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Introduction

A complete encirclement of guests by covalent/self-assembled hosts gives rise to encapsulation complexes.^{1,2} A conformational change within the structure of the host,³ of such complexes, could govern the in/out trafficking of guests,⁴ and thus the encapsulation persistency ($\Delta G_{in/out}^{\dagger}$).⁵ For the entrapment to take place in the liquid phase, the size and shape of guests ought to be complementary⁶ to the interior of the host.^{7,8} Furthermore, ~55% population (packing coefficient, PC = V_{guest}/V_{host})⁹ of the cavitand's inner space¹⁰ has been found to contribute to the formation of stable van der Waals encapsulation complexes.¹¹ The role of bulk solvent is important¹² as solvent molecules are in a constant quest to occupy the inner space of

On the role of guests in enforcing the mechanism of action of gated baskets[†]

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We designed and prepared a spacious and gated basket of type **2** ($V = 318 \text{ Å}^3$) in ten synthetic steps. With the assistance of ¹H NMR spectroscopy, we found that the pyridine gates at the rim of 2 form a seam of N-H···N hydrogen bonds, thereby adopting right- (P) and left-handed (M) helical arrangements. The recognition characteristics of the smaller basket 1 ($V = 226 \text{ Å}^3$) and the larger 2 for various solvents as guests were guantified by ¹H NMR spectroscopy in CD₂Cl₂ (61 Å³), CDCl₃ (75 Å³), CFCl₃ (81 Å³) and CCl_4 (89 Å³); the apparent guest binding equilibria K_a were found to be inversely proportional to the affinity of bulk solvents K_s for populating each host. The rate of the *P/M* racemization (k_{racr} , s⁻¹) was, for both 1 and 2, studied in all four solvents using dynamic NMR spectroscopy. From these experiments, two isokinetic relationships ($\Delta S_{P/M}^{2}$ vs. $\Delta H_{P/M}^{2}$) were identified with each one corresponding to a different mechanism of P/M racemization. A computational study (B3LYP/6-31+G**//PM6) of 1 and 2 in the gas phase indicates two competing racemization pathways: (a) RM_{1-2} describes a pivoting of a single gate followed by the rotation of the remaining two gates, while (b) RM₃ depicts simultaneous (geared) rotation of all three gates. The racemization of the larger basket 2, in all four solvents (packing coefficient, PC = 0.19-0.28), conformed to one isokinetic relationship, which also coincided with the operation of the smaller basket 1 in CD_2Cl_2 (PC = 0.27). However, in $CDCl_3$, $CFCl_3$ and CCl_4 (PC = 0.33–0.39), the mode of action of **1** appears to correlate with a different isokinetic relationship. Thus, we propose that the population of the basket's inner space (PC) determines the mechanism of P/M racemization. When PC < 0.3, the mechanism of operation is RM_{1-2} , whereas, a greater packing, represented when PC > 0.3, enforces the geared RM₃ mechanistic alternative.

concave hosts while competing with other guests.¹³ Markedly, sizeable molecules incapable of penetrating the capsular host and effectively solvating its concave surface¹⁴ permit the formation of more stable encapsulation assemblies.¹⁵ In fact, one could show (*vide infra*) that organic solvents capable of occupying the capsular host with an affinity of $K_{\rm S} > 10^{-2}$ – 10^{-3} M⁻¹ weaken the binding to the point that there is almost no measurable complexation.¹⁶ In a similar manner, polar water molecules are incompatible with the interior of hydrophobic organic hosts, thereby assisting guest complexation *via* the hydrophobic effect.^{19,20} Evidently, the effective formation of encapsulation complexes²¹ is a function of the solvophobic effect,²² yet finding a suitable medium for exploring encapsulation is still a matter of experimental investigation.²³

Our mechanistic studies of gated baskets of type 1 (226 A^3 , Fig. 1A) have, so far, been completed in dichloromethane (CD₂Cl₂, 61 Å³), and the affinity for guests was satisfactory.²⁴ Accordingly, in this environment, the basket can be classified as solvophobic: one CD₂Cl₂ (61 Å³, PC = 28%) is not enough to populate its cavity, two CD₂Cl₂ are not complementary to the

