

MacMillan Lab. Group Meeting Anthony Mastracchio April 10 2008 Phase-Transfer Catalysis (PTC) Presentation Outline

Introduction

Mechanism and basic concepts of Phase-Transfer Catalysis

Mechanism

• The PTC Matrix

Reaction Variables

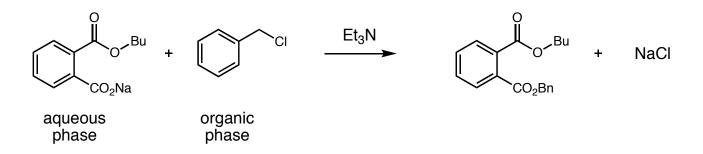
- The Intrinsic Reaction Step
- The Transfer Step
- Phase-Transfer catalyzed transformations

Asymmetric Phase-Transfer catalyzed transformations

Relevant and Comprehensive Reviews: Ooi, T., Maruoka, K., "Recent Advances in Asymmetric Phase-Transfer Catalysis." Angew. Chem. Int. Ed. 2007, 46, 4222-4226 Lygo, B., Andrews, B. I. "Asymmetric Phase-Transfer Catalysis Utilizing Chiral Quaternary Ammonium Salts: Asymmetric Alkylation of Glycine Imines." Acc. Chem. Res. 2004, 37, 518-525. Starks, C. M., Liotta, C. L., Halpern, M. E. Phase-Transfer Catalysis, Chapman & Hall, New York, 1994, Ch. 1-3. Phase -Transfer Catalysis: Mechanism and Synthesis (Ed.: Halpern, M. E.), American Chemical Society, Washington, DC, 1997 (ACS Symposium Series 659), Ch. 1-3. Encyclopedia of Catalysis Vol. 5 (Ed.: Horvath, I. T.), Wiley-Interscience, Hoboken, NJ, 2003, 511-564. Asymmetric Phase-Transfer Catalysis (Ed., Maruoka, K.), Wiley-VCH, Weinheim, Germany, 2008.

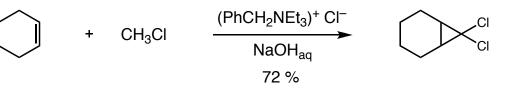
The Advent of Phase-Transfer Catalysis (PTC)

■ 1946 - First clear-cut example of the commercial use of PTC (Ind. Chem. Chem., 1946, 38, 207.)



• The phase transfer catalyst, benzyltriethylammonium chloride, is formed in situ by addition of triethylamine

1969 - Formulation of the first mechanistic hypothesis on PTC by M. Makosza (Tett. Lett, 1969, 10, 4659.)





 Makosza postulated an ion exchange between the tetraalkylammonium chloride and aqueous NaOH to form the base that reacts in the organic phase

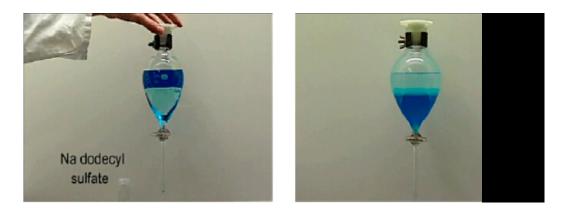
Mieczyslaw Makosza

■ 1971 - The concept of PTC is described by C.M. Starks (J. Am. Chem. Soc., 1971, 93, 195.)

■ 1984 - First example of an asymmetric PTC by Merck Process (J. Am. Chem. Soc. 1984, 106, 446)

Definition of a phase transfer catalyst

• A phase transfer catalyst is a catalyst which facilitates the migration of a reactant in a heterogeneous system from one phase into another phase where reaction can take place. Ionic reactants are often soluble in an aqueous phase but are insoluble in an organic phase unless the phase transfer catalyst is present

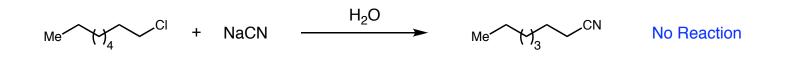


- Phase transfer catalysis or PTC refers to the acceleration of the reaction by the phase transfer catalyst.
- PTC for anions reactant are often quaternary ammonium salts. PTC for cations are often crown ethers

Advantages of PTC

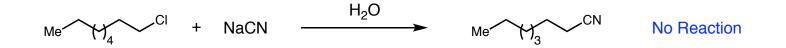
- Elimination of organic solvents
- Use of simple and inexpensive reactants (NaOH, KOH, K₂CO₃ etc. instead of NaH, KHMDS *t*-BuOK, etc.)
- High yields and purity of products
- Simplicity of the procedure
- Highly scalable
- Low energy cosumption and lowinvestment cost
- Minimization of industrial waste

Consider the following reaction:

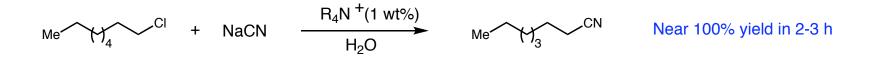


• The 1-chlorooctane and sodium cyanide solution form two separate layers. Heating of this two phase mixture under reflux and vigorous stirring for 1-2 days gives no reaction.

Consider the following reaction:

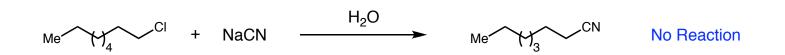


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• When an appropriate quaternary ammonium salt is added, tetrahexylammonium chloride, the discplacement occurs rapidly in near 100% in 2-3h.

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$$Me \xrightarrow{CI} + NaCN \xrightarrow{R_4N^+(1 \text{ wt\%})}_{H_2O} Me \xrightarrow{CN} Near 100\% \text{ yield in 2-3 h}$$

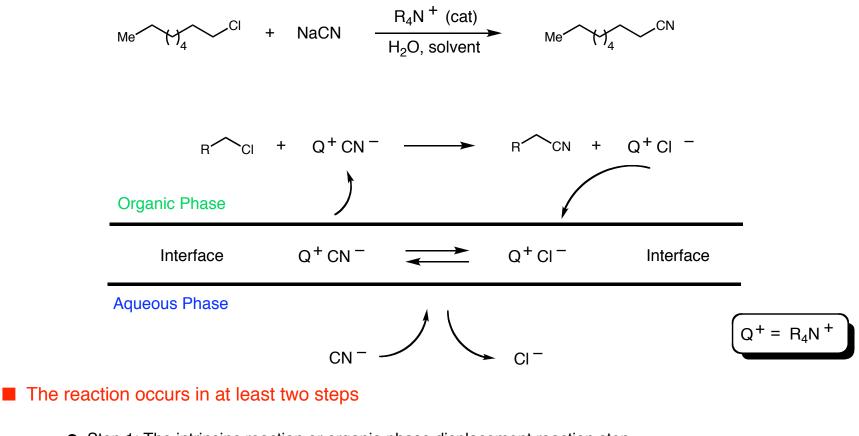
• When an appropriate quaternary ammonium salt is added, tetrahexylammonium chloride, the discplacement occurs rapidly in near 100% in 2-3h.

