

Probative Evidence and Quantitative Energetics for the Unimolecular Mechanism of the 1,5-Sigmatropic Hydrogen Shift of Cyclopentadiene

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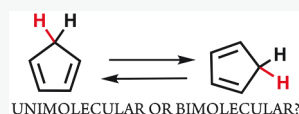


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ABSTRACT: While the 1,5-sigmatropic hydrogen shift in cyclopentadiene is generally thought to be a unimolecular pericyclic reaction, Yamabe proposed a more complex bimolecular mechanism proceeding through the *exo* dimer of cyclopentadiene. DFT computations by Yamabe were claimed to show that the bimolecular mechanism was kinetically more favorable than the unimolecular mechanism. Reinvestigation of the unimolecular concerted mechanism and Yamabe's bimolecular mechanism with ω B97X-D and DLPNO-CCSD(T) calculations demonstrates a 25 kcal/mol preference for the unimolecular mechanism relative to the bimolecular mechanism. While Yamabe's calculations were performed with the less accurate B3LYP functional, the incorrect conclusion was the result of a different error discovered here. We have also computed corrections for tunneling that result in computed activation barriers within 1.5 kcal/mol of the experimental values.



INTRODUCTION

The unexpected discovery of 1,4-diphenylcyclopentadiene from the decarboxylation of 2,4-diphenylcyclopentadiene-1-carboxylate resulted the first report of [1,5]-hydrogen shift in 1939 by Drake and Adams.¹ Figure 1a shows the

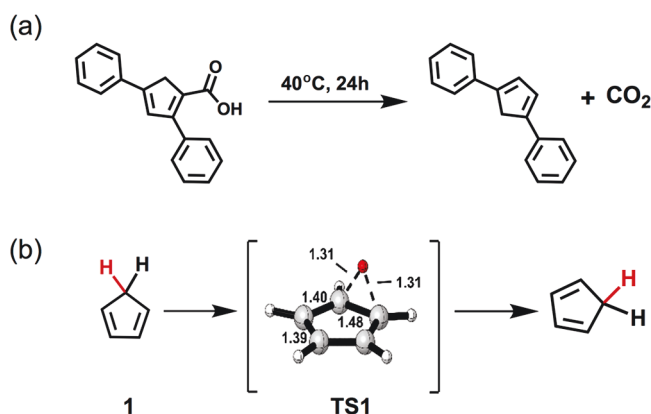


Figure 1. (a). First report of 1,5-[H] shift by Drake and Adams (in 1939, ref 1) observed in decarboxylation of 2,4-diphenylcyclopentadiene-1-carboxylate. (b) DFT-optimized transition state TS1 for the direct 1,5-hydrogen shift in cyclopentadiene (1) calculated at ω B97X-D/def2-TZVP level of theory.

decarboxylation leading to a rearranged product of the assumed 1,3-diphenylcyclopentadiene. The final product has a continuous chain of conjugated double-bond linkages. In the subsequent years, similar [1,5]-hydrogen shifts were found in other substituted cyclopentadienes.^{2–5}

The experiments of Csicsery (in 1960) reported the existence of methylcyclopentadiene as a mixture of 5-methyl,

1-methyl, and 2-methyl isomers in a 3:45:52 ratio at thermodynamic equilibrium.⁶ The isomerization of methylcyclopentadiene was elucidated as 1,5-hydrogen shifts by Mironov and Elizarova in 1963.^{7,8} Kinetic studies by McLean showed that the rearrangement of 5-methylcyclopentadiene to 1-methylcyclopentadiene occurs with a rate constant of $1.8 \times 10^{-4} \text{ s}^{-1}$ at 25 °C.⁹ Similar kinetic studies with primary H/D kinetic isotope effect (KIE) on [1,5]-hydrogen shifts in the acyclic Z-1,3-pentadiene provided detailed mechanistic insights in such isomerizations.¹⁰

