced from the  $\alpha$ -C–H bond breaking can be removed by O<sub>2</sub> and OOH via a H<sub>2</sub>O<sub>2</sub> pathway initially (O<sub>2</sub>→OOH→H<sub>2</sub>O<sub>2</sub>) without involving atomic O. Importantly, we also find that Au particles are negatively charged at the reaction steady state because of a facile proton-shift reaction on surface, OOH + OH  $\leftrightarrow$  O<sub>2</sub> + H<sub>2</sub>O, which can serve as a major channel to produce OOH from O<sub>2</sub> by replacing the initial O<sub>2</sub> + H.

## ■ ASSOCIATED CONTENT

**S** Supporting Information. Details on the implementation of CM-MPB model; methods for calculating surface energy and OH anion adsorption free energy; model of Au(322) slab; optimized structures for TS structures of O<sub>2</sub> dissociation, TS6, TS7, OOH + OH, and O<sub>2</sub> + H<sub>2</sub>O; and TS for  $\alpha$ -CH dehydrogenation on Au(111). This material is available free of charge via the Internet at <http://pubs.acs.org>.

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## ■ ACKNOWLEDGMENT

This work is supported by the National Nature Science Foundation (NSF) of China (20825311), 973 program (2011CB808500), Science and Technology Commission of Shanghai Municipality (08DZ2270500), and Program for

Professor of Special Appointment (Eastern Scholar) at Shanghai Institute of Higher Learning.

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