In this process the ammonium salt catalyst:

- 1) Transfers the cyanide into the organic phase.
- 2) Activates the transferred cyanide for the reaction with the alkyl halide.
- 3) Transfers the discplaced chloride anions back to the aqueous phase to start a new catalytic cycle

The Mechanisms of PTC

Case study: The PTC cyanide displacement reaction



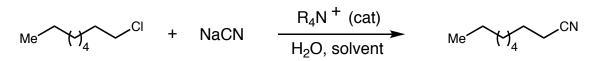
Step 1: The intrinsinc reaction or organic-phase displacement reaction step

-If this step is rate determining - Extraction Mechanism

• Step 2: The transfer step

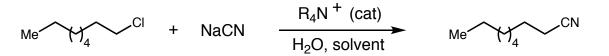
-If this step is rate determining
https://www.interfacial Mechanism

The PTC cyanide displacement reaction.



Once in solution the cyanide anion must be sufficiently reactive to allow displacement to proceed.

The PTC cyanide displacement reaction.

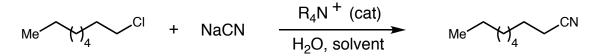


Once in solution the cyanide anion must be sufficiently reactive to allow displacement to proceed.

NaCN poor reactivity

• The poor reactivity is due to the tight ion pairs of NaCN, or large interaction energy binding the two ions together.

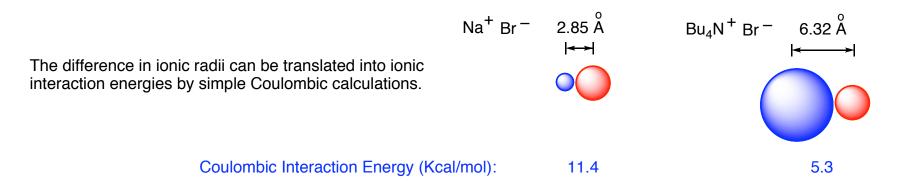
The PTC cyanide displacement reaction.



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- By substracting the tetrabutylammonium energy from the potassium energy, we can compare the calculated differences between ion pairs.
- If these differences in ion-pair energies are translated in reduction of kinetic activation energies then a 5 Kcal/mol difference in activation energy is equivalent to a 4400-fold changes in reaction rate.

Cation Size and Coulombic Interaction Energies of Bromide Salts

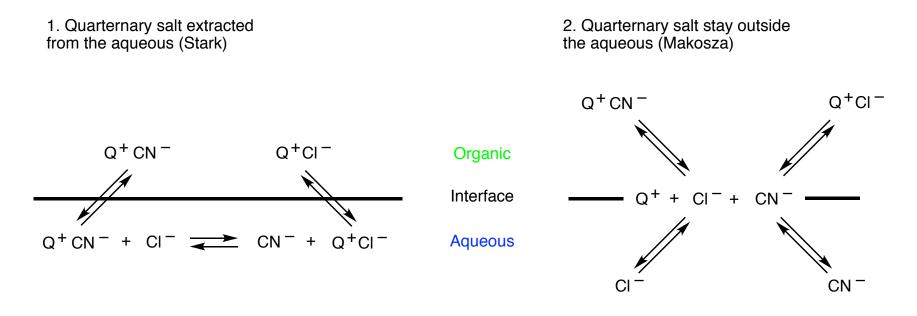
	Cation	Cation Radius, Å	Coulombic Interaction Energy with bromide anion (Kcal/mol)	
FI COF	Li +	0.6	12.8	
$\longleftarrow +q_1 \longrightarrow$	Na+	0.9	11.4	
	K+	1.33	9.9	
$+q_1 \xrightarrow{F_1} \xrightarrow{F_2} -q_2$	Rb+	1.48	9.5	
r	Cs +	1.69	9	
$F_1 = F_2 = K_c \frac{q_1 \cdot q_2}{r^2}$	Me ₄ N +	2.85	6.8	
	Et ₄ N +	3.48	6.2	
	n-Pr ₄ N ⁺	3.98	5.5	
	n-Bu ₄ N ⁺	4.37	5.3	

• As the cationic radius of the quaternary salt increases, the activating effect becomes larger

• However, the cationic radii does not grow indefinitely

The Mechanisms of PTC The Transfer Step

Two general mechanism for the transfer step:



• Both transfer mechanisms are probably correct depending on the quaternary catalyst, with the first being more likely with small to medium sized quaternary cations, while the second is more correct for medium and large quaternary cations

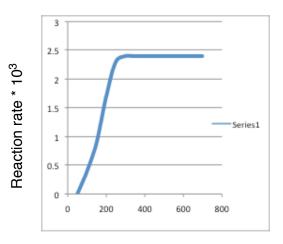
• For asymmetric PTC, most catalyst employed remains in the organic phase with transfer occuring at the interface (2nd mechanism)

The Mechanisms of PTC The Transfer Step

Factors governing the transfer step:

A. Interfacial area: An increase in the interfacial area helps the transfer step.

- The overall opportunity for any transfer in a two-phase system is gorvern by the amount of interfacial area available. Therefore, the dispersal of one phase as tiny droplets in the second phase is critical.
- Three important factors affecting the interfacial area:
- Interfacial tension: More interfacial tension result in a decrease of the interfacial area. Highly nonpolar solvents and highly concentrated aqueous solution have the highest interfacial tension
- Presence of surfactants: Surfactants increase the interfacial area by helping the formation of tiny droplets
- Stirring: At low stiring rates the interfacial area varies with the square of the stirrer speed(agitation energy = mass x velocity²). The use of ultrasound can yield high levels of agitation.



Stirring rate, rpm

The Mechanisms of PTC The Transfer Step

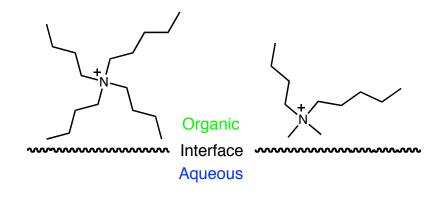
Factors governing the transfer step:

B. The nature of the anion:

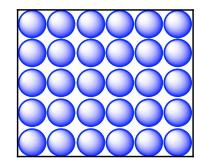
• Large weakly-hydrated or organic anions such as perchlorate, iodide and phenolate are easily transferred while small hydrated anions such as fluorides or hydroxide are poorly transferred

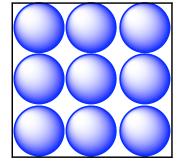
C. The Bulkiness of the quaternary cation catalyst

- As alkyl groups becomes larger and larger the rate of transfer becomes slower and slower
- The use of unsymmetrical quaternary cations much closer approach of the cationic centerto the interface



• Catalyst's bulkiness also reduces transfer rates by lowering the maximum possible concentration at the interface.



