Crystal structure characterization and electronic structure of a rare-earth containing Zintl Phase in the Yb-Al-Sb family: Yb₃AlSb₃

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Abstract A rare-earth containing compound, Yb_3AlSb_3 (Ca₃AlAs₃-type structure), has been successfully synthesized within the Yb-Al-Sb system through flux methods. According to the Zintl formalism, this structure is nominally made up of $[Yb^{2+}]_3 [Al^{1-}] [1b - Sb^{2-}]_2 [2b - Sb^{1-}]$ where 1b and 2b indicate 1 bonded and 2 bonded, respectively, and Al is treated as part of the covalent anionic network. The crystal structure features infinite, corner-sharing AlSb₄ tetrahedra, $_{\infty}^{-1}[AlSb_2Sb_{2/2}]^{6-}$, with Yb²⁺ cations residing between the tetrahedra to provide charge balance. Herein, the synthetic conditions, the crystal structure determined from single-crystal X-ray diffraction data, and electronic structure calculations are reported.

Keywords: Zintl phase, electronic structure, semiconductor, crystal structure, ytterbium, aluminum, antimony, thermoelectric

1. Introduction

A large variety of Zintl phase ternary compounds with the formula A₃MPn₃ (referred to as 3-1-3) where A = rare earth or alkaline earth metal; M = transition metal, alkaline earth, or triel (group 13 element); Pn = pnictogen (group 15 element) have been discovered. To date there are five types of structures with the 3-1-3 composition and the different structure types are attributed to the size differences of each atomic species (Cordier *et al.*, 1987). Sr₃GaSb₃ (space group *P*2₁/*n*) (Cordier *et al.*, 1987) and Eu₃AlAs₃ (space group *P*2₁/*c*) (Radzieowski *et al.*, 2020) are the two structure types that crystallize in the monoclinic crystal system. The other three, Ba₃GaSb₃ (space group *Pnma*) (Cordier *et al.*, 1985), Ca₃AlAs₃ (space group *Pnma*) (Cordier *et al.*, 1982) and Ba₃AlSb₃ (space group *Cmce*) (Cordier *et al.*, 1982) are all in the orthorhombic crystal system. The structure type of each

ternary compound depends on how the tetrahedra are connected in most cases (Kauzlarich *et al.*, 2016). For Sr₃GaSb₃ (Cordier *et al.*, 1987), the tetrahedra are connected by shared Sb corners and form an infinite distorted chain with four tetrahedra as the repeating unit. In the Ca₃AlAs₃ structure type (Cordier *et al.*, 1982), the infinite chain structure is similar to the Sr₃GaSb₃ type (Cordier *et al.*, 1987), but the tetrahedra form a straight line with one tetrahedron as the repeating unit. In Ba₃GaSb₃ (Cordier *et al.*, 1985), Ba₃AlSb₃ (Cordier *et al.*, 1982) and Eu₃AlAs₃ types (Radzieowski *et al.*, 2020), each two tetrahedra share a Pn-containing edge (Pn = Ba, As) to form isolated dimeric anion pairs (Al₂Pn₆)¹²⁻.

Early literature has shown various combinations of A = Ca, Sr, Ba, Eu; M = Al, Ga, In; Pn = P, As, Sb exist with the 3:1:3 composition. The thermoelectric properties of some of the A₃MPn₃ compounds have been reported, featuring an inherently low lattice thermal conductivity and electron–crystal, phonon–glass properties (Zevalkink *et al.*, 2011; Zevalkink *et al.*, 2012; Zevalkink *et al.*, 2013). To date, all of the reported compositions, except the rare earth phase, Eu₃InAs₃ (Rajput *et al.*, 2020), are p-type semiconductors. Yb₃AlSb₃ appears as a new rare earth containing 3-1-3 phase and the only Yb containing phase to date, after the reported Eu phases of Eu₃AlAs₃, Eu₃GaAs₃, (Radzieowski *et al.*, 2020) Eu₃InP₃ (Jiang *et al.*, 2005) and Eu₃InAs₃ (Rajput *et al.*, 2020). It is isostructural with Ca₃AlAs₃ (Cordier *et al.*, 1982), Ca₃AlSb₃ (Cordier *et al.*, 1984), Ca₃InP₃ (Cordier *et al.*, 1985), Ca₃GaAs₃ (Somer *et al.*, 1996). The crystal structure of Yb₃AlSb₃ has been reported in the dissertation of Wu (Wu, 2006), prepared from an Aluminum flux.