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Fig. 1 Chemical structures of basket **1** (A) and **2** (B) forming intramolecular N–H…N hydrogen bonds and their corresponding energy-minimized forms (PM6). The volume of each basket's cavity was computed by the 3 V computational method¹⁷ while their van der Waals surfaces are visualised using UCSF Chimera software.

inner concave surface (122 Å³, PC = 55%), while three CD_2Cl_2 are simply too much for occupying the interior (183 $Å^3$, PC = 83%); note that dissolved gases (N₂, O₂, Ar, etc.)²⁵ could potentially fill the cavity of cavitands as well.²⁶ Importantly, numerous haloalkanes (~80-125 $Å^3$)²⁷ were found to substitute weakly bound solvent within 1 in a process that is first-order in both guest and basket ($v_{in} = k_{in}$ [basket] [guest]).²⁸ The recognition is driven by enthalpy $(\Delta H^{\circ} < 0)^{27}$ while the entropic contributions are adverse in most cases ($\Delta S^{\circ} < 0$).⁵ In this basket, the three hydrogen-bonded pyridines (gates) revolve at the rim adopting right- (P) and left-handed (M) orientations.²⁹ The rotation creates a sizeable aperture at the basket's northern side to permit the solvent/guest exchange.30 Regulation of the dynamics of the fluctuating entrance is important for controlling the chemoselectivity^{29,31} by which molecules access the basket's cavity as well as the lifetime of encapsulation complexes.³² Importantly, the hydrogen-bonded gates could rotate without guest species entering/departing the basket's inner space.³⁰ Will a more sizeable basket 2 (318 A³, Fig. 1B) also form a gated host? How will a bigger cavity affect the mechanism of in/out guest exchange? Does the P/M racemization mechanism in any way relate to the size of the basket's interior? Does the guest size have any effect on the mechanism by which baskets operate? To address these questions, we used methods of both experimental and computational chemistry and examined the inner solvation, conformational dynamics, and encapsulation characteristics of 1 and 2. Interestingly, it appears that the filling of the basket's cavity determines the mechanism by which each gated host opens and closes its gates to control the encapsulation kinetics.

Results and discussions

Design and preparation of basket 2

To make a bigger gated host, one could extend the phthalimide groups in basket 1 (Fig. 1A) by incorporating quinoxaline moieties into the tris-norbornane framework (Fig. 1B).¹⁸ Indeed, we already optimized a template-directed protocol for the preparation of bowl-shaped 4_{syn} (Fig. 2A).¹⁸ In accord with this methodology, compound 3 was cyclotrimerized to give syn diastereomer of 4 with Cu(I)/Cs(I) as templating cations and Pd(0)/Cu(1) as catalysts (Fig. 2A). The synthetic strategy could therefore be useful for the preparation of more spacious basket 2 (Fig. 1B), although we had to experimentally test the cyclotrimerization of 9 under the same or a similar set of conditions (Fig. 2B).¹⁸ Dimethyl-4,5-diaminophthalate 5 (Fig. 2B) was obtained in gram quantities following already reported procedures (Scheme S1[†]).^{35,36} The condensation of this compound with 5-norbornene-2,3-dione 6 (CH₂Cl₂) was facile and provided 7 in 92% yield. The bromination/dehydrobromination of 7 gave bromoalkene 8 (60%), which was further stannylated at low temperature (195 K) to form compound 9 (Fig. 2B). The cyclotrimerization of bromo(trimethylstannyl) 9 was attempted with a Pd(0)/Cu(1)/CsF catalytic system (Table S1[†]). As discussed earlier, Cu(I)/Cs(I) metal cations were expected¹⁸ to template the formation of 10_{syn} by coordinating to quinoxaline nitrogen atoms within the basket's framework. Interestingly, diastereomeric 10_{syn} and 10_{anti} were obtained in a nearly statistical ratio (~1:3) and overall 60% yield. Given the absence of templation, the reaction's outcome is attributed to both electronic and steric factors: (1) less basic quinoxaline nitrogen atoms in 9, carrying two electron-withdrawing ester functionalities, ought to have a lower coordination affinity toward metal cations, and (2) six ester groups at the rim of 10_{syn} could hinder the formation of a more compact transition state that is required for its formation. The base-catalyzed (LiOH) hydrolysis of hexamethylester 10_{syn} followed by treatment of the hexaacid with trifluoroacetic anhydride (TFAA, Fig. 2B) gave tris-anhydride 11. The conjugation of diamine 12 to 11 gave tris-amine 13, which upon condensation with TFAA afforded basket 2 in 41% yield.