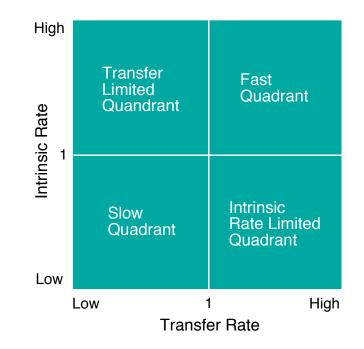


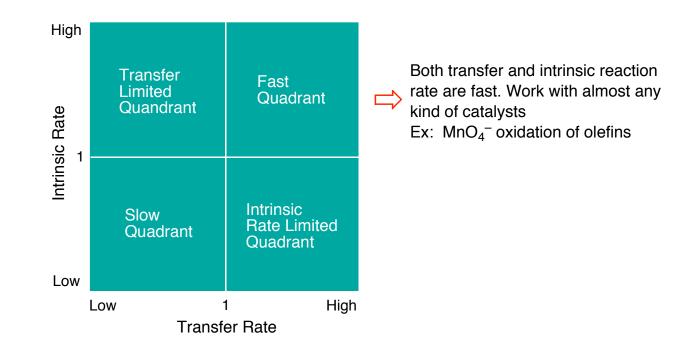
Small quaternary cations

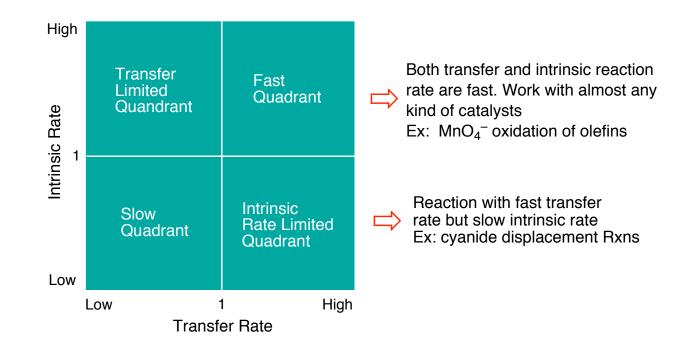
Bulky quaternary cations

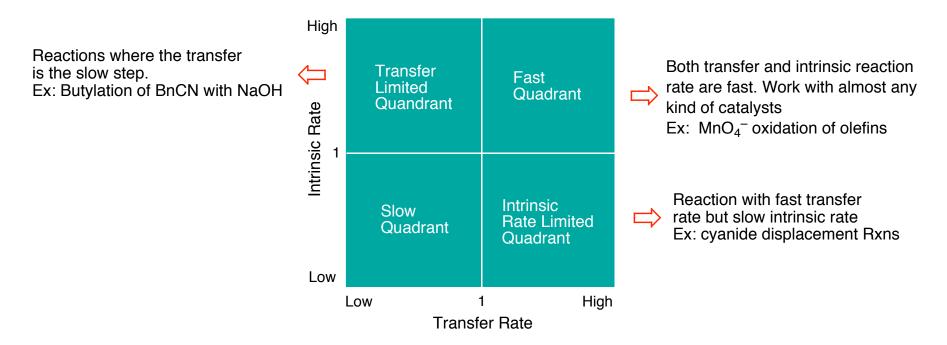
The Mechanisms of PTC

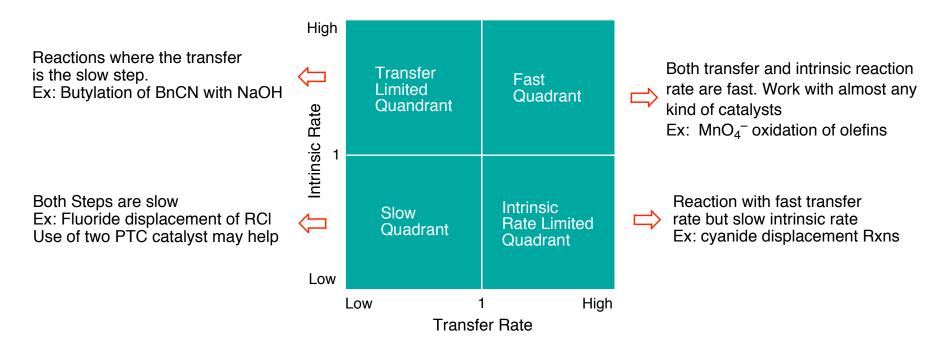
The PTC Matrix





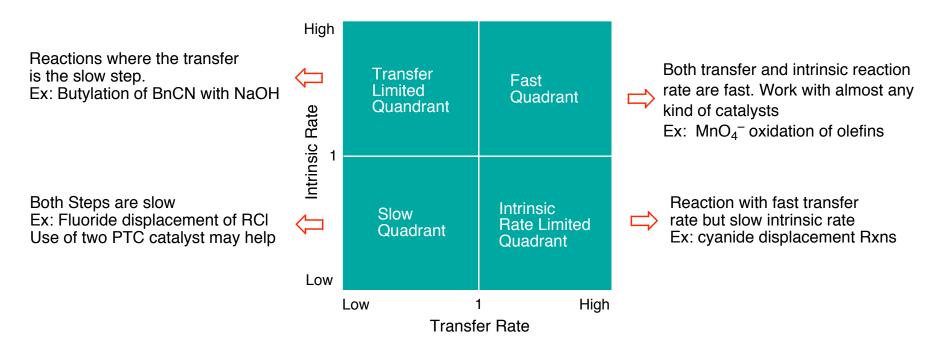






The Mechanisms of PTC

Selection of appropriate reaction conditions needs an undertanding of how the two steps interact with each other. Use of the PTC Matrix help to sort out some important issues.



Effect of variables on PTC reactions

1. Agitation - Influence only the transfer rate

- Agitation speed should be high enough so that it has no influence on the overall reaction rate

2. Concentration of H₂O

- With anions difficult to transfer having saturated aqueous solution drives the equilibrium towards the catalyst substrate complex. Also, minimal amounts of water reduces the hydration of ions

The Mechanisms of PTC Reaction Variables

Effect of variables on PTC reactions

- 3. Organic solvents \Box Can greatly influence the intrinsic reaction rate
 - Affect the interfacial tension which influences the transfer rate
 - CH₂Cl₂ is used extensively because of it dissolves most quaternary salts and is also hydrophobic

- For assymmetric PTC non-polar solvents such as toluene are used extensively because they maximize the interactions between the two counterions.

4. Temperature \square Can greatly influence the intrinsic reaction rate

 $-\,$ Most quaternary ammonium salts decomposes at higher temperature, for examples 50-70 $^{\rm o}{\rm C}$ for systems containing KOH

5. Cocatalyst \square Can influence both steps

- Often used to help one of the two steps. For example, addition of alcohols, particularly diols, significantely increase the ease of hydroxide anion transfer

- 6. Catalyst \longrightarrow The most important variable
 - The size and shape affect the anion activation \square Intrinsic reaction rate
 - Bulkyness can slow the transfer rate (as seeen earlier)
 - Ability to solubilize the aqueous phase reagent into the organic phase \square Transfer rate
 - The stability of the catalyst under the reaction conditions
 - The surfactant property of the catalyst
 Transfer rate

• Different reactions respond to these characteristics in different ways, thus not one catalyst structure is best for all reactions

Selection of appropriate reaction conditions using PTC matrix and variable diagram

Variable	Effect on transfer step	Effect on intrinsic reaction step	High		
Catalyst structure Agitation Type of inorganic anion	+++ ++++ ++++	+++ 0	c Rate	Transfer Limited Quandrant	Fast Quadrant
Water concentration Organic solvent Temperature	+++++++++++++++++++++++++++++++++++++++	++++ + ++ ++	Intrinsic	Slow Quadrant	Intrinsic Rate Limited Quadrant
Cocatalysts	++	+++	Low		
Organic reactant structure	0	++++		Low Transf	1 High er Rate

• Understanding and prediction of PTC reaction systems requires some knowledge of both the rates of transfer and the rates of the intrinsic organic-phase reaction. For new systems it is necessary to make some guesses and extrapolations from known systems

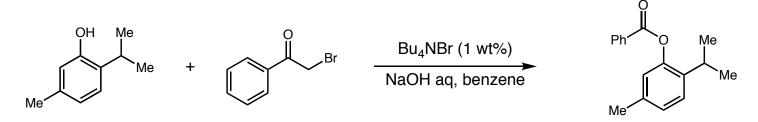
PTC is particularly useful for reactions of organic anions with nonpolar organic reactants.

