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The ^1H and ^{13}C chemical shifts of 5-5 lignin model dimers: an evaluation of DFT functionals

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Abstract

The calculations of ^1H and ^{13}C NMR chemical shifts were performed on three 5-5 lignin dimers, prominent substructures in softwood lignins, to compare with experimental data. Initially, 10 DFT functionals (B3LYP, B3PW91, BPV86, CAM-B3LYP, HCTH, HSEH1PBE, mPW1PW91, PBEPBE, TPSSTPSS, and ω B97XD) combined with the gauge-including atomic orbital (GIAO) method and basic set 6-31G(d,p) were tested on 3,3'-(6,6'-dihydroxy-5,5'-dimethoxy-[1,1'-biphenyl]-3,3'-diyl)dipropionic acid (**1**), efficiently synthesized from ferulic acid. HSEH1PBE, mPW1PW91, and ω B97XD were found to be the three best performing functionals with strong correlations ($r^2 \geq 0.9988$) and low errors (CMAEs ≤ 0.0611 ppm for ^1H and CMAEs ≤ 1.19 ppm for ^{13}C). These functionals were also well-performed for the ^1H and ^{13}C shift calculations of dimers 3,3'-dimethoxy-5,5'-dimethyl-[1,1'-biphenyl]-2,2'-diol (**2**) and 5,5'-diallyl-3,3'-dimethoxy-[1,1'-biphenyl]-2,2'-diol (**3**). Overall, the ω B97XD functional consistently provided the calculated ^1H and ^{13}C chemical shifts with a high level of accuracy.

Keywords: 5-5 lignin model dimer, oxidative coupling, NMR chemical shift, DFT functionals

Introduction

Lignin, a potential feedstock for sustainable production of fuels, chemicals, and materials, comprising about one third of the dry weight of wood materials is a class of heterogenic aromatic polymers formed in a random dehydrogenative polymerization of three primary precursors (*p*-coumaryl, coniferyl, and sinapyl alcohols, Figure 1A) during plant cell wall biosynthesis [1][2][3][4]. Lignin model dimers, such as β -5, β -O-4, and 5-5 dimers, are prominent substructures found in lignin structure (Figure 1B and 1C). These compounds are interested by their potentials for studying lignin pyrolysis,[5] the ligninolytic capabilities of enzymes,[6] the dimer degradation using bacterial cultures,[7] oxidative cleavage,[8] and hydrodeoxygenation [9][10].

