

## Polymerization of *rac*-lactide catalyzed by group 4 metal complexes containing chiral N atoms

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Received: 10 August 2011 / Accepted: 4 October 2011 / Published online: 12 October 2011  
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**Abstract** The hydroxyl- and phenoxy-bridged dinuclear zirconium and hafnium complexes, **1** and **2**, containing a chiral N atom in the N<sub>2</sub>O<sub>2</sub> ligand (H<sub>2</sub>L = 2-(((2-pyridylmethyl)(2-hydroxyphenyl)amino)methyl)-4,6-di(*tert*-butyl)phenol) were used as catalysts for the ring-opening polymerization of *rac*-lactide. Experiments prove that **1** and **2** are living and controlled catalytic systems with activity up to 3.25 g<sub>pol</sub> mmol<sub>ini</sub><sup>-1</sup> h<sup>-1</sup>. The isotactic-rich polylactides in a narrow polydispersity ( $M_w/M_n = 1.01\text{--}1.13$ ) were produced with enantiomeric complexes **1** and **2** ( $P_m = 0.65\text{--}0.73$ ). The kinetic studies show a first-order dependency in both monomer and initiator. The initiation mechanism is discussed on the basis of the MALDI-TOF MS and <sup>1</sup>H NMR spectra of the *rac*-LA oligomer prepared by **1**.

**Keywords** Hafnium · Isoselectivity · Lactide · Polymerization · Zirconium

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**Electronic supplementary material** The online version of this article (doi: [10.1007/s00289-011-0647-0](https://doi.org/10.1007/s00289-011-0647-0)) contains supplementary material, which is available to authorized users.

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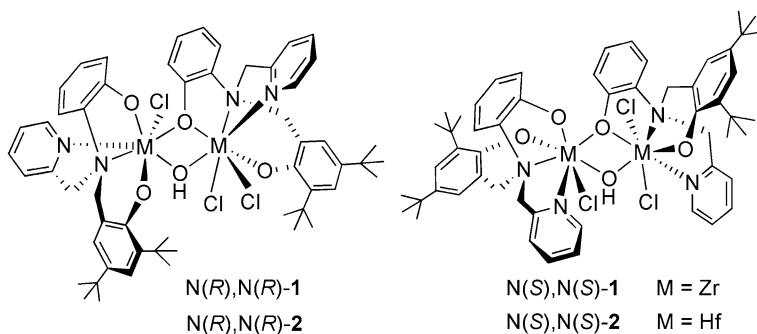
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## Introduction

Development of Lewis acid catalysts for controlled polymerization of lactide (LA) is a lasting interest over past two decades as polylactide (PLA) is a biodegradable and biocompatible polyester derived from biorenewable feed stocks [1]. The stereoregular PLA with improved physical and mechanical properties is an attractive polymeric material of high quality. A promising and practical strategy for the convenient production of the stereoregular PLA is the stereoselective ring-opening polymerization (ROP) of *rac*-LA [2–7]. Hence, many efforts have been made to develop discrete, well-characterized single-site catalysts for the stereoselective ROP of *rac*-LA. Most known catalysts do not bias toward different enantiomers in the ROP of *rac*-LA, thereby furnishing atactic amorphous PLA. In the last decade, many complexes of Ca [8], Mg [9, 10], Zn [11, 12], Sn [13], Al [5, 6], Sc [14], Y [15, 16], Ge [17], Ti [18, 19], and Zr [20], have been found to be good initiators for the ROP of *rac*-LA to heterotactic-rich PLA, while the reports on efficient catalysts to isotactic-rich PLA are limited to salen and salan aluminum complexes [2, 3, 21–24].