PTC is also applicable for numerous reactions in which anions are intermediates for generating other active species such as carbenes, nitrenes and organometallic reagents.

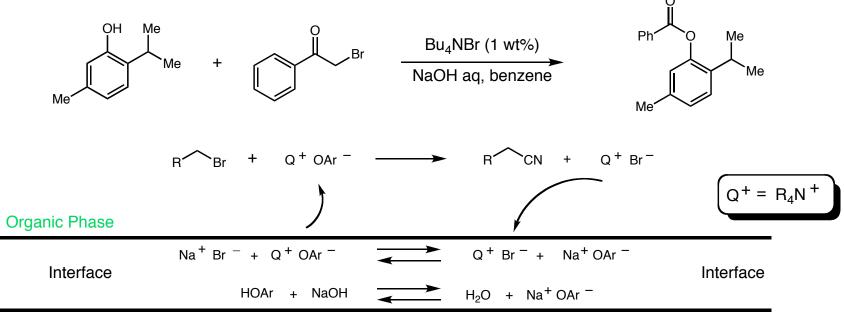
Reactions have been done in the following areas:

- 1) Alkylations
- 2) Substitutions
- 3) Aldol and related condensations
- 4) Carbenes reactions
- 5) Oxidations and reductions
- 6) Organometallic transformations

Alkylations are the most common application of PTC

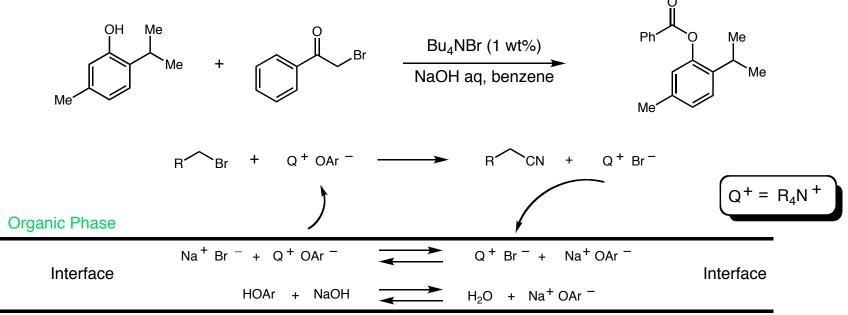


Alkylations are the most common application of PTC



Aqueous Phase

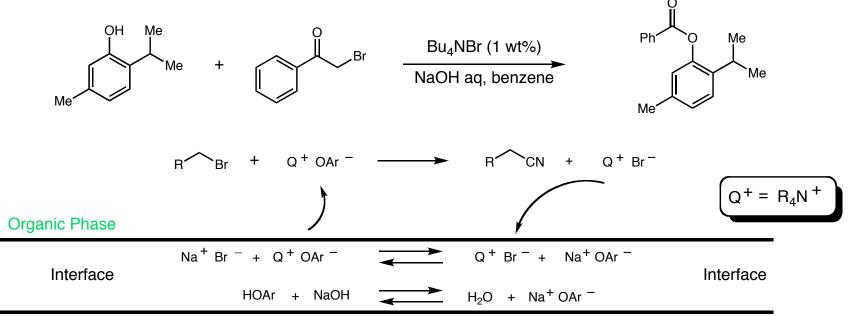
Alkylations are the most common application of PTC



Aqueous Phase

• PTC in substitution reaction is govern by two major factors: equilibrium concentration of the reacting anions and the rate constant of the reaction.

Alkylations are the most common application of PTC



Aqueous Phase

• PTC in substitution reaction is govern by two major factors: equilibrium concentration of the reacting anions and the rate constant of the reaction.

- More lipophilic anions will stay preferentially as quaternary ammonium pairs

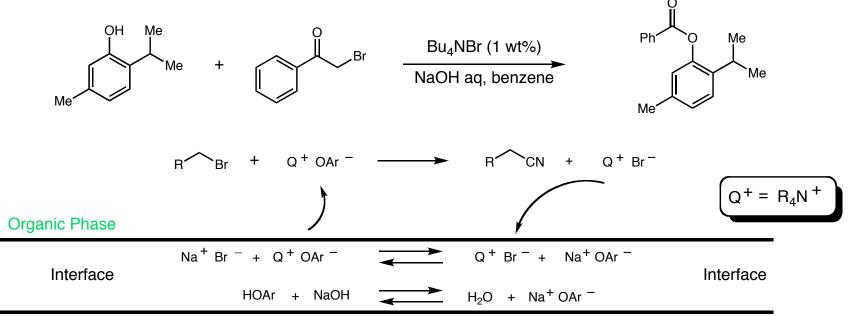
- Anions of high hydration energy will prerentially stay in the aqueous

OH⁻, SO₂⁻, F⁻, Cl⁻, CN⁻, Br⁻, l⁻, ClO₄⁻, SCN⁻

increase lipophilicity

- Alkyl chlorides are often preferred as inhibitory effect of produced I⁻ or Br⁻ can be problematic

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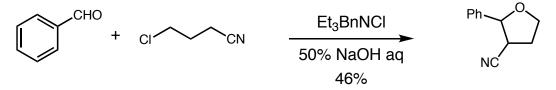
- Alkyl chlorides are often preferred as inhibitory effect of produced I⁻ or Br⁻ can be problematic

• A variety of other anion precursors can be deprotonated and efficiently alkylated under PTC conditions. The upper limit of pKa value of anion precursor is around 24

Reactions of organic anions with electrophiles

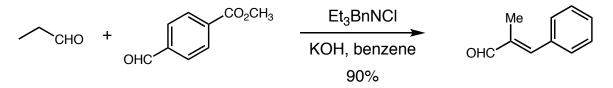
Reactions of organic anions with electrophilic sp^2 carbon atom.

• Reactions that produces aldol anions are usually not preferred since the retro aldol under PTC is favored.



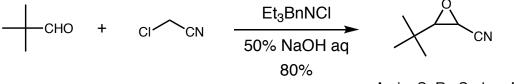
Alper, H., Adv. Organomet. Chem. 1981, 19, 183

• The NaOH present can act as a dehydrating agent making the Knovenagel proceed readily



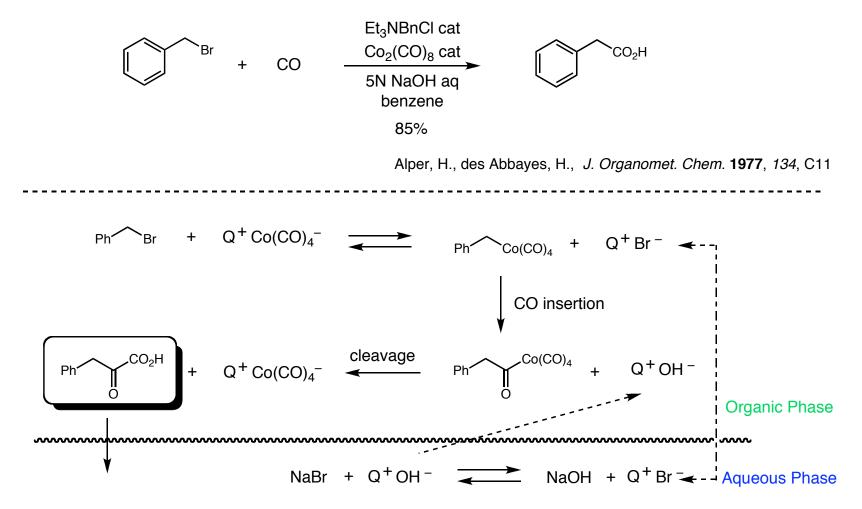
Abbayes, H. et. al., J. Organomet. Chem. 1989, 59, 205