NMR characterization of basket 2

¹H NMR spectrum of basket 2 (400 MHz, CDCl₃) showed a set of signals corresponding to a C_{3v} symmetric molecule (Fig. 3A); ¹H–¹H NOESY spectroscopic correlations (Fig. S1[†]) allowed us to assign all of the basket's resonances. Notably, the singlet corresponding to the three amide N–H protons is positioned downfield (δ = 11.9 ppm, Fig. 2C), confirming the formation of N–H…N hydrogen bonds. In fact, a dilution of CDCl₃ solution of 2 (from 0.8 to 0.1 mM, Fig. S2[†]) caused a negligible shift of the N–H resonance to indicate the absence of intermolecular aggregation. In line with this result, NMR diffusion measurements (2D DOSY, 298.0 K) of 0.8–0.3 mM solution of 2 in CDCl₃ showed a set of signals with similar diffusion coefficients ($D = 5.4-7.4 \times 10^{-10}$ m² s⁻¹, Fig. S3[†]); the computed Stokes–Einstein radius $R_{\rm H} = 5.4-7.5$ Å of 2 bodes

Paper



Fig. 2 (A) Template-directed synthesis of cup-shaped 4_{syn} as reported previously.¹⁸ (B) The preparation of basket 2 was completed in ten synthetic steps.



Fig. 3 (A) Chemical structure of basket **2** and ¹H NMR spectrum (400 MHz) of this compound (298.0 K) in CDCl₃. (B) Pyridine gates in **2** adopt *P* and *M* stereochemical arrangements with rate coefficient k_{rac} characterizing the **2**_{*P/M*} interconversion. (C) A segment of simulated (bottom, WinDNMR)^{33,34} and experimental (top) VT ¹H NMR spectra of basket **2** in CD₂Cl₂ showing the coalescence of an AB quartet, corresponding to **H**_d protons, into a singlet.

well with the approximate diameter (12–15 Å, Fig. 1) of this basket. In conclusion, host 2 is monomeric in $CDCl_3$ with pyridine gates forming intramolecular N–H…N contacts.

Despite a slightly greater distance between the "hinge" CH_2 groups at the rim of 2 with respect to 1 ($\Delta d = 0.5$ Å, Fig. 1), the pyridine gates are apparently close enough to make non-covalent contacts: for both baskets, the N–H…N distances are almost identical, 3.13–3.16 Å, while the corresponding bond angles are somewhat different (148–154°, Fig. 1). Importantly, a comparison of the computed structural parameters for 1 and 2 also shows a small contraction of the cup-shaped platform of 2 to perhaps assist the formation of the N–H…N contacts.

The inner space of baskets 1 and 2

Assessing the volume enclosed by the van der Waals surface of a concave host is a challenging task,^{37,38} as one has to account for the host's corners/dimples as well as arbitrate on the molecule's boundary surface.¹⁰ A rapid computational method for completing this job would certainly be useful to experimentalists as the encapsulation selectivity is a function of the population of the host's cavity.¹⁰ That is to say, stable van der Waals encapsulation complexes are typically obtained when PC =

 0.55 ± 0.09 , which is in the range of the packing density of common organic liquids (PC = 0.51-0.63).¹⁰