Group 4 metal complexes have attracted considerable attention, generally in the drive for the fundamental new coordination chemistry of group 4 metals and their potential applications as Lewis acid catalysts. In recent years, group 4 metal complexes were successfully used as initiators for the ROP of *rac*-LA. However, most reported Ti, Zr, and Hf complexes display good catalytic activity with no stereoselectivity or with heteroselectivity [18–20, 25, 26]. So far, only a salan zirconium complex was reported with isoselectivity in the ROP of *rac*-LA to give a stereoblock PLA [27]. In our earlier work, we prepared the enantiomeric dinuclear zirconium and hafnium complexes (**1** and **2**) from the reactions of  $MCl_4$  ( $M = Zr, Hf$ ) and an unsymmetric  $N_2O_2$  ligand (Fig. 1) [28]. The coordination of the prochiral tertiary amine to the metal center leads to the formation of the complex with a chiral N atom. It would be interesting if we can successfully transfer the chirality at an N atom of a complex to polymers, because in this way the stereoselectivity of polymerization can be approached without using any chiral auxiliary in the preparation of catalysts. The catalytic properties of complexes **1** and



**Fig. 1** Dinuclear complexes **1** and **2** containing chiral N atoms

**2** for the polymerization of *rac*-LA and the initiation mechanism of the reaction were studied.

## Experimental section

### General procedures

All reactions and manipulations related to organometallic compounds were carried out under dinitrogen atmosphere using standard Schlenk techniques. Toluene was distilled under nitrogen with sodium/diphenyl ketone and ethyl acetate was distilled with calcium hydride prior to use. *rac*-LA and L-LA (both from Aldrich) were recrystallized three times from ethyl acetate. Zirconium chloride was purchased from Aldrich. Other commercially available chemical reagents were used without further purification. Unsymmetric amine-pyridine-bis(phenolate) ligands ( $H_2L$ ) was prepared according to modified literature procedures [29] (see Supplementary material). Complexes **1** and **2** were prepared as the procedure previously reported [28].

$^1H$  NMR Spectra were recorded on a Varian 400 and 600 NMR spectrometers. Mass spectra were recorded on an ESI-Q-TOF MS (Micro) instrument. Molecular weight and molecular weight distribution were determined by gel permeation chromatography (PL-GPC 220). The GPC column was eluted with THF at 40 °C at a rate of 1 mL/min and the data were calibrated with polystyrene standards. The  $M_n$  values have been corrected by a Mark–Houwink factor of 0.58 [30].

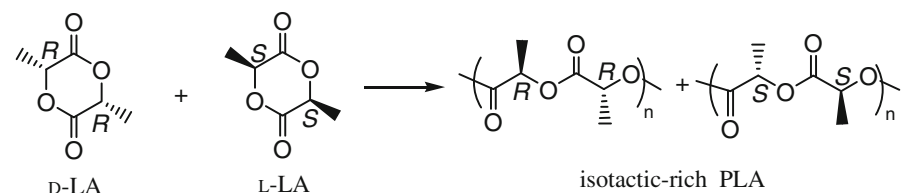
### Typical procedure for polymerization of *rac*-LA

A toluene solution (10 mL) of the racemic initiator **1** (0.057 g, 0.05 mmol) and *rac*-LA (1.44 g, 10 mmol) was stirred at 130 °C for 10 h. The reaction was stopped by cooling the tube quickly with an ice-water bath. A sample was taken from the resulting solution for determination of the conversion of *rac*-LA by  $^1H$  NMR spectroscopy. The volatiles were evaporated under reduced pressure and the residue was dissolved in a minimum amount of  $CH_2Cl_2$ . The polymer was precipitated with addition of cold methanol. The resulting solid was washed with methanol (3 × 20 mL) and dried under high vacuum.

## Results and discussion

### Influence of temperature on the ROP of *rac*-LA

The ROP of *rac*-LA catalyzed by **1** and **2** was initially explored at 130 °C in toluene with a 100:1 molar ratio of monomer to catalyst. The conversions of *rac*-LA are 94–97% in 8 h with activities of 3.05–3.25  $g_{pol} mmol_{ini}^{-1} h^{-1}$  (Table 2, entries 1 and 5). The  $M_n$  values are in the range of 15300–16100 with narrow polydispersities ( $M_w/M_n = 1.09$ –1.13). The enantiomeric dinuclear complexes **1** and **2** play an