Four different phases have been reported to date containing the elements Yb-Al-Sb: Yb₅Al₂Sb₆, Yb₃AlSb₃, Yb₁₁AlSb₉, and Yb₁₄AlSb₁₁. All of the structures feature AlSb₄ tetrahedra.

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Unlike the single straight chain structure in Yb₃AlSb₃ reported herein, formed by anionic species [AlSb₃]⁶⁻, Yb₅Al₂Sb₆ contains straight chains formed by [Al₂Sb₆]¹⁰⁻. These $_{\infty}^{1}$ [Al₂Sb₆]¹⁰⁻ chains can be described as a double chain ladder-type structure, where the tetrahedra in two different chains are interconnected by a Sb-Sb bond (Todorov et al., 2009). When the stoichiometry is more Al deficient, the tetrahedra become disconnected. Both Yb₁₁AlSb₉ and Yb₁₄AlSb₁₁ contain isolated [AlSb₄]⁹⁻ tetrahedra and Sb³⁻ anions. Yb₁₁AlSb₉ contains additional [Sb₂]⁴⁻ dimers while the Yb₁₄AlSb₁₁ structure contains [Sb₃]⁷⁻ linear units (Kastbjerg *et al.*, 2012; Toberer *et al.*, 2008).

Herein, the crystal structure determined from single crystal X-ray diffraction and electronic structure calculations using density functional theory are presented.

2. Experimental

2.1. Synthesis and crystallization

Yb₃AlSb₃ crystals were synthesized using flux methods. All materials were handled in an argon-filled dry box with <1 ppm H₂O. The crystals were small, black and reflective and were discovered serendipitously from attempts at growing an Al analog of Yb₂₁Mn₄Sb₁₈ (He *et al.*, 2019). Stoichiometric amounts of Yb pieces (Metall Rare Earth Limited, 99.99 %), Al shots (Alfa Aesar, 99.999 %), Sb shots (Alfa Aesar, 99.999 %), and Pb shots (Alfa Aesar, 99.999 %) were loaded with the ratio, Yb₂₁Al₄Sb₁₈Pb₁₇₂, for a total of 5 g into an alumina crucible set (5 cm³) (Canfield *et al.*, 2016). The crucible set was sealed in an evacuated fused silica tube and placed in a programmable furnace. The reaction vessel was heated to 500 °C at 120 °C/h (2 h dwell), brought to 950 °C at 120 °C/h (12 h dwell), and slowly cooled to 650 °C (2 °C/h). The reaction vessel was removed from the furnace at 650 °C and the molten flux was

removed through centrifugation and the crystals are air stable. The reaction produced

multiple side phases.

Table 1Crystal data and structure refinement for Yb₃AlSb₃.

Empirical formula	Yb ₃ AlSb ₃
Formula weight	911.35
Temperature (K)	100(2)
Radiation type	Μο <i>Κα,</i> 0.71073 Å
Crystal system, space group	Orthorhombic <i>, Pnma</i>
<i>a, b, c</i> (Å)	12.803(3), 4.4751(9), 14.148(3)
<i>α, β,</i> γ (°)	90, 90, 90
V (ų)	810.6(3)
Z	4
Crystal size (mm)	0.027 x 0.049 x 0.063
O-range for data collection	2.880 - 30.583
(°)	
Index ranges	-18 <= h <= 18, -6 <= k <= 6, -20 <= l <= 20
Reflections collected	16634
Independent reflections	1395 [R _{int} = 0.0376]
Refinement method	Full-matrix least-squares on F ²
Data / restraints /	1395 / 0 / 44
parameters	
Goodness-of-fit on F ²	1.162
Final R indices $[I > 2\sigma(I)]$	R ₁ = 0.0158, wR ₂ = 0.0335
R indices (all data)	R ₁ = 0.0185, wR ₂ = 0.0340
Extinction coefficient	0.00046(3)
$\Delta \rho_{max}$, $\Delta \rho_{min}$ (e ⁻ Å ⁻³)	1.389, -1.382