• PTC is of great effectiveness in the reaction of α -halocarbanions withs aldehydes and ketones producing oxiranes (the Darzens reaction)



Amin, S. R., Sarkar, R. Organometallics, 1995, 14, 547

- PTC has found wide applications in organometallic chemistry
- PTC offers convienient conditions for carbonylations

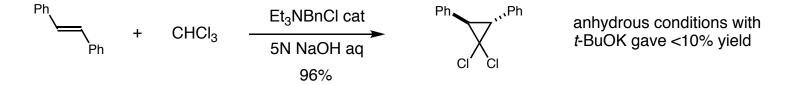


Other PTC applications in organometallic chemistry includes reductions, hydrogenations and Heck reactions

Generation and reactions of carbenes

• PTC in which dichlorocarbene (DCC) is generated by treatment of chloroform with concentrated aqueous NaOH solution in the presence of a quaternary ammonium salt is very efficient.

• Numerous reports have shown that PTC assures substantially higher yields compared the the reactions carried in other base/solvent systems. Using PTC only negligible amounts of DCC is decomped by aqueous NaOH.



Encyclopedia of Catalysis Vol. 5 (Ed.: Horvath, I. T.), Wiley-Interscience, Hoboken, NJ, 2003, 535.

• Under PTC, the carbene is formed in the organic phase, away from the base and the water which minimizes hydrolysis.

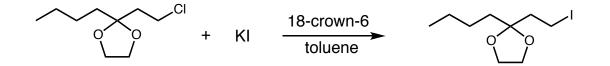
$$CHCl_{3} (org) + Na^{+}OH^{-}(aq) \longrightarrow Na^{+}CCl_{3}^{-} (int) + H_{2}O (aq)$$

$$Na^{+}CCl_{3}^{-} (int) + Q^{+}Br^{-} (org) \longrightarrow Q^{+}CCl_{3}^{-} (org) + Na^{+}Cl^{-} (aq)$$

$$Q^{+}CCl_{3}^{-} (org) \longrightarrow CCl_{2} (org) + Q^{+}Br^{-} (org)$$

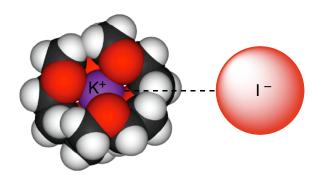
• Under anhydrous conditions the carbene and the organic base share the same environment which increase the probability of side reactions.

Solid-liquid PTC



Royer, J., Husson, H. -P., J. Org. Chem. 1985, 50, 670

- Crown ethers are capable of dissoving salts from the solid phase
- In many solid-liquid PTC, small amounts of water play an important role in the catalytic process



Coordination of the crown ether onto the potassium reduces the energy of the potassium/iodide pair. This leads to an increase in the nucleophilicity of the iodide

PTC has shown to be very powerful in reactions incluing charged species. Other examples includes:

- Reductions
- Oxidations
- Eliminations

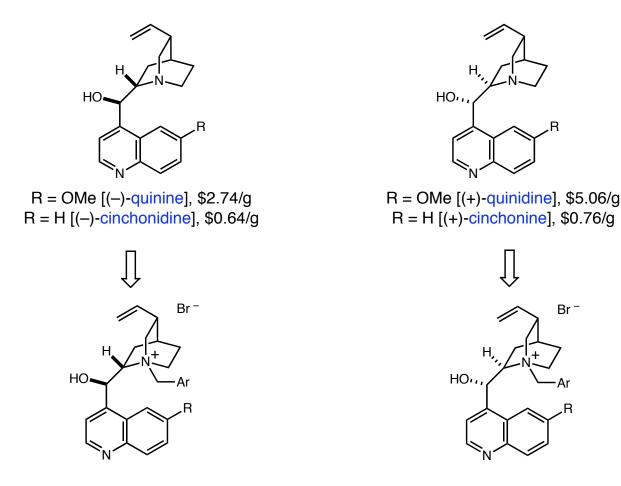
Asymmetric PTC

Chiral quarternary Ammonium Salts Catalysts for Asymmetric Transformations

Chiral quarternary ammonium salt derived from cinchona alkaloids are the most widely used catalyst for asymmetric PTC

• Cinchona alkaloids are a family of natural products that can be isolated from cinchona trees. The following four are the most abondant and can be isolated from the bark of the tree:

Br [–]

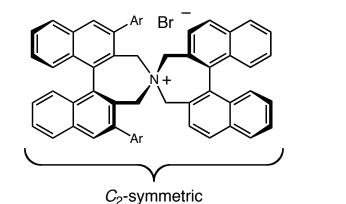


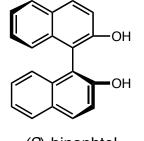
Asymmetric PTC

Chiral quarternary Ammonium Salts Catalysts for Asymmetric Transformations

6 steps

Maruoka's spirobinaphtyl quaternary ammonium salts

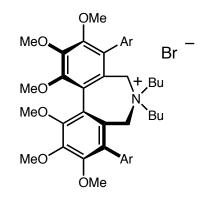




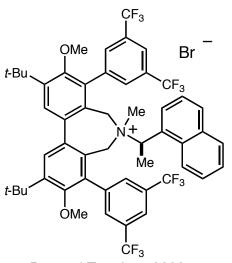
(S)-binaphtol

Ooi, T.; Kameda, M.; Maruoka, K. J. Am. Chem. Soc. 1999, 121, 6519

Quaternary ammonium salt with structural similarities have also display efficiency in some transformations



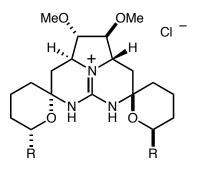
Maruoka, K. et. al Tett. Lett. 2005, 46, 8555



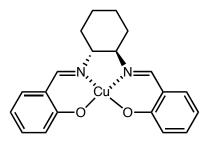
Lygo, B. et. al Tett. Lett. 2003, 44, 5629

Asymmetric PTC PTC Catalysts for Asymmetric Transformations

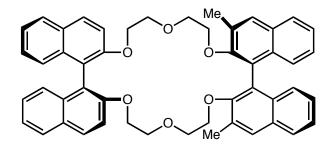
Various PTC catalysts possessing no quartery ammonium moiety have been used successfully



Guanidines Nagasawa, K. *et al. Andew. Chem. Int. Ed.* **2002**, *41*, 2832



Chiral copper-salen complex Belokon, Y. N. *et al. Tetrahedron Asymmetry* **1998**, *9*, 851



Chiral crown ethers Sogah, G. D. Y.; Cram, D. *J. Chem. Soc. Chem. Comm.* **1981**, 625