The optimal distance between neutral atoms forming a stable noncovalent complex is, from a Lennard-Jones potential curve, 1.12 times greater ($r_e = 2^{1/6}\sigma$; -dU/dr = Force = 0)³⁹ than the sum of their van der Waals radii.⁸ Given such an analysis, envision a system of two atoms as spheres, each having 1 Å radius and at the necessary equilibrium distance of $r_e = 2.24$ Å. If the radius of the first sphere is kept constant ($r_1 = 1$ Å) while that of the second is increased to $r_2 = 1.24$ Å, then we can enclose the smaller into the bigger sphere to efficiently populate the space. Next, we can calculate that the volume occupied by the smaller sphere ($V_1/V_2 = (r_1/r_2)^3$) amounts to 52%, which is within the range of reported packing coefficient of liquids!¹⁰

To compute the inner space of baskets 1 and 2 (Fig. 1), we used the recently developed 3 V (Voss Volume Voxelator) computational protocol;¹⁷ this freeware has been recommended for investigating drug-binding sites in biological molecules and is readily available at http://3vee.molmovdb.org. In essence, the method employs two variously sized rolling probes elucidating the shape of the molecule of interest: the bigger probe (typically $r_1 > 10$ Å) must not populate the cavity to establish the outer molecular surface, while the smaller probe (depending on its size) delineates the accessible ($r_2 > 0$) or van der Waals ($r_2 = 0$) surface of the molecule. The subtraction of two computed surfaces, comprising a 3D grid of 0.5 Å voxels, gives the volume.

The distance between two carbonyl oxygen atoms across the aperture of energy-minimized 1 and 2 (MMFFs, Spartan) is ~6.2–6.8 Å and the 10 Å (r_1) virtual probe shall not penetrate the cavity. The size of the smaller probe ($r_2 = 0.2$ Å), however, was chosen to obtain the volume of the smaller basket 1 (226 Å^3) close to the value calculated with the cavity filling method (221 ± 9 Å³).²⁷ Following this same protocol (with r_1 = 10 Å and $r_2 = 0.2$ Å), the cavity of the larger basket 2 was estimated to be 318 Å³ (Fig. 1B). Importantly, varying the radius of the bigger probe $(r_1 = 9-11 \text{ Å})$ had a small effect on the computed volumes ($\pm 2\%$). The variation of the smaller probe (r_2 = 0.1-0.3 Å), however, had a greater effect on the volume variation $(\pm 9\%)$. To further assess the utility of this rapid methodology for determining the volume of artificial cavitands, we examined the inner space of eight variously sized/shaped capsular hosts (Table 1). Importantly, the computed 3 V volume of these molecules is comparable to the values obtained from the cavity-filling method (Table 1).¹⁰

On the encapsulation thermodynamics

Numerous solvent molecules surround a concave host with a tendency to occupy its interior.⁴⁵ Thus, bulk solvent [**S**] could act as guest¹⁴ and reside in the cavity of unoccupied molecular capsules [**B**]_{free} to give the [**S**⊂**B**] complex (K_s , Scheme 1). The greater the stability of the [**S**⊂**B**] complex (K_s), the lower the concentration of the desired host–guest complex [**G**⊂**B**] (K, Scheme 1). In essence, two competing equilibria determine the outcome of the recognition process and thereby the formation of [**G**⊂**B**]. It follows that solvents with a greater affinity

 Table 1
 The inner volume of various molecular capsules computed with the 3 V and cavity-filling methods

Capsule	3 V method^{17} (Å ³)	Cavity-filling method ¹⁰ (\mathring{A}^3)	Variation (%)	
Tennis ball I ⁴⁰	50	52	-4	
Tennis ball II ⁴¹	83	68	18	
Softball ⁴²	362	322	11	
Cryptophane A ¹⁶	114	97	15	
Calix[4]arene dimer ³⁸	205	197	4	
Calix 4 arene carceplex ⁴³	161	159	1	
Carceplex ⁴⁴	127	117	8	
Cylindrical capsule ⁴⁵	423	420	1	

$$[G] + [B]_{\text{free}} \xrightarrow{K} [G < B]$$

$$\stackrel{+}{[S]} \xrightarrow{K_S} [S < B]$$
Scheme 1

 $K_{\rm S}~({\rm M}^{-1})$ for residing in the host are also more competitive. That is, solvent molecules can reduce the experimentally measured and apparent affinity $K_{\rm a}$ (eqn (1)) of a guest [**G**] occupying the host in its free and solvated forms ([**B**]' = ([**B**]_{free} + [**S** \subset **B**]). The apparent affinity $K_{\rm a}$ is, therefore, given as:

$$[\mathbf{G}] + [\mathbf{B}]' = [\mathbf{G} \subset \mathbf{B}]$$

$$K_{\mathbf{a}} = [\mathbf{G} \subset \mathbf{B}] / ([\mathbf{G}][\mathbf{B}]')$$

$$[\mathbf{B}]' = ([\mathbf{B}]_{\text{free}} + [\mathbf{S} \subset \mathbf{B}])$$
(1)
one can derive:

From Scheme 1, one can derive:

$$K = [\mathbf{G} \subset \mathbf{B}] / ([\mathbf{G}] [\mathbf{B}]_{\text{free}})$$
(2)

$$K_{\rm S} = [\mathbf{S} \subset \mathbf{B}] / ([\mathbf{S}] [\mathbf{B}]_{\rm free}) \tag{3}$$

By dividing eqn (1) and (2), we obtain:

$$K_{a}/K = [\mathbf{B}]_{\text{free}}/[\mathbf{B}]'$$
$$K_{a}/K = [\mathbf{B}]_{\text{free}}/([\mathbf{B}]_{\text{free}} + [\mathbf{S} \subset \mathbf{B}])$$
(4)

From eqn (3) into (4), however, it follows:

$$[\mathbf{S} \subset \mathbf{B}] = K_{\mathbf{S}}[\mathbf{S}][\mathbf{B}]_{\text{free}}$$
$$K_{a}/K = [\mathbf{B}]_{\text{free}}/([\mathbf{B}]_{\text{free}} + K_{\mathbf{S}}[\mathbf{S}][\mathbf{B}]_{\text{free}}$$
$$K_{a}/K = 1/(1 + K_{\mathbf{S}}[\mathbf{S}])$$
(5)

Finally, the relationship between three stability constants¹⁶ is obtained:

$$K_{\rm a} = K / (1 + K_{\rm s}[\mathbf{S}]) \tag{6}$$

The concentration of organic solvents is typically in the range of $[S] = 10-15 \text{ M}^{-1}$, and if $K_S < 0.01 \text{ M}^{-1}$, then eqn (6) reduces to $K_a \sim K$: the apparent affinity K_a of the basket for trapping the targeted guest is close to the intrinsic affinity K and is hardly affected by the solvent. However, when the

Paper



Fig. 4 (A) The apparent binding affinity K_a (M⁻¹) of (CH₃)₂CBr₂ for occupying basket **1** was measured (VT ¹H NMR, Fig. S4–S7†) in four different solvents. (B) The apparent binding affinity K_a (M⁻¹) of C₂Cl₆ for occupying basket **2** was quantified (VT ¹H NMR, Fig. S8–S11†) in CDCl₃, while it was below the detection limit in CD₂Cl₂, CFCl₃ and CCl₄.

affinity of solvent molecules for occupying the basket is greater $(K_{\rm S} > 0.1 \text{ M}^{-1})$, then the apparent binding $K_{\rm a}$ decreases and eqn (6) gives $K_{\rm a} \leq K/2$.

We used VT ¹H NMR spectroscopy to measure the apparent affinity K_a of 2,2-dibromopropane (107 Å³, PC = 0.47) towards basket 1 (226 Å³) in four differently sized solvents: CD₂Cl₂, 61 Å³; CDCl₃, 75 Å³; CFCl₃, 81 Å³ and CCl₄, 89 Å³ (Fig. 4A).²⁷ On the basis of size, these solvents were expected to fill the basket's interior (PC = 0.27–0.39, Table 2) with an increasingly greater affinity K_s for occupying its cavity along the series. Indeed, the stability of [(CH₃)₂CBr₂⊂1] was found to be greater in CD₂Cl₂ (ln $K_a > 5.3$, Fig. 4A) than in CDCl₃/CFCl₃ (ln $K_a < 2.3$, Fig. 4A) while practically non-measurable in CCl₄. From eqn (6), we can deduce the following trend: $K_s^{CD2Cl2} < K_s^{CCl3/CFCl3} < K_s^{CCl4}$. Since K_a^{CD2Cl2} is ~10²–10³ M⁻¹ ($K > 10^2 M^{-1}$), it is reasonable to assume K_s^{CCl4} to be >10 M⁻¹ for shutting off the encapsulation ($K_a^{CCl4} < 1$) in this environment.