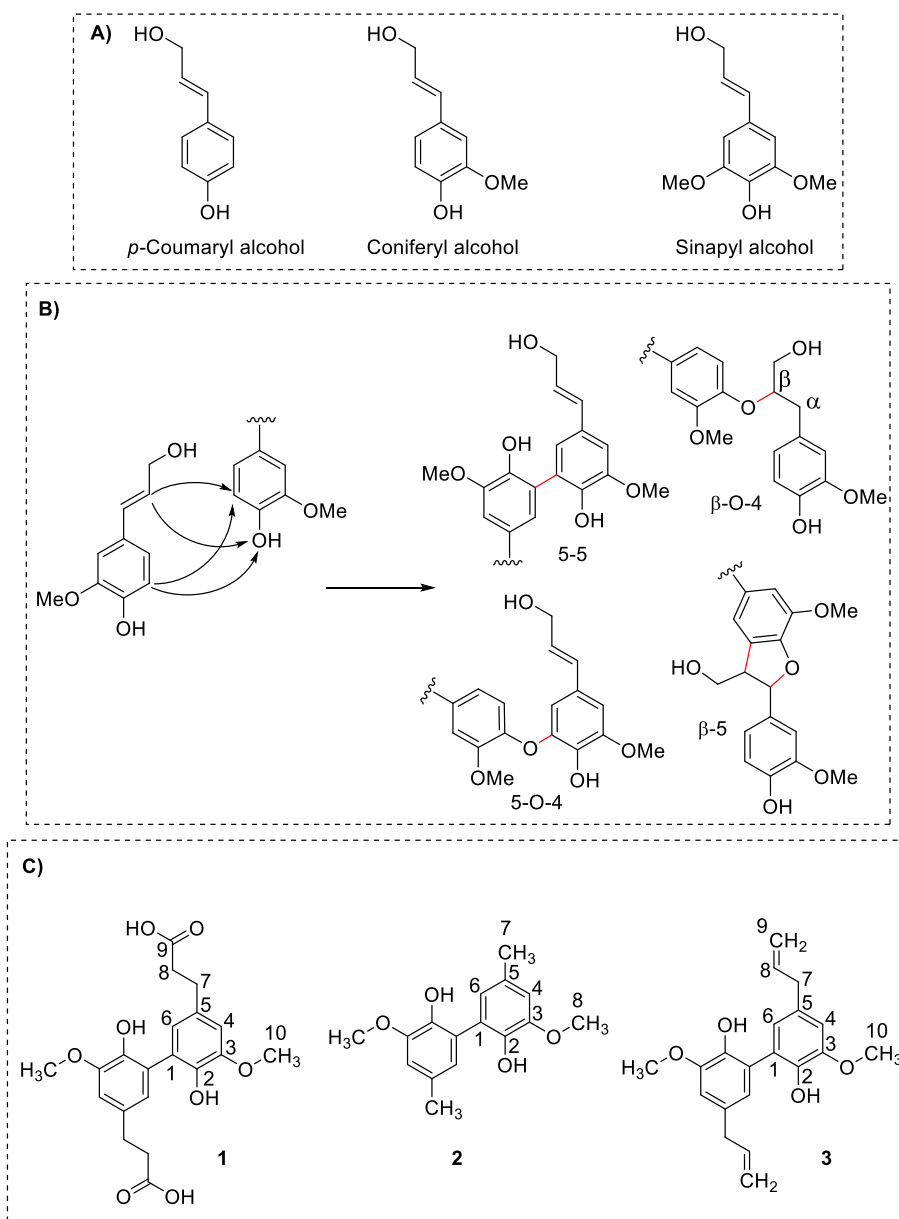


Figure 1. **A)** Lignin monomers; **B)** Ligninification; **C)** 5-5 Lignin model dimers with number labels

The combination of experimental and computational nuclear magnetic resonance (NMR) techniques has been a strong tool for providing the structural information of lignin monomers, dimers, and oligomers, which can support the difficult assignments and the confirmation of their structures and provide valuable insights into the substructures of lignin biopolymers [11][12][13]. The gauge-including atomic orbitals (GIAO)/density functional theory (DFT) method are generally accepted as a standard method in computing shielding constants due to its reliability and applicability [14][15][16]. The accuracy of calculated chemical shifts typically depends on an appropriate combination of exchange-correlation functionals and basis sets [17]. Even though an experimental NMR database of lignin dimers is available,[18] there have been just few reports on comparing calculated NMR spectra with the available data for lignin monomers and dimers. Herein, this present study evaluated 10 DFT functionals including B3LYP (Becke's 3-parameter hybrid functional [19] using B exchange [20] and LYP correlation),[21][22] B3PW91 (Perdew

and Wang's 1991 gradient-corrected correlation functional),[23][24] BPV86 (Perdew's 1986 functional),[19][25][26] CAM-B3LYP (Handy and co-workers' long-range corrected version of B3LYP using the Coulomb-attenuating method),[27] HCTH (Hamprecht-Cohen-Tozer-Handy GGA functional),[28][29][30] HSEH1PBE (The exchange part of the screened Coulomb potential of Heyd, Scuseria, and Ernzerhof),[31][32] mPW1PW91 (mPW exchange and PW91 correlation),[33][34] PBEPBE (The functional of Perdew, Burke, and Ernzerhof),[35] TPSSTPSS (The exchange component of the Tao-Perdew-Staroverov-Scuseria),[36][37] and ω B97XD (Head-Gordon and coworkers' dispersion corrected long-range corrected hybrid functional)[38][39] on the ^1H and ^{13}C NMR shift calculations of 5-5 lignin model dimers (Figure 1C). Initially, the 10 cited functionals coupled with 6-31G(d,p) basis set [40] were tested on compound **1**, which was efficiently prepared by a two-stepped synthesis from ferulic acid. The statistical parameters including the corrected mean absolute error (CMAE), corrected root-mean-squared error (CRMSE), and the coefficient of determination (r^2) were employed for selecting the three best performing functionals for each nucleus, which were used for the ^1H and ^{13}C chemical shift calculations of similar model dimers **2** and **3** (Figure 1C).

Computational methods

All calculations were performed using the Gaussian09 [41]. Geometry optimizations of dimers **1**, **2**, and **3** were performed at the CAM-B3LYP/6-31G(d,p) level. The solvent effects of dimethylsulfoxide (DMSO) or chloroform (CHCl_3) were incorporated during the optimizations using the integral equation formalism variant of the polarized continuum model (IEFPCM) [42][43]. Subsequent frequency calculations ensured that a potential energy surface (PES) local minimum was attained during the energy minimization. Cartesian coordinates of the resulting structures are given in the Supporting Information.