The [1,5]-hydrogen shift observed in 1,3-cyclopentadiene is thought to be the prototypical sigmatropic shift (Figure 1b). Compared to the corresponding isomerization in 1,3-pentadiene, the hydrogen shift in cyclopentadiene is more favorable because the carbons that are the origin and terminus of the shifting hydrogen are bonded to each other.¹¹ The best experimental value for the activation barrier of this reaction is $24.3 \pm 0.5 \text{ kcal/mol}$.¹²

Tunneling also contributes to the observed reaction rate, allowing reactions with insufficient energy to proceed by passage of the molecule through the barrier. Tunneling is most prevalent with hydrogen, but heavy atoms such as carbon and nitrogen have been observed to tunnel.^{13–16} Tunneling from the ground state is rare, but generally occurs from higher energy vibrational states.^{17–19} This is sometimes referred to as

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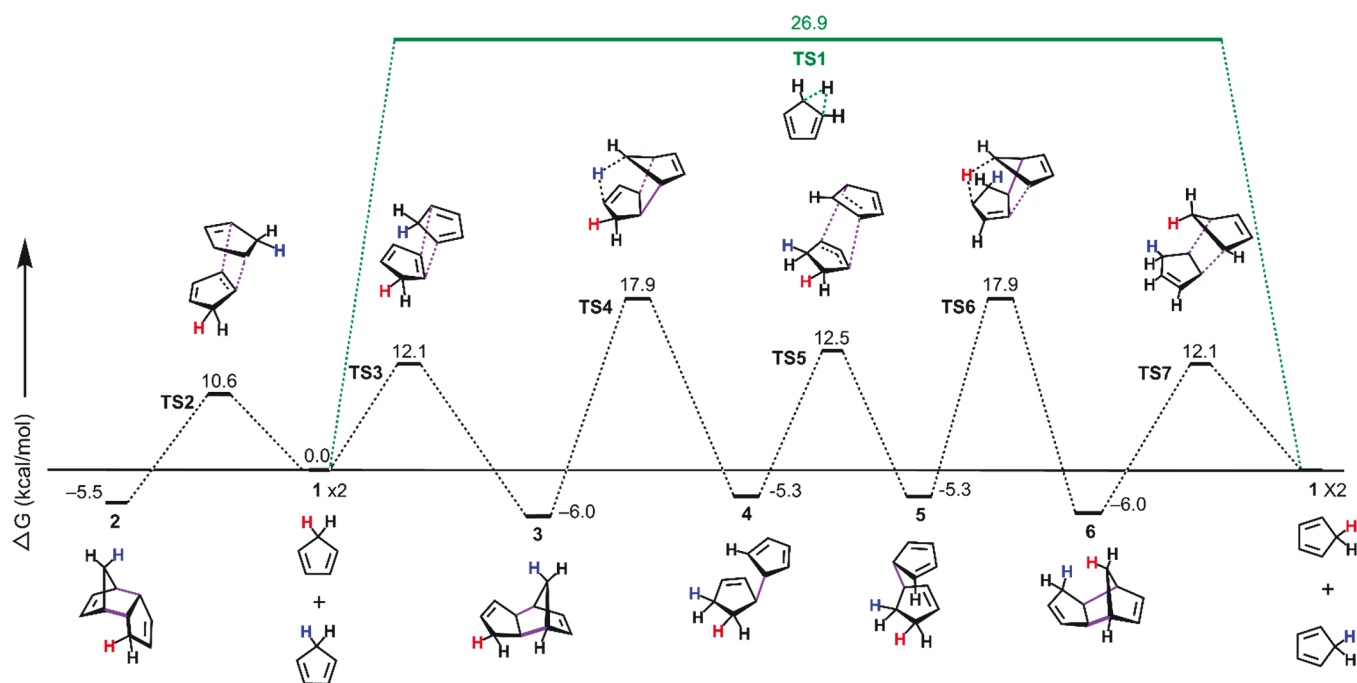


Figure 2. Yamabe's calculated Gibbs free energies (kcal/mol) (298.15 K, 1 M) for two mechanisms for the [1,5]-H-sigmatropic shift in cyclopentadiene with B3LYP/6-31G*.

vibrationally assisted tunneling (VAT) and has been proposed to have a large contribution to sigmatropic shift barriers.^{20–22}

Despite the general acceptance of tunneling in this mechanism, a different mechanism for this hydrogen shift was proposed by Yamabe and co-workers involving a bimolecular, multistep process.²³ Their calculated barriers with B3LYP/6-31G* indicate a preference for their proposed pathway.