The apparent affinity K_a of basket 2 (318 Å³) toward hexachloroethane C₂Cl₆ (137 Å³, PC = 0.43) was, as in the case above, measured with ¹H NMR spectroscopy in four differently sized solvents (Fig. 4B). Markedly, the binding affinity could be quantified in CDCl₃ while it is difficult to measure (too weak) in CD₂Cl₂, CFCl₃, and CCl₄. For the more sizeable basket 2, there is a smaller affinity for chloroform than the remaining three solvents for occupying the cavity. The basket can therefore be characterized as solvophobic in CDCl₃ ($K_s^{CDCl3} < K_s^{CD2Cl2/CFCl3/CCl4}$); we realize that for future recognition studies, we need to survey other solvents.

Axial P/M chirality in gated baskets

Previously, we found that the formation of N-H...N hydrogen bonds at the northern portion of basket 1 would limit the torsional motion about each of its three C-NH(C=O) single bonds (Fig. 2B).²⁴ In accord with this conformational bias, we measured NOE magnetization transfer (298.0 K, Fig. S1⁺) between resonances corresponding to N-H and Ha protons in the larger basket 2 (Fig. 2B). It follows that the pyridine gates in 2 are also adopting right- (P) and/or left-handed (M) orientations²⁹ with a pair of diastereotopic \mathbf{H}_{d} hydrogen atoms at the "hinge" (Fig. 3B). Indeed, variable temperature ¹H NMR spectra (400 MHz, $CDCl_3$) of 2 supported the existence of P/Mstereoisomers: a singlet corresponding to H_d protons at higher temperatures would change into an AB quartet at lower temperatures (Fig. 3C). The classical band-shape analysis (WinDNMR)^{33,34} of the NMR spectroscopic data provided rate coefficient k_{rac} (Fig. 3B) characterizing the rotation of the gates and thereby the racemization of $2_{P/M}$ in CDCl₃. Importantly, we completed a series of VT-NMR measurements for baskets 1 and 2 in four differently sized solvents: CD_2Cl_2 , 61 Å³; $CDCl_3$, 75 Å³; CFCl₃, 81 Å³ and CCl₄, 89 Å³. The activation parameters $\Delta H_{P/M}^{\ddagger}$ and $\Delta S_{P/M}^{\ddagger}$ (Table 2), characterizing the racemization, were extracted from the corresponding Eyring plots (Fig. S12-19[†]).

The revolving of pyridine gates and the inner solvation of baskets

The revolving of pyridine gates is, in both baskets **1** and **2**, characterized with negative entropy of activation for all four solvents ($\Delta S_{P/M}^{\dagger} = -6$ to -23 e.u., Table 2). Thus, in the mechanism for the *P*/*M* conversion (*vide infra*), the seam of N–H…N hydrogen bonds must loosen up and break in the rate-controlling step of the transformation (Fig. 3B). This, in turn, should augment the framework's flexibility contributing to its greater disorder ($\Delta S_1^{\dagger} > 0$, Scheme 2). Concurrently, the same unfolding of the basket's framework contributes to the extension of its surface area to prompt a more excessive solvation. Additional solvent molecules ought to surround the partly open capsular host and interact with it, to presumably increase the order of the system ($\Delta S_2^{\dagger} < 0$, Scheme 2). To explain the experimental result (Table 2), the adverse entropy of solvation