Single-point NMR GIAO calculations were carried out at DFT level with IEFPCM method using the permittivity constants for dimethylsulfoxide or chloroform for both carbon and proton. The following 10 common functionals used for the NMR shielding constant calculations were considered: B3LYP, B3PW91, BPV86, CAM-B3LYP, HCTH, HSEH1PBE, mPW1PW91, PBEPBE, TPSSTPSS, and ω B97XD. The GIAO NMR results were observed and extracted using GaussView05. Each optimized structure of dimers and tetramethylsilane were used for computing the corresponding isotropic shielding constants σ_{cal} and σ_{TMS} using all the 10 cited functionals coupled with basis set 6-31G(d,p), the chemical shifts (δ_{cal}) were obtained using Equation 1. For both the ^1H and ^{13}C NMR calculations, an average of values of equivalent atoms was assumed. To reduce the systematic error of the calculations, the linear regression analysis of the calculated chemical shifts versus the experimental ones (δ_{exp}) (Equation 2) was performed and the scaled chemical shifts (δ_{scal}) were computed according to Equation 3. The results were evaluated using the corrected mean absolute error (CMAE/ppm, Equation 4); the corrected root mean squared error (CRMSE/ppm, Equation 5); and the coefficient of determination (r^2). The error calculations and linear correlations were performed using Microsoft Excel 2013.

$$\delta_{cal} = \sigma_{TMS} - \sigma_{cal} \quad (1)$$

$$\delta_{cal} = a\delta_{exp} + b \quad (2)$$

$$\delta_{scal} = (\delta_{cal} - b)/a \quad (3)$$

$$\text{CMAE} = \sum_1^n |\delta_{scal} - \delta_{exp}| / n \quad (4)$$

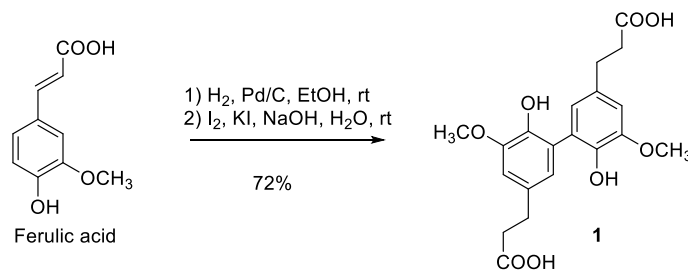
$$\text{CRMSE} = \sqrt{\sum_1^n (\delta_{scal} - \delta_{exp})^2 / n} \quad (5)$$

Figure 1C shows the numbered dimers used for the proton and carbon atoms in this study. Due to the axial symmetry of 5-5 dimers **1**, **2**, and **3**, only one side of the structures was labeled. The 5-5 dimers have phenolic and carboxylic protons which are typically not appeared in the NMR spectra due to rapid exchanges in DMSO-*d*₆ or CDCl₃ solvent. Therefore, this work excluded these protons in the calculations. The experimental ¹H and ¹³C NMR spectra of **1** are available in Supplementary Information and those of **2** [44][45] and **3** [46][47] have been reported.

Results and Discussion

Synthesis of dimer **1**

5-5 lignin model dimer **1** was prepared using a two-step sequence from ferulic acid using hydrogenation and oxidation reactions (Scheme 1). In the first step, ferulic acid was hydrogenated in two hours at room temperature using 10% Pd/C as the catalyst to produce dihydroferulic acid in a yellow solid form. In the second step, treatment of dihydroferulic acid with iodine in a basic condition (0.5 M NaOH aqueous solution) produced 5-5 lignin model dimer **1** as the oxidative coupling product in 72% yield.



Scheme 1. Preparation of 5-5' lignin model dimer **1** from ferulic acid

The structure of lignin model dimer **1** (C₂₀H₂₂O₈; MW = 390.4) contains 14 methylene and methyl protons and 4 aromatic protons. Among 20 C atoms, 14 are sp²-hybridized and 6 are sp³-hybridized. Due to the free rotation about the biphenyl linkage, the ¹H and ¹³C NMR spectra recorded at 298 K in DMSO shows 5 ¹H peaks and 10 ¹³C peaks, as presented in Table 1. In those spectra, chemical shifts at low field area were assigned to aromatic protons (**H4** and **H6**) and sp²-hybridized carbons (**C1-6** and **C9**), and those at high field area were belongs to aliphatic protons (**H7**, **H8**, and **H10**) and sp³-hybridized carbons (**C7**, **C8**, and **C10**). The coupling constant value of 2.1 Hz between the two aromatic protons indicated an *ortho* relationship.

The evaluation of 10 DFT functionals

Dimer **1** served as a representative 5-5 lignin model compound for evaluating the accuracy of ¹H and ¹³C NMR calculations. 10 Functionals were evaluated, and the results were showed in Table 1 and 2. In these Tables, the functionals were sorted alphabetically by name. The same procedure was used for computing the chemical shifts of the reference trimethylsilane (TMS). To better represent the atoms in the same chemical environment, the mean value was considered. The

statistical parameters including CMAE, CRMSE, and r^2 were employed for quantifying the performance of each functional. The smaller values of CMAE and CRMSE indicate smaller errors and the larger value of r^2 means a stronger correlation between theoretical and experimental data. We based the discussion using these parameters in order to select the most accurate functionals.