**Table 1** Effect of temperature on the ROP of *rac*-LA initiated by **1** and **2**


Entry	Initiator	<i>T</i> (°C)	Time (h)	Conv <sup>a</sup>	<i>M</i> <sub>n</sub> <sup>b</sup>	<i>M</i> <sub>w</sub> / <i>M</i> <sub>n</sub> <sup>b</sup>	<i>P</i> <sub>m</sub> <sup>c</sup>
1	<b>1</b>	90	48	80	12800	1.01	0.73
2	<b>1</b>	110	48	94	15900	1.03	0.72
3	<b>1</b>	130	8	97	16100	1.09	0.65
4	<b>2</b>	90	48	43	6300	1.02	0.73
5	<b>2</b>	110	48	94	15500	1.02	0.70
6	<b>2</b>	130	8	94	15300	1.13	0.66

Conditions: [*rac*-LA] = 1 M, [*rac*-LA]/[Ini] = 100:1, toluene 10 mL

<sup>a</sup> Determined by <sup>1</sup>H NMR

<sup>b</sup> Determined by GPC in THF and calibrated with polystyrene standards. The *M*<sub>n</sub> values have been corrected by a Mark–Houwink factor of 0.58, due to the use of polystyrene standards [30]

<sup>c</sup> *P*<sub>m</sub> is the probability of isotactic enchainment calculated by analysis of the homonuclear-decoupled <sup>1</sup>H NMR spectra [11]

isotactic selectivity in the ROP of *rac*-LA. The homonuclear-decoupled <sup>1</sup>H NMR spectra of the methine region of the PLA sample derived from **1** and **2** suggest the formation of the isotactic-rich PLA (Supplementary Figs. S1, S2). The *P*<sub>m</sub> values are 0.65 and 0.66 for the ROP of *rac*-LA initiated by **1** and **2**, respectively.

The conversion of *rac*-LA apparently went down when the reaction temperature was decreased from 130 to 90 °C while keeping the molar ratio of *rac*-LA to catalyst in 100:1. The conversion of *rac*-LA was reduced from 97% with **1** as initiator in 8 h at 130 °C to 80% in 48 h at 90 °C (Table 1, entry 3 vs. 1). The catalytic results show that the hafnium complex **2** is somewhat less active than the analogous zirconium complex **1**. The conversion of *rac*-LA decreased from 94% in 8 h at 130 °C to 43% in 48 h at 90 °C with **2** as initiator (Table 1, entry 6 vs. 4). It was noticed that the polydispersities of PLA are further narrowed to 1.01–1.03 with decrease of the reaction temperature to 110 and 90 °C, together with gradual decrease in the *M*<sub>n</sub> value. The narrow polydispersities (*M*<sub>w</sub>/*M*<sub>n</sub> = 1.01–1.13) and the linear correlation between the observed *M*<sub>n</sub> and the conversions of monomer imply a living polymerization system with **1** and **2** as initiators (Supplementary Figs. S3, S4).

An increase of isotactic selectivity (*P*<sub>m</sub>) of PLA was observed with decrease of the reaction temperature. The *P*<sub>m</sub> was up to 0.73 when polymerization of *rac*-LA was carried out at 90 °C with **1** or **2** as initiator (Table 1, entries 1 and 4), indicating that introduction of the chiral N atom to the initiator does play a role in stereoselective polymerization. The isotactic selectivities of **1** and **2** are higher than the *P*<sub>m</sub> values (0.5–0.6) reported for the ROP of *rac*-LA initiated by the

mononuclear zirconium and hafnium complexes containing an analogous symmetric amine-pyridine-bis(phenolate) ligand [27]. To the best of our knowledge, among group 4 metal complexes used as initiators for polymerization of *rac*-LA, only a salan zirconium complex was found to be an efficient initiator for the stereoselective polymerization of *rac*-LA to stereoblock PLA with isoselectivity up to 0.75.