Although faster and less computationally expensive, B3LYP is now well-known for its significant errors in reaction energetics,²⁴ and to underestimate barrier heights for cycloadditions.²⁵ Nevertheless, useful results often occur with B3LYP due to error cancellation. While the functional underestimates protobranching²⁶ and long-range dispersion interactions²⁷ overestimation of energies for the conversion of π bonds into σ bonds gives 5 kcal/mol errors in barrier energies and 10 kcal/mol errors in reaction energies.²⁸ Criticisms of B3LYP have led computational chemists to move away from the use of the venerable functional.^{24,29}

Recent advances in both computational hardware and improved algorithms now enable more accurate density functionals as well as wave function based *ab initio* CCSD(T) on medium to large systems.³⁰ Neese's domain-based local pair natural orbital (DLPNO) implementation of CCSD(T) abbreviated as DLPNO-CCSD(T)^{31,32} closely approximates the "gold-standard" CCSD(T) energies for medium-sized organic molecules with errors <0.5 kcal/mol. ORCA³³ is a general purpose program for electronic-structure calculations that provides routine single point DLPNO-CCSD(T) calculations on DFT optimized geometries obtained with ORCA, Gaussian, or other programs.^{34,35} We have reinvestigated both unimolecular and bimolecular mechanisms of the hydrogen shift using a modern density functional that incorporates dispersion for accurate geometry and energies,^{29,36} and DLPNO-CCSD(T) energies.

COMPUTATIONAL METHODS

Geometry optimizations were performed with the Head-Gordon functional, ω B97X-D,³⁷ and the def2-TZVP³⁸ basis, as well as the Yamabe-employed B3LYP³⁹ and the 6-31G*⁴⁰ basis set using Gaussian 16.⁴¹ All the transition states were characterized as possessing one and only one imaginary frequency characteristic of a true first order saddle point. The identity of these transition states was further confirmed as representing the desired reaction coordinate by using intrinsic reaction coordinate (IRC) analysis. Single point energy calculations were performed in ORCA at the DLPNO-CCSD(T)/cc-pVQZ level on the optimized structures. Frequency analysis of these structures was done using the GoodVibes program.⁴² Structures are represented with CYLview.⁴³

RESULTS AND DISCUSSION

Unimolecular vs Bimolecular. Yamabe and co-workers proposed the bimolecular mechanism shown in Figure 2. Their reported energetics at the B3LYP/6-31G* level are shown. The Yamabe mechanism begins with an unfavorable *exo* [4 + 2] cycloaddition of two cyclopentadienes. The *endo* dimerization, via a bis-pericyclic transition state⁴⁴ (redefined as ambimodal by Houk and co-workers) is favored by 1.6 kcal/mol (Figure 2).

The hydrogen shift from one cyclopentadiene moiety to the other occurs in a retro-ene step (the rate-limiting step) in the *exo* dimer. Subsequently, a Cope rearrangement positions the cycloadduct for yet another hydrogen shift—this time in the reverse direction. Finally, a retro-Diels–Alder reaction releases two isomerized cyclopentadienes that have apparently undergone a [1,5]-hydrogen shift. This remarkable mechanism involves five pericyclic reactions.