Table 1 shows the experimental and calculated ^1H chemical shifts using 10 different DFT functionals coupled with 6-31G(d,p) basis set and Figure 2 illustrates the CMAE and CRMSE error bars. Overall, the correlation coefficients and error results indicate that the calculations provided a qualitatively accurate description of the ^1H NMR chemical shifts of compound **1**. The CMAE and CRMSE values were in the ranges of 0.0519 to 0.106 ppm and 0.0534 to 0.111 ppm, respectively. The coefficients of determination (r^2) were above 0.9964 for all tested functionals. Methylene protons **H7** were observed with the noticeable deviations ranged from 0.0715 to 0.166 ppm (Figure 3). The deviations of aromatic protons **H4** and **H6** were in the range of 0.0493 to 0.113 ppm. The three best performers with strong correlations and low errors for ^1H calculations were HSEH1PBE (CMAE = 0.0611 ppm, CRMSE = 0.0643 ppm, and $r^2 = 0.9988$), mPW1PW91 (CMAE = 0.0610 ppm, CRMSE = 0.0650 ppm, and $r^2 = 0.9988$), and ω B97XD (CMAE = 0.0519 ppm, CRMSE = 0.0534 ppm, and $r^2 = 0.9992$).

Table 1. The ^1H NMR chemical shifts of **1** calculated using 10 functionals coupled with 6-31G(d,p) basis set in DMSO solvent. All chemical shifts, CMAEs, and CRMSEs are in ppm.

	^1H NMR Chemical shifts (1 , DMSO)					Statistical parameters		
	H4	H6	H7	H8	H10	CMAE	CRMSE	r^2
δ_{exp}	6.56	6.78	2.74	2.49	3.79			
B3LYP	6.48	6.84	2.62	2.55	3.86	0.0794	0.0816	0.9981
B3PW91	6.49	6.84	2.64	2.57	3.82	0.0688	0.0723	0.9985
BPV86	6.46	6.85	2.57	2.58	3.89	0.106	0.111	0.9964
CAMB3LYP	6.49	6.84	2.64	2.55	3.84	0.0674	0.0692	0.9986
HCTH	6.47	6.85	2.60	2.57	3.87	0.0936	0.0966	0.9973
HSEH1PBE*	6.50	6.83	2.65	2.56	3.82	0.0611	0.0643	0.9988
mPW1PW91*	6.50	6.84	2.65	2.56	3.81	0.0610	0.0650	0.9988
PBEPBE	6.46	6.86	2.58	2.58	3.88	0.104	0.108	0.9966
TPSSTPSS	6.45	6.87	2.60	2.56	3.89	0.102	0.105	0.9968
ωB97XD*	6.50	6.83	2.67	2.54	3.82	0.0519	0.0534	0.9992

*The three functionals with lowest errors are in bold.

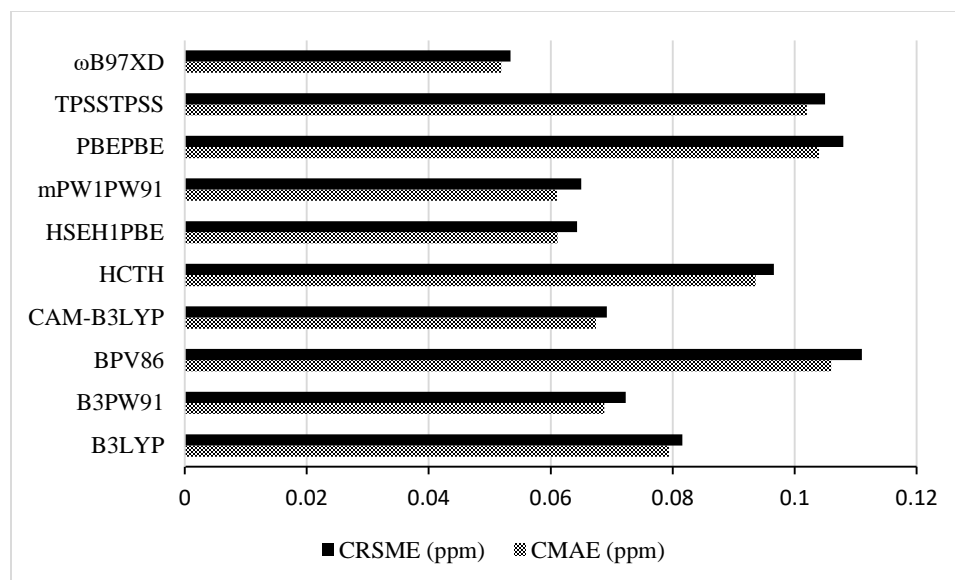


Figure 2. CMAE and CRSME values for the ^1H chemical shift calculations of dimer **1**