#### Influence of the molar ratio of monomer to initiator on the ROP of *rac*-LA

The influence of the molar ratio of monomer to initiator on the ROP of *rac*-LA was studied with **1** and **2** as initiators in toluene at 130 °C. As the molar ratio of *rac*-LA to initiator was increased from 100:1 to 200:1, the conversions of monomer maintained 91–97%, but the  $M_n$  values are almost doubled (Table 2, entries 2 vs. 1 and 6 vs. 5). Further increase of the molar ratio of *rac*-LA to initiator to 300:1 resulted in an apparent decrease of the conversions of monomer to 75% for **1** and 67% for **2**, with gradual increases of the  $M_n$  values and slight decreases of the polydispersities from 1.13 to 1.04. Variation of the molar ratio of *rac*-LA to **1** or **2** does not influence the isotactic selectivity ( $P_m$ ) of the ROP of *rac*-LA, which varies in the range of 0.65–0.71.

#### Kinetic and thermodynamic studies of the ROP of *rac*-LA with complexes **1** and **2**

The kinetics of the ROP of *rac*-LA initiated by **1** and **2** at different molar ratios of monomer to initiator in toluene at 130 °C was studied by  $^1\text{H}$  NMR spectroscopy. Semilogarithmic plots for these polymerizations are shown in Figs. 2 and 3. In each figure, the linear relationship between  $\ln([\text{LA}]_0/[\text{LA}]_t)$  and time (h) reveals a first-order kinetics in monomer. The ROP of *rac*-LA with **1** and **2** proceeds according to the rate equation:  $-\text{d}[\text{LA}]/\text{d}t = k_{\text{app}}[\text{LA}]$ , where  $k_{\text{app}} = k_p[\text{Ini}]^x$  ( $k_{\text{app}}$  and  $k_p$  are the apparent propagation and propagation rate constants). The polymerization rate of *rac*-LA increases with decrease of the molar ratio of monomer to initiator. The  $k_{\text{app}}$

**Table 2** The ROP of *rac*-LA in different molar ratios of monomer to initiator

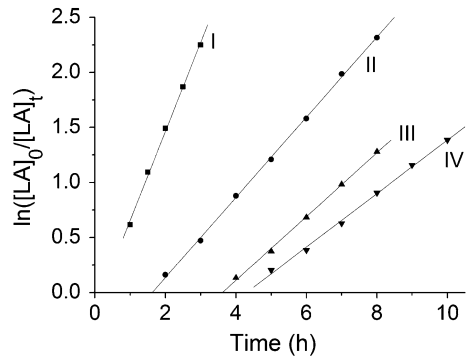
Entry	Initiator	Mon:Ini	Time (h)	Conv <sup>a</sup>	$M_n^b$	$M_w/M_n^b$	$P_m^c$	Activity <sup>d</sup>
1	<b>1</b>	100:1	8	97	16100	1.09	0.65	3.25
2	<b>1</b>	200:1	10	94	30100	1.08	0.71	2.47
3	<b>1</b>	250:1	10	85	32500	1.06	0.67	2.75
4	<b>1</b>	300:1	10	75	33700	1.04	0.67	2.97
5	<b>2</b>	100:1	8	94	15300	1.13	0.66	3.05
6	<b>2</b>	200:1	10	91	28000	1.07	0.66	2.38
7	<b>2</b>	250:1	10	80	30800	1.05	0.68	2.63
8	<b>2</b>	300:1	10	67	31000	1.04	0.67	2.64

Conditions: [*rac*-LA] = 1 M, 130 °C, toluene 10 mL

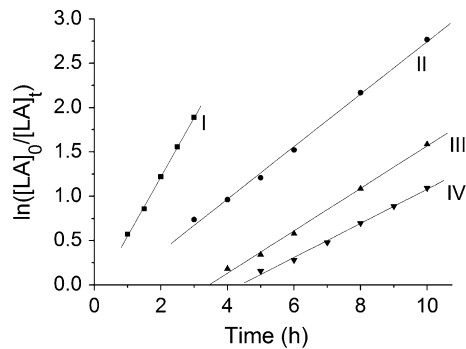
<sup>a-c</sup> The same as those in Table 1

<sup>d</sup>  $\text{g}_{\text{pol}} \text{mmol}_{\text{ini}}^{-1} \text{h}^{-1}$