Table 2 The interconversion of $\mathbf{1}_{P/M}$ and $\mathbf{2}_{P/M}$ stereoisomers is, in four differently sized solvents, characterized with $\Delta H^{+}_{P/M}/\Delta S^{+}_{P/M}$ activation parameters (Fig. S12–19). Packing coefficients were computed for one solvent molecule occupying each basket's interior. Note that it is difficult to computationally (MMFFs) fit more than one solvent molecule in the interior of each basket without breaking the seam of hydrogen bonds at the northern side

	Basket 1 (226 Å ³)			Basket 2 (318 Å ³)				
Parameters	CD_2Cl_2	$CDCl_3$	CFCl ₃	CCl_4	CD_2Cl_2	$CDCl_3$	CFCl ₃	CCl_4
$\Delta H_{P/M}^{\dagger}$ (kcal mol ⁻¹)	8.98 ± 0.19	9.90 ± 0.14	7.30 ± 0.10	7.97 ± 0.15	6.40 ± 0.12	7.75 ± 0.13	4.60 ± 0.10	6.82 ± 0.07
$\Delta S_{P/M}^{\ddagger}$ (e.u.)	-6.61 ± 0.85	-7.80 ± 0.57	-18.45 ± 0.42	-16.32 ± 0.61	-16.82 ± 0.56	-11.14 ± 0.62	-23.49 ± 0.50	-14.50 ± 0.36
Volume (Å ³)	61	75	81	89	61	75	81	89
Packing coefficient (PC)	0.27	0.33	0.36	0.39	0.19	0.24	0.25	0.28



Scheme 2 The entropy of activation $\Delta S_{P/M}^{\pm}$ of basket **1** (A: CD₂Cl₂; B: CCl₄) is partitioned into more favourable ΔS_{1}^{\pm} , pertaining to the flexibility of the molecular framework, and adverse ΔS_{2}^{\pm} , describing the solvation changes.

must be dominant in the course of the *P*/*M* change: $\Delta S_{P/M}^{\ddagger} = \Delta S_1^{\ddagger} + \Delta S_2^{\ddagger}$ with $|\Delta S_2^{\ddagger}| > |\Delta S_1^{\ddagger}|$.

The entropy of activation, characterizing $\mathbf{1}_{P/M}$ interconversion, is "smaller" for CD_2Cl_2 ($\Delta S_{P/M}^{\ddagger} = -6.61 \pm 0.85$ e.u.) than any other solvent (Table 2). We surmise that host 1 undergoes a less dramatic solvation change in CD_2Cl_2 (smaller $|\Delta S_2^{\dagger}|$ term, Scheme 1A) as turning into the corresponding transition state, in the course of the P/M interconversion. The greater entropic change in CCl₄ ($\Delta S_{P/M}^{\ddagger} = 16.32 \pm 0.61$ e.u., Table 2), however, suggests a more significant solvent reorganization (with a bigger $|\Delta S_2^{\ddagger}|$ term, Scheme 1B) along the *P/M* transition. As discussed earlier, basket 1 is solvophobic in CD₂Cl₂ and solvophilic in CCl_4 ($K_s^{CCl4} \gg K_s^{CD2Cl2}$, Fig. 4A). Accordingly, CCl₄ solvent molecules are more attracted to the interior of $\mathbf{1}_{P/M}$ to contribute to a more ordered ground state (Scheme 2B). This, in turn, renders a greater solvation change during the racemization (Scheme 2B). In the case of $\mathbf{1}_{P/M}$ conversion in CD₂Cl₂, however, the ground state of 1 is poorly solvated (i.e. more disordered) and a smaller change in its order is necessary to reach the transition state.

The activation entropy for $2_{P/M}$ interconversion is most favourable in CDCl₃ ($\Delta S_{P/M}^{\ddagger} = -11.14 \pm 0.62$ e.u., Table 2). It follows that the basket should be more solvophobic in this medium with a poorly solvated ground state. This is in agreement with our encapsulation studies in which CDCl₃ is indeed the least competitive solvent with $K_s^{\text{CDCl3}} < K_s^{\text{CD2Cl2/CCl4/CFcl3}}$ (Fig. 4B).