2.2. Refinement

Single crystal X-ray diffraction data were collected from a Bruker X-ray diffractometer with Mo radiation and processed by APEX 3 and SADABS (see **Table 1**) (Bruker, 2016). The black needle crystals were selected and cut to appropriate dimensions in Paratone-N oil. The space group *Pnma* was determined by XPREP automatically (Sheldrick, 2008). The structure was solved by direct methods in the SHELXTL suite of programs (Sheldrick, 2008). During the refinement cycles, unphysical atomic positions based on van der Waals radius were ignored manually, with the final refinement cycles obtained a highest residue peak 2.725 e⁻/Å³ and a deepest hole of -1.784 e⁻/Å³. The absorption correction was further employed in the refinement using SADABS (Bruker, 2016) resulting in a drop in the R₁ factor to 1.58 % with highest residue peak 1.389 e⁻/Å³ and the deepest hole -1.378 e⁻/Å³. Atomic coordinates were standardized using the STRUCTURE TIDY program (Gelato & Parthé, 1987).

2.3. Density Functional Theory (DFT) and Crystal Orbital Overlap Population (COOP)

Electronic structure calculations were done with DFT using the generalized gradient approximation (GGA) (Perdew *et al.*, 1996) for the semilocal exchange-correlation potential. The Kohn-Sham orbitals for the valence electrons were expanded on a plane wave basis set with a cutoff energy of 50 Ry for the wavefunctions. Chemical bonding analysis was performed by COOP calculations using the LOBSTER program (Maintz *et al.*, 2016). After calculation of the overlaps, the absolute total spilling was 2.33% and the absolute charge spilling was 1.64%. The first Brillouin zone of the unit cell was integrated over a uniform 3 x 9 x 3 k-point mesh (Monkhorst *et al.*, 1976) for self-consistent electronic structure calculations and geometry optimization. All the calculations were done using the Quantum ESPRESSO package v6.2. (Giannozzi *et al.*, 2009).

3. Results and discussion

3.1. Structural Description and Comparison

The crystal structure of Yb₃AlSb₃, viewed down the *b*-axis is shown in **Figure 1a** with the unit cell indicated in the bottom left corner. All atoms reside on the Wyckoff position 4*c* with *m* symmetry. According to the Zintl formalism (Kauzlarich, 1996), Yb₃AlSb₃ is nominally made up of 3 Yb²⁺, 1 Al¹⁻, 2 Sb²⁻, 1 Sb¹⁻. Since the electrons provided by the cations are not enough to satisfy octet for the anions, a covalent bonding framework is formed between anions.