**Fig. 2** Semilogarithmic plots of  $\ln([LA]_0/[LA]_t)$  versus time for the ROP of *rac*-LA in toluene at 130 °C with **1** as initiator and  $[rac\text{-LA}] = 1.0\text{ M}$  (*I*  $[rac\text{-LA}]/[1] = 100:1$ , *II* 200:1, *III* 250:1, *IV* 300:1)



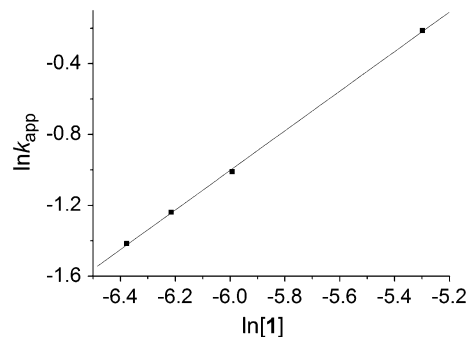
**Fig. 3** Semilogarithmic plots of  $\ln([LA]_0/[LA]_t)$  versus time for the ROP of *rac*-LA in toluene at 130 °C with **2** as initiator and  $[rac\text{-LA}] = 1.0\text{ M}$  (*I*  $[rac\text{-LA}]/[2] = 100:1$ , *II* 200:1, *III* 250:1, *IV* 300:1)



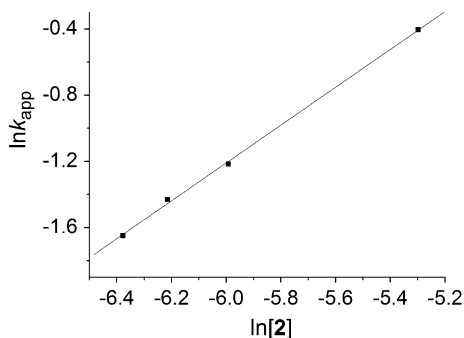
for **1** changes from 0.243 to 0.809  $\text{h}^{-1}$  when the  $[rac\text{-LA}]/[1]$  ratio is varied from 300 to 100. The similar  $k_{\text{app}}$  values are calculated for the ROP of *rac*-LA using **2** as initiator. They are 0.192, 0.296, and 0.667  $\text{h}^{-1}$  with  $[rac\text{-LA}]/[2] = 300, 200,$  and 100, respectively, which are somewhat slower than the rates of polymerization of *rac*-LA by complex **1** under the same condition.

The kinetic dependence on the initiator was also studied with the concentration of the initiator (**1** or **2**) varying from 0.0033 to 0.01 M. The apparent propagation rate constants versus the concentrations of the initiator are plotted in Figs. 4 and 5. The linear relationship of  $\ln k_{\text{app}}$  versus  $\ln[\text{Ini}]$  reveals a first-order dependency of the rate

**Fig. 4** Plot of  $\ln k_{\text{app}}$  versus  $\ln[1]$  for the ROP of *rac*-LA in toluene at 130 °C with  $[rac\text{-LA}] = 1.0\text{ M}$



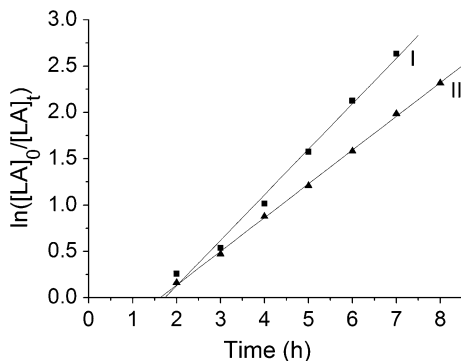
**Fig. 5** Plot of  $\ln k_{\text{app}}$  versus  $\ln[2]$  for the ROP of *rac*-LA in toluene at 130 °C with  $[rac\text{-LA}] = 1.0 \text{ M}$



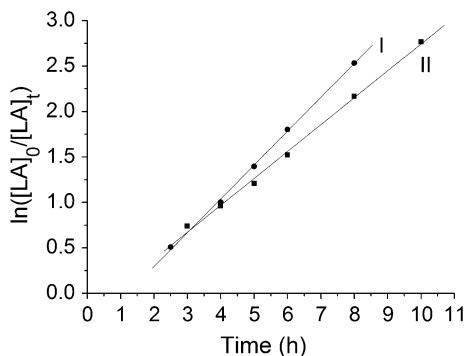
on initiator ( $x = 1.1 \pm 0.04$ ). Therefore, the ROP of *rac*-LA initiated by **1** or **2** follows the overall rate equation:  $-d[\text{LA}]/dt = k_p[\text{LA}][\text{Ini}]$ .