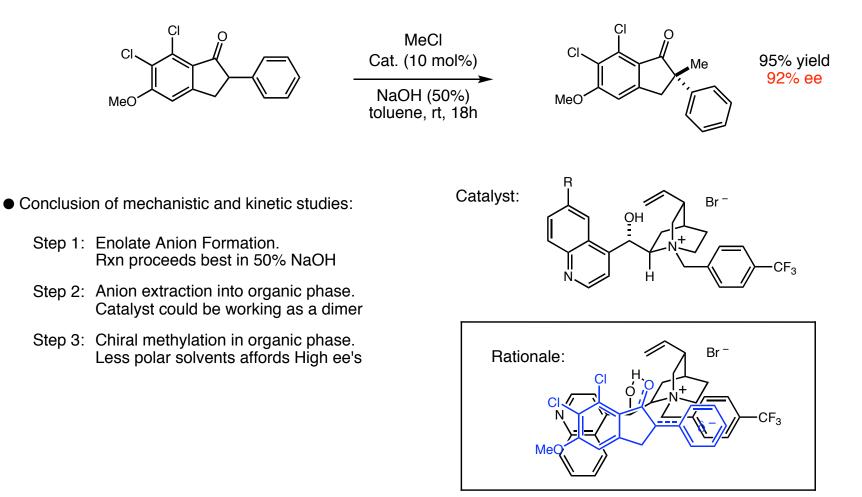
Asymmetric PTC

Several reactions have been done using chiral quaternary ammonium salts as asymmetric phase transfer catalysts

These reactions includes:

- 1) Alkylations
- 2) Michael Additions
- 3) Aldol and related condensations
- 4) Darzen Reactions
- 5) Epoxidations

First Example: Enantioselective methylation of phenylindanone derivatives (Merck Process Research)

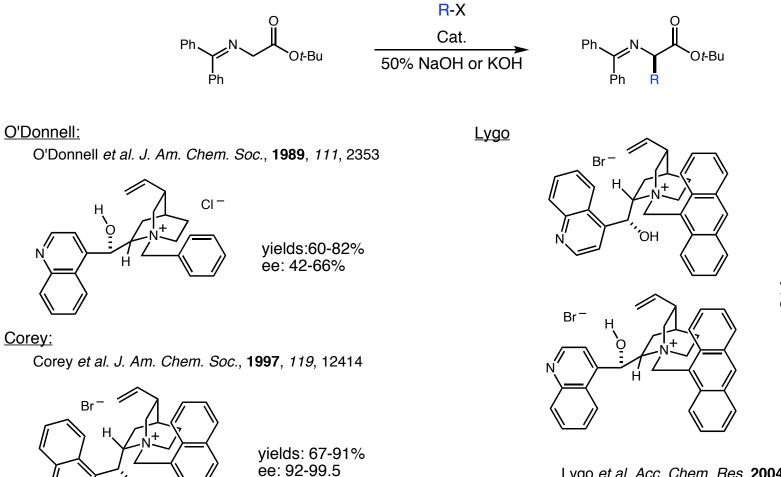


Dolling, U. -H. *et al. J. Am. Chem. Soc.* **1984**, *106*, 446 Hughes, D. L.; Dolling, U. -H. *et al. J. Org. Chem.* **1987**, *52*, 4745

Application to the synthesis of amino acids

Corey:

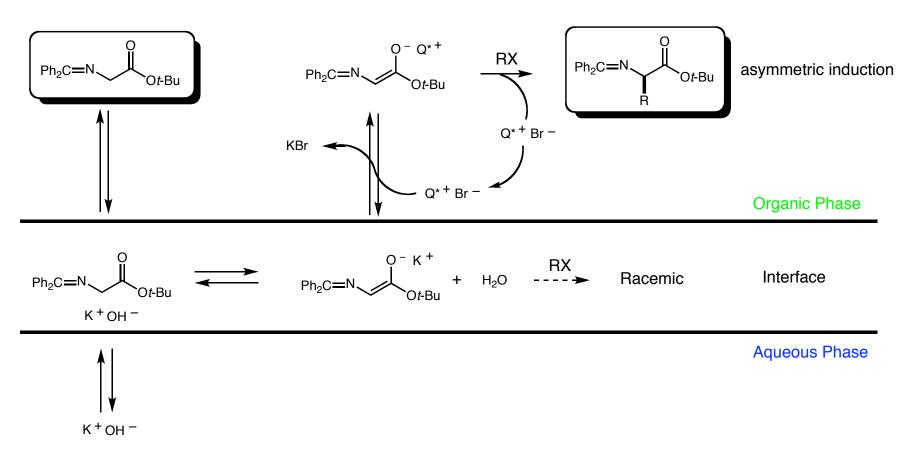
'n



yields: 41-84% ee: 68-91%

Lygo et al. Acc. Chem. Res. 2004, 37, 518 Lygo et al. Tett. Lett. 1999, 40, 1389 Lygo, B.; Andrews, B. Tett. Lett. 1999, 40, 1385

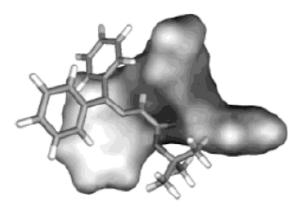
General mechanism for the enantioselective alkylation of a glycine Shiff base:

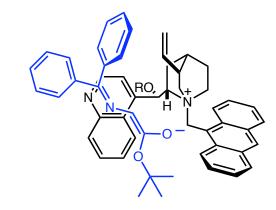


- Mechanistic and kinetic studies have shown that the process occurs following these steps:
- 1) Deprotonation of the substrate at the interface
- 2) Ion exchange to formed the catalyst/substrate ion pair
- 3) Alkylation in the organic phase

Ooi, T.; Maruoka, K. Angew. Chem. Int. Eng. Ed., 2007, 46, 4222

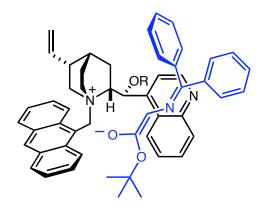
Stereochemical rationale:





cinchonidine derived

• Molecular modeling of the cinchonidine/substrate ion pair shows that the Re-face of the enolate carbon is blocked by the quinoline ring of the catalyst.