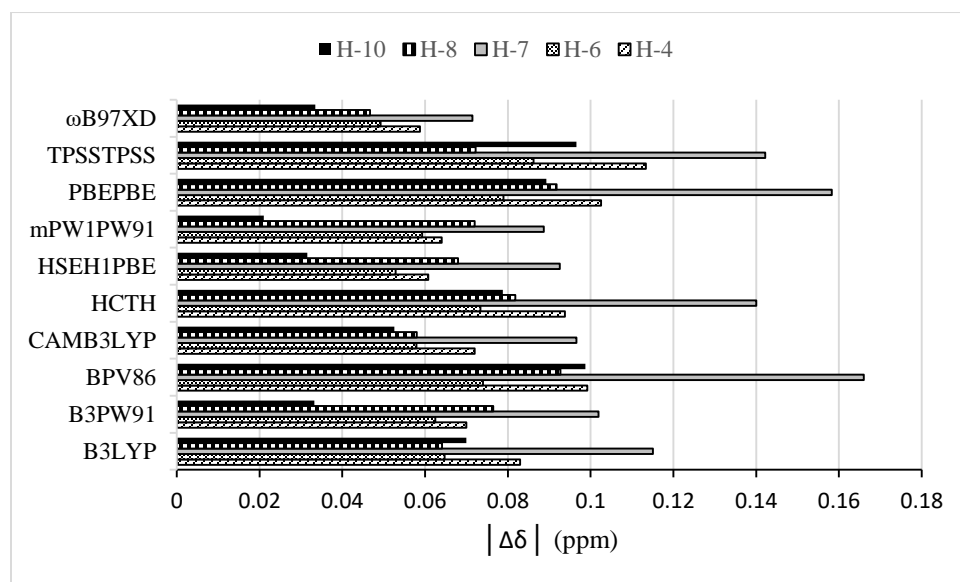


Figure 3. Absolute deviations of for the ^1H chemical shift calculations of dimer **1**

The calculated ^{13}C NMR shifts were in high agreement with the experimental data (Table 2). The CMAE and CRMSE values were in the range of 1.09 to 1.87 ppm and 1.34 to 2.11 ppm, respectively. The ^{13}C results were obtained with excellent correlation coefficients ($r^2 \geq 0.9980$) for all 10 tested functionals. Compared to the results of ^1H shift calculations, the calculated ^{13}C data were more accurate due to the relatively smaller errors and stronger correlations of ^{13}C shifts. The noticeable deviations of carbon atoms **C4**, **C6** and **C10** were observed in the range of 1.18 to 3.94 ppm, 0.544 to 2.94 ppm, and 1.80 to 3.45 ppm, respectively (Figure 5). The three best functionals with low errors and high correlation coefficients were HSEH1PBE (CMAE = 1.19 ppm, CRMSE = 1.43 ppm, and $r^2 = 0.9991$), mPW1PW91 (CMAE = 1.14 ppm, CRMSE = 1.35 ppm, and $r^2 = 0.9992$), and ω B97XD (CMAE = 1.09 ppm, CRMSE = 1.34 ppm, and $r^2 = 0.9992$). These results

of ^{13}C chemical shift calculations would allow meaningful predictions with a high level of accuracy.

Table 2. The ^{13}C NMR chemical shifts of **1** calculated using 10 DFT functionals coupled with 6-31G(d,p) basis set in DMSO solvent. All chemical shifts, CMAEs, and CRMSEs are in ppm.

	^{13}C NMR Chemical shifts (1 , DMSO)										Statistical parameters		
	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	CMAE	CRMSE	r^2
δ_{exp}	128.1	147.1	153.0	116.2	136.4	131.3	35.6	41.1	179.4	61.3			
B3LYP	129.9	148.6	153.1	113.5	136.9	129.8	37.2	42.7	179.6	58.0	1.48	1.76	0.9986
B3PW91	129.6	148.5	152.9	114.3	136.5	130.0	36.7	42.7	179.8	58.6	1.21	1.43	0.9991
BPV86	129.4	149.3	154.2	112.3	136.6	128.9	37.5	42.4	180.0	58.9	1.73	2.01	0.9982
CAMB3LYP	130.2	148.2	152.5	115.0	137.0	130.7	36.6	42.6	178.8	57.8	1.26	1.53	0.9989
HCTH	129.0	149.3	153.9	112.6	136.3	129.1	37.6	42.1	180.3	59.2	1.58	1.85	0.9985
HSEH1PBE*	129.5	148.4	152.8	114.5	136.5	130.1	36.7	42.7	179.8	58.4	1.19	1.43	0.9991
mPW1PW91*	129.5	148.3	152.7	114.7	136.4	130.2	36.6	42.7	179.9	58.6	1.14	1.35	0.9992
PBEPBE	129.4	149.3	154.2	112.5	136.6	129.0	37.6	42.3	179.9	58.8	1.69	1.95	0.9983
TPSSTPSS	128.8	149.5	153.8	112.3	135.7	128.3	37.5	42.7	181.4	59.5	1.87	2.11	0.9980
wB97XD*	129.7	148.2	152.4	115.0	136.7	130.6	36.4	42.7	179.4	58.3	1.09	1.34	0.9992

*The three functionals with lowest errors are in bold.