The Yamabe calculations predicted a preference of 3.0 kcal/mol for this retro-ene rate limiting step (23.9 kcal/mol) as compared to the direct 1,5-sigmatropic hydrogen shift in

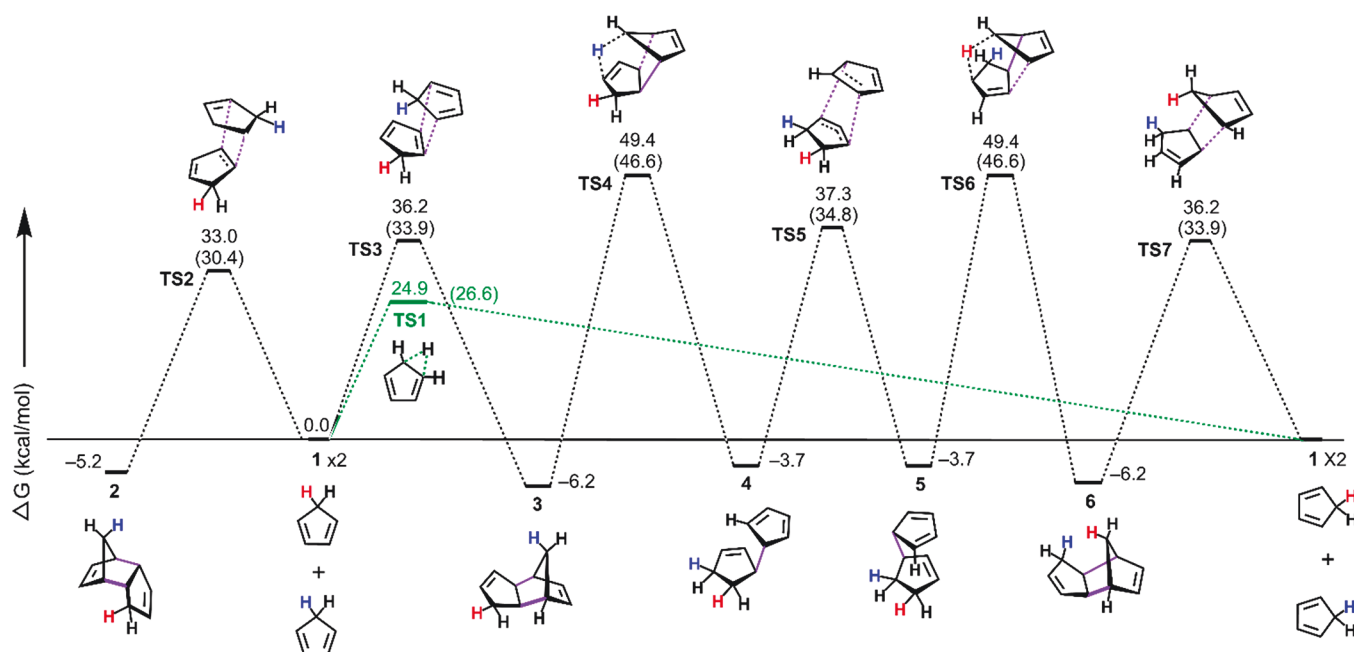


Figure 3. Calculated Gibbs free energies (kcal/mol) (298.15 K, 1 M) from this work for two mechanisms of the [1,5]-H-sigmatropic shift in cyclopentadiene with ω B97X-D/def2-TZVP. Values in parentheses are DLPNO-CCSD(T)/cc-pVQZ single point energies.