Furthermore, the kinetics of the ROP of L-LA was also studied to make a comparison. The polymerization performed with an enantiopure L-LA resulted in an entirely isotactic PLA (Supplementary Fig. S5). Therefore, the epimerization in this catalytic system can be ruled out [31]. The  $k_{\text{app}}$  of  $0.491 \text{ h}^{-1}$  for the ROP of L-LA with **1** in toluene at 130 °C is apparently higher than that ( $0.364 \text{ h}^{-1}$ ) determined for the polymerization of *rac*-LA under the same conditions (Fig. 6). Similarly, the  $k_{\text{app}}$  values for the ROP of *rac*-LA and L-LA with **2** are 0.296 and  $0.372 \text{ h}^{-1}$ ,

**Fig. 6** Semilogarithmic plots of  $\ln([\text{LA}]_0/[\text{LA}]_t)$  versus time for the polymerizations of L-LA and *rac*-LA in toluene at 130 °C with **1** as initiator and  $[\text{LA}] = 1.0 \text{ M}$  (I [L-LA]/[**1**] = 200:1, II [*rac*-LA]/[**1**] = 200:1)



**Fig. 7** Semilogarithmic plots of  $\ln([\text{LA}]_0/[\text{LA}]_t)$  versus time for the polymerizations of L-LA and *rac*-LA in toluene at 130 °C with **2** as initiator and  $[\text{LA}] = 1.0 \text{ M}$  (I [L-LA]/[**2**] = 200:1, II [*rac*-LA]/[**2**] = 200:1)

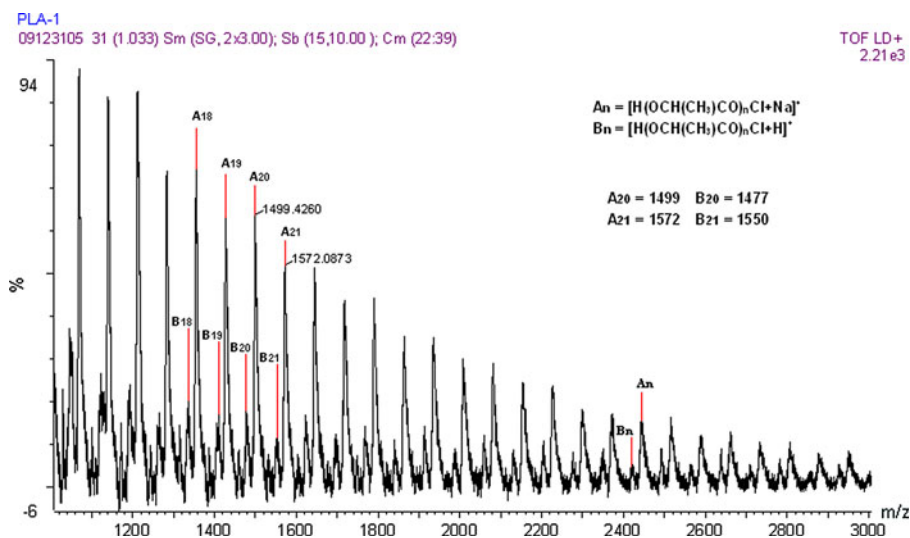


respectively (Fig. 7). The lower polymerization rates of *rac*-LA than those of L-LA indicate that the isoselective polymerization occurs with complexes **1** and **2** as initiators. The predominant formation of isotactic PLA from *rac*-LA polymerization implies that the homopropagation rate ( $k_{D/D}$  or  $k_{L/L}$ ) is higher than the cross-propagation rate ( $k_{D/L}$  or  $k_{L/D}$ ). These kinetic results are consistent with the observed isotactic selectivity in the ROP of *rac*-LA with **1** and **2**.