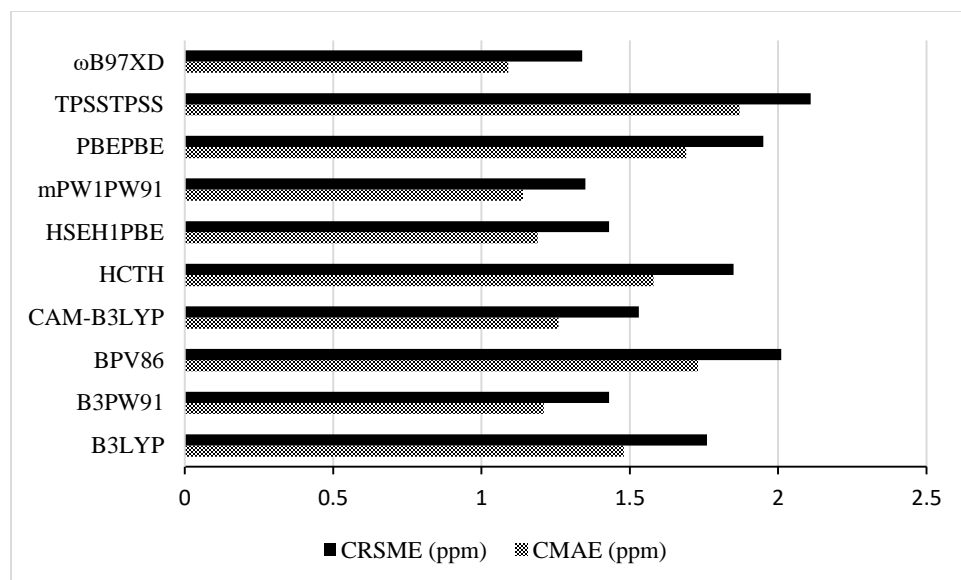


Figure 4. CMAE and CRSME values for the ^{13}C chemical shift calculations of dimer **1**