(Kauzlarich et al., 2007, Kauzlarich, 1996). The aluminum atoms are bonded to four antimony atoms (three unique positions) resulting in a formal charge of -1 for the aluminum atom. In the AISb₄ tetrahedral chain, the antimony atoms that are shared between adjacent tetrahedra have two bonds(2b) and can therefore be considered to be formally Sb^{1-} . The remaining antimony only has one bond (1b), resulting in Sb²⁻. The remaining ytterbium atoms are considered to be Yb²⁺ cations, making the overall structure charge balanced. In sum, Yb₃AlSb₃ can be expressed as $(Yb^{2+})_3[(Al^{1-})(1b - Sb^{2-})_2(2b - Sb^{1-})]$. For Yb₃AlSb₃, the bonding between Yb atoms and [AlSb₃]⁶⁻ anionic species is considered to be ionic. However, because the difference between the electronegativity of Al and Sb, 1.61 and 2.05 in Pauling scale, respectively, is not large enough to consider the bonding as ionic, the bonding between them should be mostly covalent character, making the classification of this compound as a polar intermetallic rather than a Zintl phase. However, for structural considerations, the Zintl concept provides a consistent framework. The structure contains infinite chains of corner-shared AISb₄ tetrahedra that make up the covalent anionic substructure (Figure 1b). The shortest Yb-Yb distance is 3.6097(6) Å, between Yb(1) and Yb(2), bridged by three Sb(1) atoms. This distance is similar with that observed for the Ca analog, Ca₃AlSb₃ (Cordier *et al.*, 1984) that has a distance of 3.642 (4) Å, and therefore is not considered a covalent bond. All of the three Yb sites are in distorted octahedral coordination as shown in Figure 1c. The Yb-Sb distance of the six Sb atoms surrounding the Yb atoms are in the range of 3.1034(5) Å - 3.3906(8) Å. In each corner-shared AlSb₄ tetrahedra, one Al¹⁻ atom bonds to two 1b Sb1 and 1b Sb2, and two 2b Sb atoms (Sb3), formally considered Sb²⁻ and Sb¹⁻, respectively (Figure 1b). The Al-Sb distances, ranging from 2.7053(17) Å - 2.7302(10) Å, roughly matches the summed single-bonded covalent radii of Al

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(1.214 Å) and Sb (1.395 Å) (Cordero *et al.*, 2008), which is 2.609 Å, in line with the Zintl formalism. Two of the bond lengths for Al-Sb are the same (Al-Sb3, 2.7302(10) Å) while the remaining two are different (Al-Sb1, 2.7053(17) Å, and Al-Sb2, 2.7245(18) Å). The tetrahedra are distorted with Sb-Al-Sb bond angles of 103.30(5)°, 109.09(4)°, 110.08(6)°, 112.50(4)°. The Sb(3)-Al-Sb(3) angle of 110.08(6)° is the angle associated with the corner sharing of the tetrahedra in the chain.

Figure 1 (a) The crystal structure of Yb₃AlSb₃, viewed down the *b*-axis. (b) The infinite chains of corner sharing AlSb₄ tetrahedral structures, viewed along the *b*-axis. Sb atoms are navy, Yb are gray, and Al are light blue. (c) The coordination picture of Yb.

Comparing Yb₃AlSb₃ to Ca₃AlSb₃, the only Al-Sb containing structural analog, the shortest Al-Sb bond distance is slightly smaller for Yb₃AlSb₃ (2.7053(17) Å) vs 2.709 Å in Ca₃AlSb₃ (Cordier *et al.*, 1984) and the tetrahedral bond angles are about the same; Ca₃AlSb₃ -- 103.2°, 108.7°, 110.5°, 112.7° (Cordier *et al.*, 1984). The obtained lattice parameters for Yb₃AlSb₃, *a* = 12.803(3) Å, *b* = 4.4751(9) Å, *c* = 14.148(3) Å, are slightly smaller than those for Ca₃AlSb₃, with *a* = 12.835(5) Å, *b* = 4.489(2) Å, *c* = 14.282(5) Å (Cordier *et al.*, 1984). The cell volume of Yb₃AlSb₃ is 810.6(3) Å³ which is also slightly smaller than the Ca analog (822.88 Å³).

3.2. Electronic structure calculations

Electronic structure calculations were completed on Yb₃AlSb₃ to gain some understanding of the chemical bonding in this new compound. The calculated partial density of states (DOS) and the band diagram are plotted in **Figure 2**. These calculations show that Yb₃AlSb₃ is a small band-gap (~0.1 eV) semiconductor. The experimental band-gap is expected to be larger than the calculated result since DFT underestimates the band-gap value in general. Compared with the Ca analog (Ca₃AlSb₃, calculated band gap ~ 0.25eV) (Zevalkink *et al.*,