Thermodynamic studies on the ROP of *rac*-LA using **1** and **2** as initiators were conducted to get activation parameters of the reaction. The polymerization of *rac*-LA speeded up with increase of the reaction temperature (Supplementary Figs. S6, S7). The  $k_{app}$  values are 0.034, 0.157, and 0.809  $\text{h}^{-1}$  for **1** and 0.012, 0.078, and 0.667  $\text{h}^{-1}$  for **2** at 90, 110, and 130  $^{\circ}\text{C}$ , respectively. The activation parameters of the polymerization of *rac*-LA using **1** and **2** as initiators are calculated according to the following equation:  $\ln(k_{app}/T) = -(\Delta H^{\ddagger}/RT) + \ln(K_b/h) + \Delta S^{\ddagger}/R$  using the  $k_{app}$  values determined at different temperatures (Supplementary Figs. S8, S9). The activation enthalpy ( $\Delta H^{\ddagger}$ ) for the *rac*-LA polymerization with **1** is 93.2  $\text{kJ mol}^{-1}$  and the entropy ( $\Delta S^{\ddagger}$ ) is  $-86.33 \text{ J K}^{-1} \text{ mol}^{-1}$ . The activation enthalpy ( $\Delta H^{\ddagger} = 119.1 \text{ kJ mol}^{-1}$ ) and entropy ( $\Delta S^{\ddagger} = -23.9 \text{ J K}^{-1} \text{ mol}^{-1}$ ) for the ROP of *rac*-LA initiated by **2** are computed in the same way.

#### Studies on the mechanism of the ROP of *rac*-LA with complex **1**

To gain some insights into the initiation mechanism, short oligomers of *rac*-LA were prepared. The oligomerization of *rac*-LA was performed with complex **1** (0.1 mmol) in a molar ratio of 20:1 for monomer to initiator in toluene (2 mL) at 130  $^{\circ}\text{C}$  for 4 h. The resulting solution was quenched by a drop of methanol. Two sets of peaks are found in the MALDI-TOF mass spectrum of the oligomer (Fig. 8).

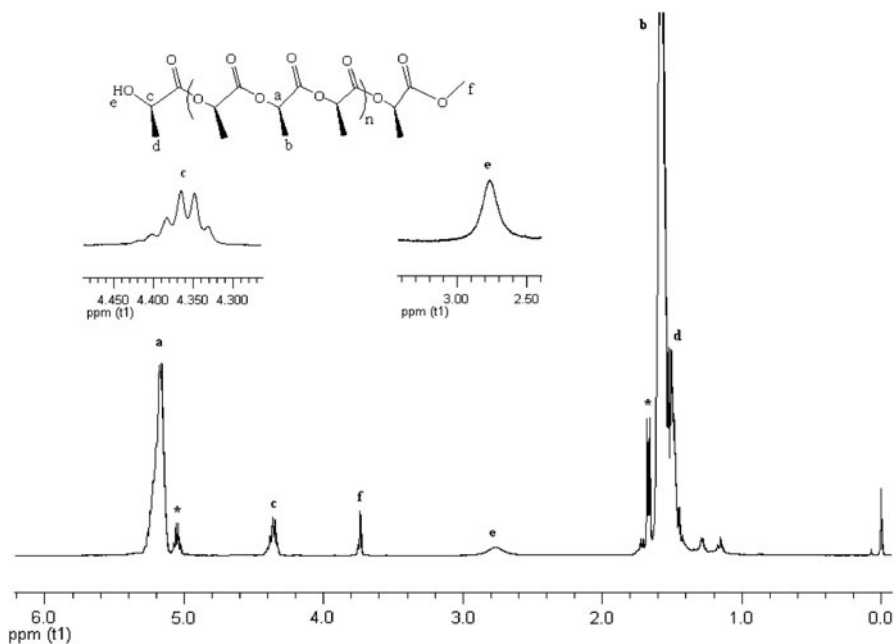


**Fig. 8** A MALDI-TOF mass spectrum of the oligomer obtained from the ROP of *rac*-LA with **1** after the resulting solution is quenched with a drop of methanol