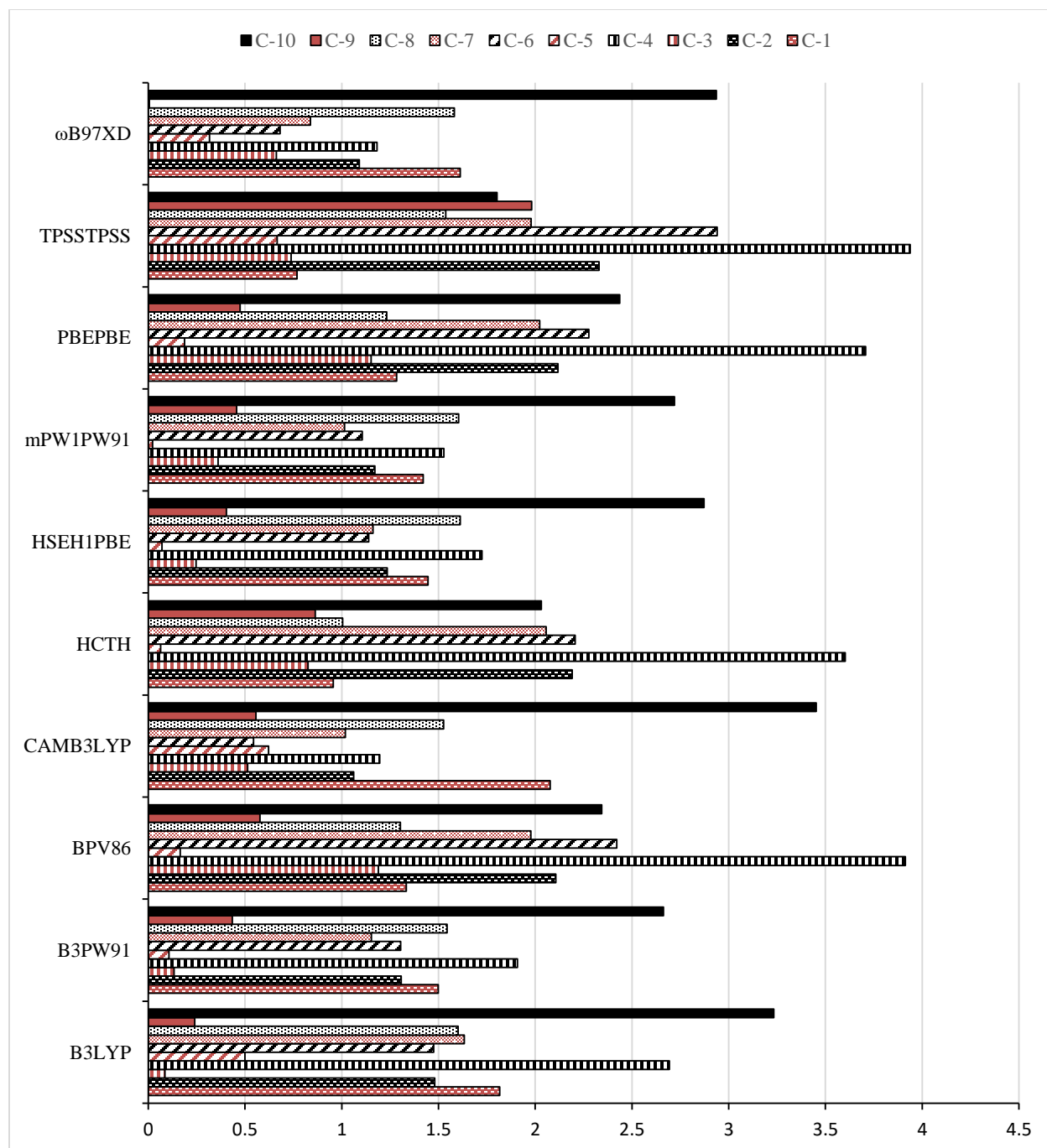


Figure 5. Absolute deviations of for the ^1H chemical shift calculations of dimer **1**

The evaluation of the selected functionals for lignin model dimers 2 and 3

HSEH1PBE, mPW1PW91, and ω B97XD functionals were employed for computing the ^1H and ^{13}C chemical shifts of lignin model dimers **2** and **3**. The above procedure of the theoretical calculations and statistical analysis of compound **1** was applied for compounds **2** and **3**. In general, the calculated results were observed with low associated errors and strong linear correlations ($r^2 \geq 0.9901$). For the ^1H NMR shift calculations of **2** and **3**, the CMAE and CRMSE values were ranged

from 0.106 to 0.144 ppm and 0.124 to 0.168 ppm, respectively (Table 3). The largest deviations were found for atom **H6** of **2** ($|\Delta\delta| = 0.19$ ppm) and atom **H4** of **3** ($|\Delta\delta| = 0.29$ ppm). For the ^{13}C NMR shift calculations, the CMAE and CRMSE values in the ranges of 1.39 to 1.76 ppm and 1.58 to 2.01 ppm, respectively (Table 4). The noticeable deviations were observed for **C6** of **2** ($|\Delta\delta| = 2.83$ ppm) and **C5** of **3** ($|\Delta\delta| = 3.01$ ppm). Overall, the results of the performed calculations indicate that the selected functionals produced ^1H and ^{13}C chemical shifts with high accuracy.

Table 3. The calculated ^1H NMR chemical shifts of **2** and **3** in CHCl_3 using HSEH1PBE, mPW1PW91, and ωB97XD functionals coupled with 6-31G(d,p) basis set. All chemical shifts, CMAEs, and CRMSEs are in ppm.

	^1H NMR Chemical shifts (2)				Statistical parameters		
	H4	H6	H7	H8	CMAE	CRMSE	r^2
δ_{exp}	6.71	6.82	2.31	3.98			
HSEH1PBE	6.55	7.00	2.36	3.91	0.116	0.128	0.9955
Mpw1pw91	6.55	7.01	2.37	3.90	0.121	0.132	0.9952
ωB97XD	6.56	7.00	2.36	3.91	0.112	0.124	0.9958

	^1H NMR Chemical shifts (3)						Statistical parameters		
	H4	H6	H7	H8	H9	H10	CMAE	CRMSE	r^2
δ_{exp}	6.73	6.76	3.38	5.99	5.11	3.92			
HSEH1PBE	6.51	6.76	3.36	6.03	5.28	3.83	0.107	0.128	0.9906
Mpw1pw91	6.51	6.88	3.37	6.02	5.28	3.83	0.106	0.128	0.9905
ωB97XD	6.44	6.77	3.21	5.90	5.22	3.73	0.144	0.168	0.9901

Table 4. The calculated ^{13}C NMR chemical shifts of **2** and **3** in CHCl_3 using HSEH1PBE, mPW1PW91, and ωB97XD functionals coupled with 6-31G(d,p) basis set. All chemical shifts, CMAEs, and CRMSEs are in ppm.