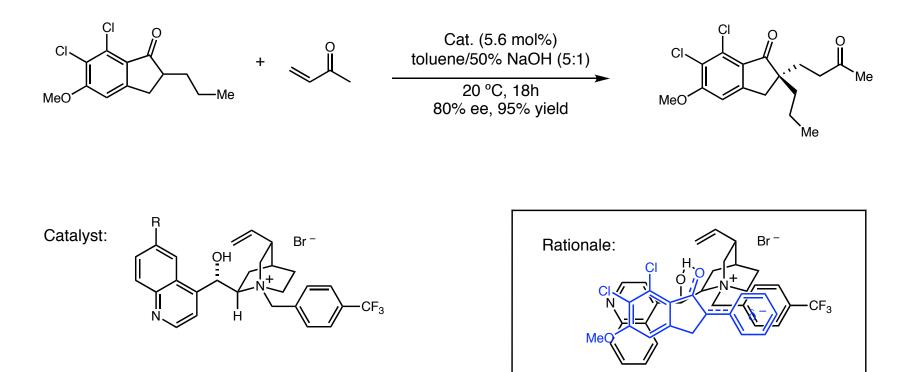


• The cinchonine derived catalyst is believed to produce the same kind of interactions

cinchonine derived

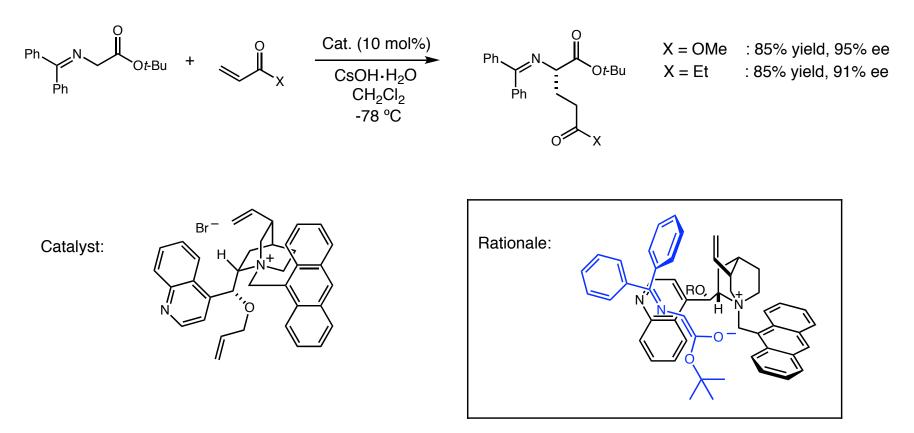
Lygo, B.; Andrews, B. Tett. Lett. 1999, 40, 1385

Early work by Merck Process showed success in the asymmetric PTC addition of indanone derivatives to methyl vinyl ketone (MVK)



• Same stereochemical rationale as in the alkylation

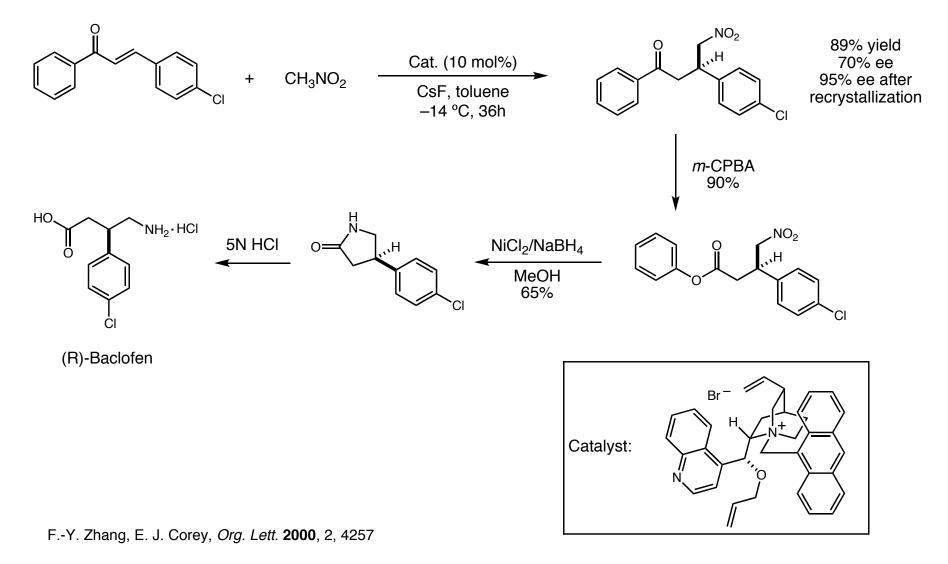
Enantioselective Michael addition of glycinate Shiff base



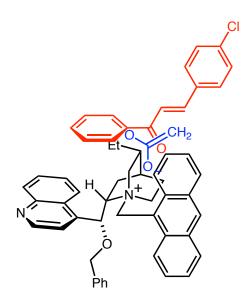
• Same stereochemical rationale as in the alkylation

F.-Y. Zhang, E. J. Corey, Org. Lett. 2000, 2, 1097

Synthesis of (R)-Baclofen



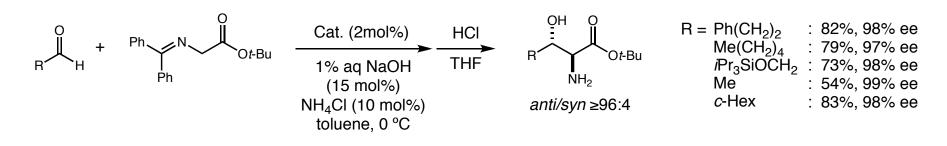
Stereochemical rationale



• The carbonyl oxygen of the enone is position so that close ion paiting with the N⁺ of the catalyst can occur in the Michael transition state. The anthracenyl subunit is shielding one face for enantiocontrol

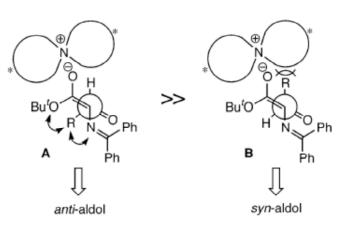
Asymmetric PTC Enantioselective Direct Aldol Reations

Maruoka's chiral N-spiroammonium salts are the most effective catalysts for asymmetric direct aldol reactions



Diastereoselective rationale:





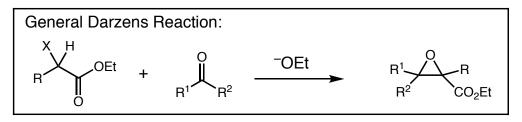
Ar Br

 $Ar = 3,5 - (3,5 - (CF_3)_2C_6H_3)C_6H_3)$

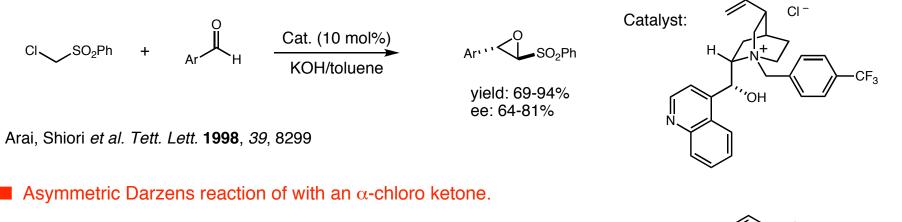
-Huge steric repulsion caused by the catalyst overwhelms the gauche interactions between the substituent (R) and both the imino moiety and the *tert*-butoxy group

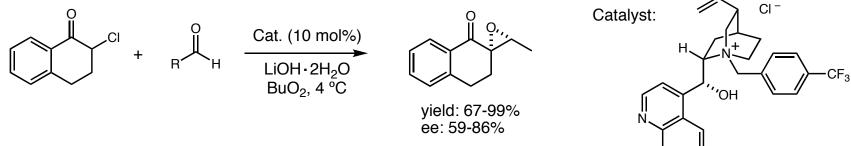
Maruoka *et al. Angew. Chem. Int. Ed.* **2002**, *41*, 4542 Maruoka *et al. J. Am. Chem Soc.* **2004**, *126*, 9685