The regular mass intervals of the two sets of peaks are well consistent with the species of  $[\text{H}(\text{OCH}(\text{CH}_3)\text{CO})_n\text{Cl}+\text{Na}]^+$  (An) and  $[\text{H}(\text{OCH}(\text{CH}_3)\text{CO})_n\text{Cl}+\text{H}]^+$  (Bn), respectively, both with an acyl chloride terminal end cap.

Moreover, the  $^1\text{H}$  NMR spectrum of the oligomer does not show any signals for aromatic protons, which suggests that the groups of the amine-pyridine-bis-(phenolate) ligand do not attend the polymerization process. In addition to the strong signals at  $\delta$  5.15–5.21 (m,  $\text{OCH}(\text{CH}_3)$ ) and 1.55–1.59 (m,  $\text{CH}(\text{CH}_3)$ ) for the protons of the oligomer chains, the  $^1\text{H}$  NMR spectrum of the oligomer, obtained after the resulting solution is quenched with an excess of methanol, shows the signals at  $\delta$  4.36 (q,  $\text{OCH}(\text{CH}_3)$ ), 2.76 (br,  $\text{OH}$ ), and 1.49 (d,  $\text{CH}(\text{CH}_3)$ ) for the end group  $\text{HOCH}(\text{CH}_3)\text{C}=\text{O}$ , and a small singlet at  $\delta$  3.76 ( $\text{OCH}_3$ ) for the methyl ester, derived from alcoholysis of the acyl chloride terminal ( $-\text{COCl}$ ) (Fig. 9). Both the MALDI-TOF MS and the  $^1\text{H}$  NMR spectra of the oligomer support that the chloride ion acts as the initiating group in the ROP of *rac*-LA with complex **1**. The initiation may occur through the insertion of a molecule of *rac*-LA into the  $\text{Zr}-\text{Cl}$  bond of complex **1** and the ROP of *rac*-LA proceeds exclusively via an acyl-oxygen cleavage of the monomer. This mechanism is further supported by the observation of only one methine peak in the homonuclear-decoupled  $^1\text{H}$  NMR spectrum of PLLA (Supplementary Fig. S5). According to all spectroscopic evidence and the catalytic results, a coordination-insertion mechanism is proposed for the ROP of *rac*-LA initiated by complexes **1** and **2**.



**Fig. 9**  $^1\text{H}$  NMR spectrum (400 MHz,  $\text{CDCl}_3$ ) of the oligomer obtained from the ROP of *rac*-LA with **1** after the resulting solution is alcoholized with an excess of methanol (The signals marked with an asterisk are attributed to the monomer)

## Conclusions

The experimental results show that complexes **1** and **2** are efficient initiators for the ROP of *rac*-LA. The polymerization proceeds in a well-controlled manner, giving isotactic-rich PLA in a narrow polydispersity. Although the stereocontrol mechanism for the ROP of *rac*-LA initiated by these group 4 metal complexes is not clearly understood currently, it is assumed that the asymmetric coordination environment around the metal center, resulting from the chirality of the tertiary amine N atom in the ligand, may play a role in governing the stereoselective ROP of *rac*-LA. The MALDI-TOF MS and the  $^1\text{H}$  NMR spectra of the *rac*-LA oligomer with **1** suggest that the initiating group is a chloride ion, thus the initiation process may occur through the insertion of a molecule of *rac*-LA into the M–Cl bond of the complex. Further studies are under way to improve the stereoselectivity of the ROP of *rac*-LA by modifying the substituents and structures of the unsymmetric  $\text{N}_2\text{O}_2$  ligands and to enhance the activity by adjusting the metal center and the initiating group of the complex.

**Acknowledgments** This study was supported by the National Natural Science Foundation of China (Grant no. 20973032), and the K & A Wallenberg Foundation of Sweden.

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