	^{13}C NMR Chemical shifts (2)								Statistical parameters		
	C1	C2	C3	C4	C5	C6	C7	C8	CMAE	CRMSE	r^2
δ_{exp}	124.4	140.4	147.2	111.3	129.7	123.5	21.0	56.0			
HSEH1PBE	124.3	142.3	146.8	109.1	128.1	126.1	22.2	54.8	1.19	1.43	0.9991
mPW1PW91	124.2	142.3	146.7	109.2	128.1	126.1	22.1	54.8	1.14	1.35	0.9992
ωB97XD	124.4	142.1	146.2	109.5	128.2	126.4	22.1	54.7	1.09	1.34	0.9992

	^{13}C NMR Chemical shifts (3)										Statistical parameters		
	C1	C2	C3	C4	C5	C6	C7	C8	C9	C10	CMAE	CRMSE	r^2
δ_{exp}	123.5	141.3	147.6	111.0	132.3	124.8	40.3	137.8	116.0	56.4			
HSEH1PBE	123.9	142.7	146.8	108.7	129.3	125.6	43.0	140.6	116.6	53.7	1.76	1.76	0.9966
mPW1PW91	123.9	142.7	146.7	108.9	129.4	125.6	42.8	140.4	116.7	53.9	1.68	1.68	0.9969
ωB97XD	124.1	142.5	146.5	109.3	129.6	126.0	42.4	140.0	116.6	54.1	1.57	1.72	0.9975

4. Conclusion

We have performed the evaluation of 10 DFT functionals coupled with 6-31G(d,p) basis set using GIAO method and IEFPCM model on the calculation of ^1H and ^{13}C chemical shifts of 5-5 dimer **1**, which was effectively synthesized from ferulic acid in 72% yield over two steps. Our results showed the three best performing functionals for the ^1H and ^{13}C shift calculation were HSEH1PBE, mPW1PW91, and ωB97XD with CMAEs ≤ 0.0611 ppm and CRMSEs ≤ 0.0650 ppm for ^1H and CMAEs ≤ 1.19 ppm and CRMSEs ≤ 1.43 ppm for ^{13}C . In these cases, excellent correlations between theoretical and experimental data ($r^2 > 0.9988$) were observed. The calculations of ^1H and ^{13}C chemical shifts of two other lignin model dimers **2** and **3** using the best performing functionals also produced good accuracy results with CMAEs ≤ 0.144 ppm for ^1H and CMAEs ≤ 1.76 ppm for ^{13}C . The computed ^1H and ^{13}C shifts were well correlated with the experimental data ($r^2 > 0.9901$). Overall, the method $\omega\text{B97XD}/6\text{-}31\text{G(d,p)}/\text{IEFPCM}$ consistently provided the calculated ^1H and ^{13}C chemical shifts with a high level of accuracy. Given such high degree of accuracy achieved in calculating the ^1H and ^{13}C chemical shifts of 5-5 lignin model dimer **1**, **2**, and **3**, the results of this work can be used for supporting the assignments of the experimental NMR spectra of the 5-5 dimer substructures of lignin polymers and further studies on the chemical shift calculations of other lignin model dimers and similar biaryl systems are under investigation.

Experimental

Experimental measurements were carried out at University of Helsinki. ^1H and ^{13}C NMR spectra were recorded on a Varian 300 MHz spectrometer at ambient temperature. ^1H and ^{13}C chemical shifts are reported in ppm using residual solvent peaks as an internal reference (DMSO: 2.50 ppm for ^1H NMR and 37.52 ppm for ^{13}C NMR). The MS spectrum of **1** was obtained using University of Helsinki's mass spectrometric facility on Micromass Autospec Ultima instrument via CI method.

Synthesis of **1**

3,3'-(6,6'-dihydroxy-5,5'-dimethoxy-[1,1'-biphenyl]-3,3'-diyl)dipropionic acid (1). A solution of ferulic acid (3.4 g, 17.5 mmol) in 50 ml ethanol containing 10% Pd/C (0.50 g) was hydrogenated for 2h at room temperature. After filtrating off the catalyst, the solvent was evaporated to give a yellow solid (3.4 g). To a solution of this yellow solid and NaOH (2.82 g, 70.5 mmol) in H_2O , a solution of I_2 (5.44g, 21.4 mmol) and KI (3.5 g, 21.1 mmol) was added dropwise and the mixture was stirred overnight at room temperature. An aqueous solution of $\text{Na}_2\text{S}_2\text{O}_3$ was added to the mixture to remove residual I_2 . The mixture was then acidified by HCl solution to pH = 2 after which it was filtered and washed with H_2O to yield a white solid; **$^1\text{H-NMR}$** (300 MHz, DMSO): δ (ppm) 6.78 (d, $J = 1.8$ Hz, 2H), 6.56 (m, $J = 2.1$ Hz, 2H), 3.79 (s, 6H), 2.74 (m, 4H), 2.49 (m, 4H); **$^{13}\text{C-NMR}$** (75 MHz, DMSO): δ (ppm) 179.4, 153.0, 147.1, 136.4, 131.3, 128.1, 116.2, 61.3, 41.1, 35.6. Molecular ion: $[\text{M-H}]^+$ 389

5. Acknowledgements

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