2011), Yb is expected to be more metallic in character (Ca being a more ionic cation) and provide a smaller band gap because of the larger and more diffuse orbitals of Yb. In the valence band, the Al atoms show clear separation of the s and p orbitals with the s orbital contributions located within the region of -4.4 eV to -5.7 eV while the p orbital contributions are localized mainly from -1 to -4 eV. For Sb, the *p* orbitals contribute the majority of states in the low lying region of -4.4 to -5.7 eV and close to the Fermi level between -1 to -4 eV. The lower lying states in the region between -4.4 to -5.7 eV is evidence of bonding interactions between the M and Pn atoms which is confirmed in the COOP calculations (Figure 3). The higher energy p states of Sb have a contribution from non-bonding lone pairs that is seen in electron density mapping for Ca₃AlSb₃ (Zevalkink et al., 2011) where most of the charge is centered around the Sb atoms at -0.1 eV from the valence band edge. The similarity in density of states between the Yb and Ca analog suggest that the same behavior is happening in Yb₃AlSb₃. The localization of charge on these Sb atoms suggest that the tetrahedral Sb atoms are responsible for hole transport/mobility as has been previously observed elsewhere (Sánchez-Portal *et al.,* 2002). The large majority of states in the valence band are contributed by the Sb p states while the majority of states in the conduction band is dominated by Yb 5d states. The DOS curves for related phases Ca₃AlSb₃ and Yb₅Al₂Sb₆ are very similar due to the nature of the anionic moieties (M-Pn tetrahedra) (Zevalkink et al., 2011, Todorov et al., 2009). In all of the compounds, the states deep in the valence band are dominated by AI and Sb states while those just below the Fermi level are dominated by Sb p states and the rare-earth or alkaline earth d states. The conduction band contains mainly higher energy cation electronic states of the rare-earth or alkaline earth atoms.

Similar to the Ca analog (Zevalkink et al., 2011), Yb₃AlSb₃ is a direct band gap material with the valence band maximum and conduction band minimum both located at the Γ point. The parabolic nature of the bands near the Fermi level suggest that this material can be modeled well with a single parabolic band (SPB) model. This makes Yb₃AlSb₃ well positioned to be a good starting point for thermoelectric material optimization as the Ca analog was intrinsically shown to be too insulating and required hole doping for optimization. From Wu's dissertation, the Seebeck values for Yb₃AlSb₃ is reported to be about 10 μ V/K at the room temperature (300 K) and increased to around 21 μ V/K at 700 K. The electrical conductivity was reported to be 435 $\mu\Omega$ cm (Wu, 2006). In comparison, the Seebeck value for Ca₃AlSb₃ is about 220 μ V/K at the room temperature, and peaks at 650 K, with the value about 400 μ V/K. The electrical conductivity is around 1100 μ Ω cm (Zevalkink *et al.*, 2011), which is higher than the Yb analog, as expected. The SPB model is a common and powerful tool for characterizing thermoelectric transport that can provide insight on optimization pathways for this material. Doping of this material to larger carrier concentrations will probe deeper into the valence band and will induce non-SPB behavior or through elevated temperatures.

Figure 2 The electronic density of states (DOS) for Yb₃AlSb₃ on the left shows the detailed DOS for each orbitals of the atoms. The inset highlights the DOS close to the Fermi energy. The band diagram of Yb₃AlSb₃ on the right reveals a direct band gap of ~ 0.1 eV. Fermi level is located at E = 0.

Figure 3 The crystal orbital overlap population for Yb₃AlSb₃ showing the average Yb-Sb (black) and Al-Sb (red) interactions.