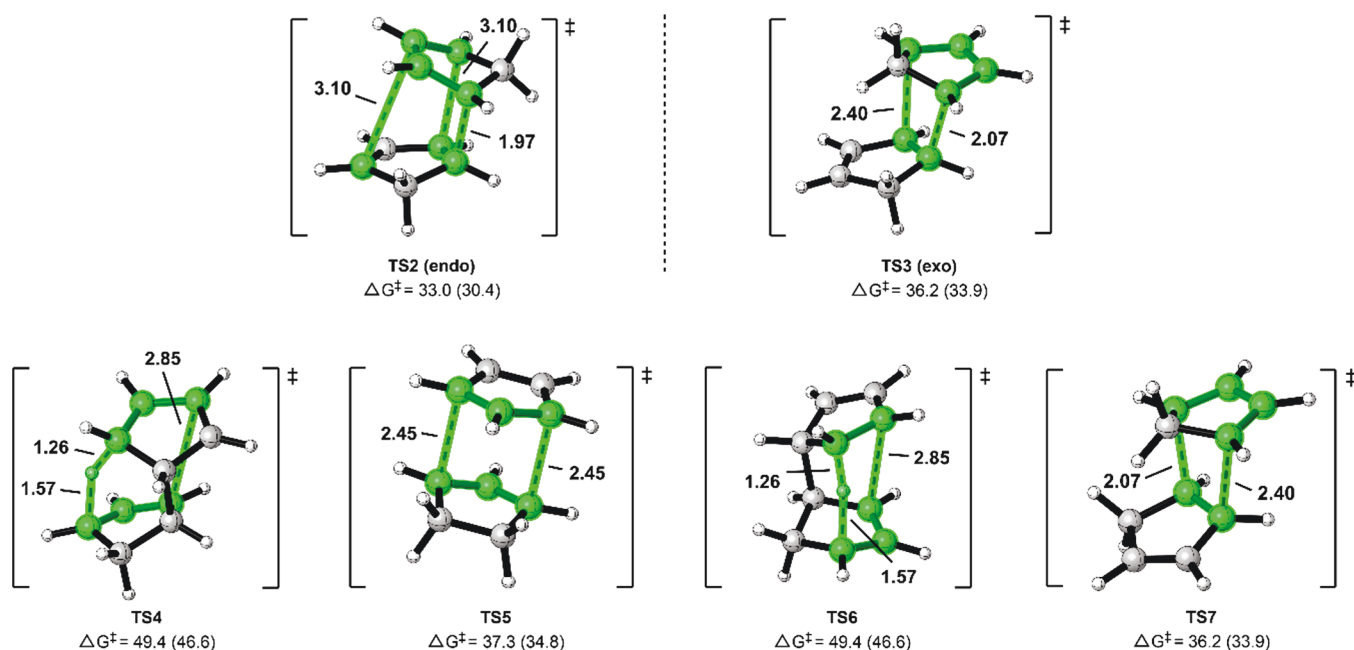


Figure 4. Calculated Gibbs free energies (kcal/mol) and transition structures for different reactions involved in [1,5]-H-sigmatropic shifts. Selected bond lengths are given in Å. Single point energies and geometry optimizations are calculated at DLPNO-CCSD(T)/cc-pVQZ (shown in parentheses) and ω B97X-D/def2-TZVP levels of theory, respectively.

cyclopentadiene (26.9 kcal/mol).⁴⁵ Yamabe and co-workers' proposal, while novel, erroneously presents free energies for bimolecular reactions that are one-half of the actual values. This is presumably because they had divided reaction and activation energies by two, perhaps believing they should compute the reaction of one cyclopentadiene proceeding to one-half dimer. Otherwise, they would have correctly predicted the unimolecular mechanism.

Computed and Experimental Values for Various Reactions of Cyclopentadiene. Our calculations with ω B97X-D/def2-TZVP on this scheme (Figure 3) show that

the direct [1,5]-H shift barrier (24.9 kcal/mol) is 30.7 kcal/mol below the rate-determining retro-ene step. We instead calculated a staggering 55.6 kcal/mol free energy of activation with ω B97X-D beginning from the *exo* dimer, 3. Figure 4 provides structures of the transition states figures modeled in their reactions.

The calculations show definitively that the unimolecular mechanism is the correct mechanism, as has been generally accepted in the literature. Table 1 contains values of computed and experimental energies of activation for the *endo* dimerization of cyclopentadiene. The best experimental given

Table 1. Computed and Experimental Activation Energies of the Cyclopentadiene Dimerization (kcal/mol)^a

	exptl ^{45–48}	L1	L2	L3	L4	L5
E_a	16.7				17.7*	
$\Delta H^\ddagger$	15.2	17.02	19.9	11.6	17.8, 19.0*	
$\Delta G^\ddagger$	27.4	31.05	33.8	24.9	27.3, 33.0*	30.4*