Asymmetric PTC Enantioselective Darzens Reations



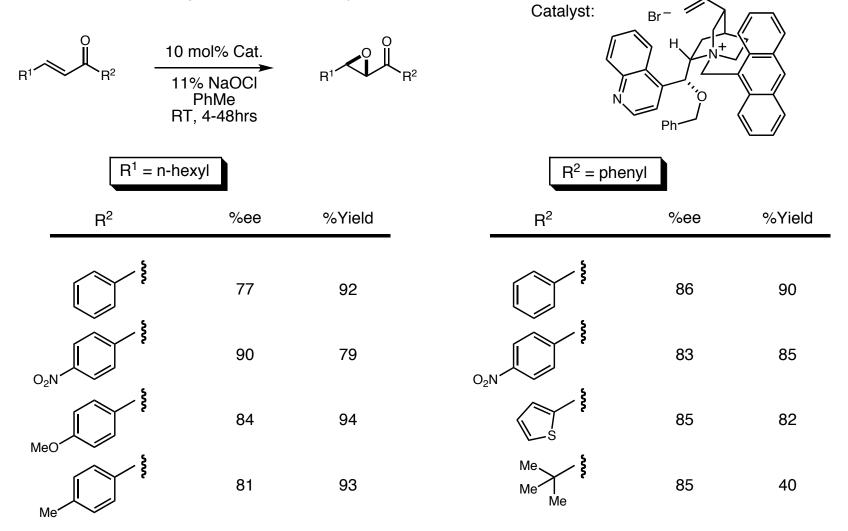
Asymmetric Darzens reactions of chlororomethyl phenylsulfone





Arai, Shiori et al. Tett. Lett. 1999, 55, 6375

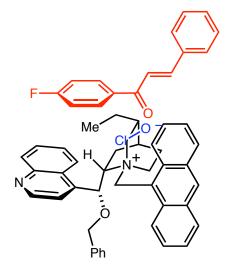
PTC is an efficient way to access chiral epoxides

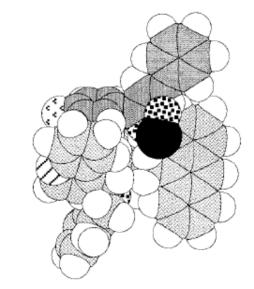


Lygo, B.; Wainright, P. Tetrahedron 1999, 55, 6289

Corey's PTC chiral epoxidation: Cat. 10 mol% $R \leftarrow Cat. 10 \text{ mol}\%$ PhMe 8M KOCl $-40 \,^{\circ}\text{C}, 12h$ yields: 70-97% ee: 91-99%Catalyst: Catalyst: PhMe PhMe PhMe PhMe SM KOCl SM SOl SM SOl PhMe SM SOl SM SOLSM

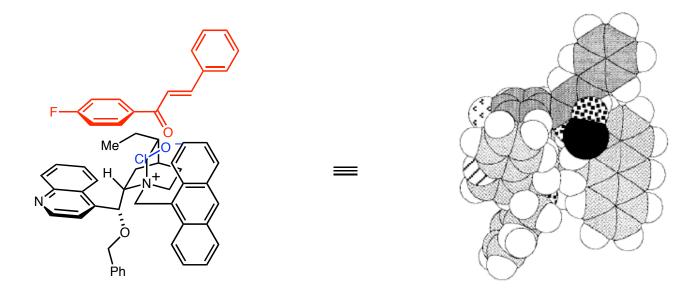
Stereochemical rationale:





Corey, E. J.; Zhang, F. -Y. Org. Lett. 1999, 1, 1287

Stereochemical rational



• The hypochlorite ion is contact ion-paired with the only accessible face of the charged nitrogen.

• The enone is situated with the phenyl ring containing the halogen between the ethyl group and the quinuclidine ring. The carbonyl oxygen is as close to the charged nitrogen as possible.

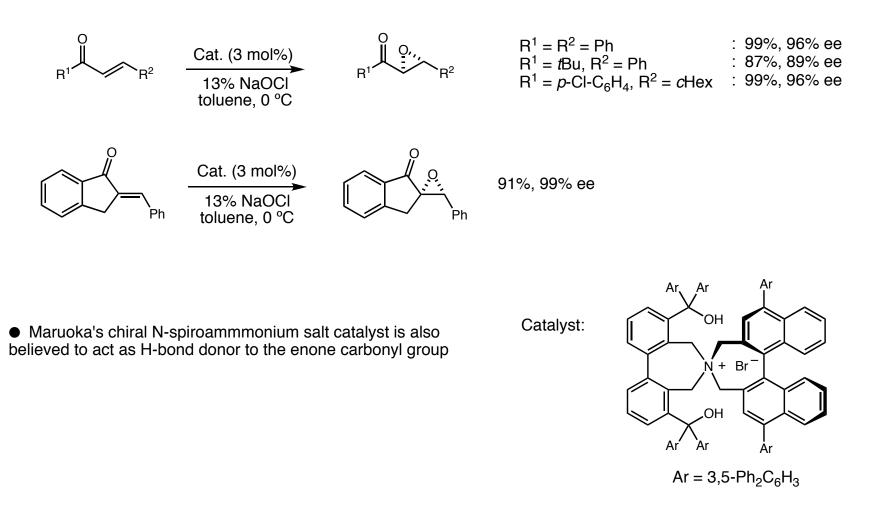
• In this arrangement, the hypochlorite ion oxygen is ready for nucleophilic attack at the β -carbon

Corey, E. J.; Zhang, F. -Y. Org. Lett. 1999, 1, 1287

Asymmetric PTC

Enantioselective Epoxidations

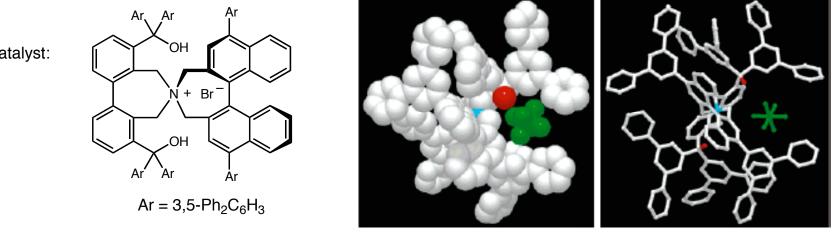
Maruoka's PTC enantioselective epoxidation



Maruoka et al. J. Am. Chem. Soc. 2004, 126, 6844

Single-crystal X-ray diffraction analysis gives insight to the mechanism:

Catalyst:



- X-ray structure of the catalyst-PF6 complex

• Biphenyl and binaphtyl subunits of the core *N*-spiro structure are nearly perpendicular which creates an attractive chiral reaction cavity around the central nitrogen.

• The anion is located inside the cavity being surrounded by the radially spread 3,5-diphenylphenyl groups and the hydroxy moiety (red) is situated above the the nitrogen and sticks to the anion.

• Hypochlorite ions would be correctly position before the reaction and the expected hydrogen-bonding interactions would bring the enone inside the cavity to provide an ideal proximity to the hypochlorite anion resulting in efficient bond formation with rigourus enantiofacial differenciation

Maruoka et al. J. Am. Chem. Soc. 2004, 126, 6844

Conclusion

There are a number advantages that PTC offers over homogeneous alternatives:

- The reactions are relatively easy to perform and are highly scalable.
- PTC is "green chemistry", for this reason industrial applications are expanding
- Usually involves inexpensive reagents (NaOH, KOH, K₂CO₃ etc. instead of NaH, KHMDS *t*-BuOK, etc.)