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Table 2

Fractional atomic coordinates (x 10^4) and equivalent isotropic displacement parameters (Å²x 10^3). U(eq) is defined as one third of the trace of the orthogonalized U^{ij} tensor.

	x	У	Z	U(eq)
Yb1	5594(1)	2500	6118(1)	6(1)
Yb2	2726(1)	2500	7213(1)	6(1)
Yb3	3500(1)	2500	59(1)	6(1)
Sb1	2564(1)	2500	3812(1)	5(1)
Sb2	1139(1)	2500	1092(1)	5(1)
Sb3	401(1)	2500	6492(1)	5(1)
Al1	667(1)	2500	2970(1)	6(1)

Selected geometric parameters (Å, ^o)

Yb1—Sb2 ⁱ	3.1509 (5)	Yb2—Al1 ⁱⁱ	3.2230 (12)
Yb1—Sb2 ⁱⁱ	3.1509 (5)	Yb2—Al1 ⁱ	3.2230 (12)
Yb1—Sb2 ⁱⁱⁱ	3.2039 (7)	Yb2—Yb3 ⁱ	4.0939 (6)
Yb1—Sb1 ^{iv}	3.2520 (5)	Yb2—Yb3 ⁱⁱ	4.0939 (6)
Yb1—Sb1 ^v	3.2520 (5)	Yb2—Yb3 ^{vii}	4.1466 (8)
Yb1—Sb3 ^{vi}	3.3906 (8)	Yb3—Sb1 ^{viii}	3.1589 (5)
Yb1—Yb2 ^{vi}	3.6097 (6)	Yb3—Sb1 ^{ix}	3.1589 (5)
Yb1—Yb2	3.9849 (8)	Yb3—Sb3 ⁱⁱⁱ	3.2760 (6)
Yb1—Yb3 ⁱⁱⁱ	4.0764 (8)	Yb3—Sb3 ^{ix}	3.3313 (5)
Yb1—Yb1 ^v	4.1623 (7)	Yb3—Sb3 ^{viii}	3.3313 (5)
Yb1—Yb1 ^{iv}	4.1623 (7)	Yb3—Sb2	3.3590 (7)
Yb2—Sb2 ⁱ	3.1034 (5)	Sb1—Al1	2.7053 (17)
Yb2—Sb2 ⁱⁱ	3.1034 (5)	Sb2—Al1	2.7245 (18)
Yb2—Sb3	3.1470 (7)	Sb3—Al1 ^x	2.7302 (10)
Yb2—Sb1 ⁱⁱ	3.2034 (5)	Sb3—Al1 ^{xi}	2.7302 (10)
Yb2—Sb1 ⁱ	3.2034 (5)		
Al1 ^x —Sb3—Al1 ^{xi}	110.08 (6)	Sb1—Al1—Sb3 ^{xi}	109.09 (4)
Sb1—Al1—Sb2	103.30 (5)	Sb2—Al1—Sb3 ^{xi}	112.50 (4)
Sb1—Al1—Sb3 ^x	109.09 (4)	Sb3 ^x —Al1—Sb3 ^{xi}	110.08 (6)
Sb2—Al1—Sb3 ^x	112.50 (4)		

Symmetry code(s): (i) -*x*+1/2, -*y*, *z*+1/2; (ii) -*x*+1/2, -*y*+1, *z*+1/2; (iii) *x*+1/2, *y*, -*z*+1/2; (iv) -*x*+1, -*y*+1, -*z*+1; (v) -*x*+1, -*y*, -*z*+1; (vi) *x*+1/2, *y*, -*z*+3/2; (vii) *x*, *y*, *z*+1; (viii) -*x*+1/2, -*y*, *z*-1/2; (ix) -*x*+1/2, -*y*+1, *z*-1/2; (x) -*x*, -*y*, -*z*+1; (xi) -*x*, -*y*+1, -*z*+1.

Table 4

Anisotropic displacement parameters (Å² x 10³).

	U ¹¹	U ²²	U ³³	U ²³	U ¹³	U ¹²
Yb1	6(1)	6(1)	5(1)	0	0(1)	0
Yb2	6(1)	6(1)	5(1)	0	0(1)	0
Yb3	7(1)	6(1)	5(1)	0	0(1)	0
Sb1	6(1)	5(1)	5(1)	0	0(1)	0
Sb2	6(1)	5(1)	4(1)	0	0(1)	0
Sb3	6(1)	5(1)	5(1)	0	0(1)	0
Al1	7(1)	5(1)	6(1)	0	1(1)	0