^aL1 = MPW1PW91/6-31+G(d) in ref 49; L2 = MP3/6-31G**/6-31G* in ref 50; L3 = CBS-QB3 in ref 46; L4 = ω B97X-D/6-31G* in ref 51 and ω B97X-D/def2-TZVP; L5 = DLPNO-CCSD(T)/cc-pQVZ//L4. *This work.

is 27.4 kcal/mol, while computation gives values from roughly 25–33 kcal/mol. The best value for this reaction computed by this work is 30.4 kcal/mol using the DLPNO-CCSD(T)/cc-pQVZ functional and basis set. However, these values tend to be somewhat higher than experiment.

Tunneling through the Barrier of the [1,5]-Sigmatropic Hydrogen Shift. Tunneling contributes to the rate of the [1,5]-sigmatropic hydrogen shift.^{52,53} Early calculations by Dewar and Merz for this reaction show a large KIE providing strong evidence for vibrationally assisted tunneling in the analogous penta-1,3-diene.⁵² Borden and others, using Bell tunneling corrections and variational transition state theory (VTST), have computed the fraction of hydrogen shifting that occurs by tunneling.⁵³ Borden demonstrated that 88.9% of the shift occurs by tunneling at 300 K.

From this fraction, we may compute quantitatively the effect of tunneling on the activation free energy by taking the relative proportion of tunneling and nontunneling reactions as a rate ratio in $\Delta G^\ddagger = -RT \ln(k_{\text{tunnel}}/k_{\text{non-tunnel}})$. This result suggests a lowering of the activation barrier by approximately 1.2 kcal/mol. Consequently, the tunneling corrected DLPNO-CCSD(T) free energy is 25.4 kcal/mol, which is only 1.1 kcal/mol higher than the experimental value.

Table 2 lists different barriers reported in literature via experiments and various computational studies for the direct

Table 2. Computed Activation Energies of the 1,5-Hydrogen Shift in Cyclopentadiene (kcal/mol)^a

	exptl ²	L1	L2	L3	L4	L5
E_a	24.3 ± 0.5		27.0			
$\Delta H^\ddagger$	23.7	25.8	21.0*	24.6*	26.3*	25.1*
		26.4	26.7*			
$\Delta G^\ddagger$	23.9		26.0*	24.9*	26.6*	25.4*
			27.0*			
			27.0*			

^aL1 = MP2/6-31G* in refs 54 and 55; L2 = B3LYP/6-31G* in refs 56–58; L3 = ω B97X-D/def2-TZVP; L4 = DLPNO-CCSD(T)/cc-pQVZ//L3; L5 = L4 plus tunneling corrections. *This work.

hydrogen shift. The calculated values range from 25 to 27 kcal/mol.^{54–59} Our calculations described in above paragraphs provide an enthalpic barrier of 24.6 kcal/mol and a free energy barrier of 24.9 and 26.9 kcal/mol at the two levels.

CONCLUSION

The calculations on the 1,5-shift in cyclopentadiene with dispersion corrected ω B97X-D functional and highly accurate DLPNO-CCSD(T) method confirm that the bimolecular mechanism proposed by Yamabe is highly unfavorable compared to the direct [1,5]-sigmatropic hydrogen shift. We

describe an easy-to-use correction to incorporate tunneling in the [1,5]-H shift barrier using prior computations on the kinetics of the reaction with and without tunneling. Application of this correction factor and DLPNO-CCSD(T) calculations provide predicted barriers close to that measured by Roth experimentally.¹⁰ The unimolecular [1,5]-sigmatropic hydrogen shift with tunneling is confirmed as the mechanism of cyclopentadiene isomerization.

ASSOCIATED CONTENT

Supporting Information

The Supporting Information is available free of charge at <https://pubs.acs.org/doi/10.1021/acs.joc.2c02145>.

Energies and coordinates of optimized geometries for computed species (PDF)

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Author Contributions

All authors discussed the results, contributed to the manuscript and have given approval to the final version of the manuscript.

Notes

The authors declare no competing financial interest.

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