The mechanism of P/M racemization – computational study

For the racemization of the C_3 symmetric basket 1, we considered two mechanistic alternatives RM1-2 and RM3 (Fig. 5).⁴⁶⁻⁴⁸ In the one/two-gate RM_{1-2} transformation (Fig. 5A), the racemization begins with one pyridine gate "breaking away" from the N-H...N hydrogen bonding in 1 to form an intermediate state. The concomitant flip of the remaining two gates completes the P/M conformational interconversion; note that this particular mechanism is reminiscent of Mislow's two-ring flip within molecular propellers.⁴⁶ However, for the three-gate RM₃ racemization (Fig. 5B), all three gates undergo a synchronized revolving motion that reverses the basket's helicity in one elementary step.49 In our prior work, we examined the departure of CBr₄ from gated baskets of type 1 using steered molecular dynamics (SMD).²⁸ The cleavage of all three intramolecular N-H whydrogen bonds would, in this particular case, take place with the departure of CBr₄ (108 Å³, PC = 0.48) from the basket. Given the interdependence between the rotation of the gates and the in/ out guest exchange,^{24,30,32} we deduced that the three-gate RM₃ mechanism dominates in the case of the 1/CBr₄ system.

In line with the above considerations, we completed a series of dihedral-driver computations of baskets 1 and 2 (PM6 for geometries, followed by B3LYP/6-31+G** single-point energies) containing both methyl ($R = CH_3$, Table 3) and trifluoromethyl ($R = CF_3$, Table 3) amide groups and undergoing two racemisation pathways, RM₁₋₂ and RM₃ (Fig. 5). Importantly, for all of these calculations, the baskets were empty (i.e., no guest), and calculations were performed in the gas phase. For the RM₁₋₂ process, we drove the rotation of one pyridine gate by constraining its O=C-N-C dihedral angle, φ_1 . Specifically, the rotation of the pyridine gate from the inner to the outer side of the basket was evaluated in 5° increments; upon each change in φ_1 , the structure was subjected to energy minimization and the overall energy was computed. To complete the inversion of chirality, we drove the rotation of the remaining two gates by restricting their dihedral angle φ_2 (Fig. 5A). The



Fig. 5 (A) One/two-gate racemization mechanism (RM_{1-2}) of **1** was computed (B3LYP/6-31+G**//PM6) to proceed *via* rotation of one gate (φ_1) followed by simultaneous rotation of the remaining two gates (φ_2). (B) Three-gate racemization mechanism (RM_3) of **1** was computed (B3LYP/6-31+G**//PM6) to proceed *via* simultaneous rotation of all three gates (φ_2).

Table 3 The activation energy difference (ΔE , kcal mol⁻¹) between two racemization pathways, RM₁₋₂ and RM₃ (see text), was computed for the interconversion of $\mathbf{1}_{P/M}$ and $\mathbf{2}_{P/M}$ stereoisomers at the PM6//PM6 and B3LYP/6-31+G**// PM6 levels of theory

	PM6//PM6		B3LYP/6-31+G**//PM6		
Basket $1_{R}/2_{R}$	Preferred mechanism	$\Delta E (\mathrm{kcal} \mathrm{mol}^{-1})$	Preferred mechanism	$\Delta E (\mathrm{kcal} \mathrm{mol}^{-1})$	
1 _{CH3}	RM ₁₋₂	4.3	RM ₁₋₂	0.2	
2 _{CH3}	RM ₁₋₂	1.3	RM ₁₋₂	5.6	
1_{CF3}	RM_{1-2}	0.1	RM ₃	4.7	
$2_{\rm CF3}$	RM ₃	0.7	RM_3	9.8	

potential energy landscape of the three-gate mechanism RM_3 was examined by simultaneous variation of all three dihedral angles φ_2 (Fig. 5B). The computed difference of activation energies (ΔE) for two mechanistic alternatives is summarized in Table 3.

Energies from the PM6 optimizations predict that both (empty) acetamide baskets $(1_{CH3}, 2_{CH3})$ would prefer the RM₁₋₂ mechanism. The same preference for RM₁₋₂ exists for singlepoint energies at the B3LYP/6-31+G** level of theory, although the stronger preference for RM_{1-2} is with 2_{CH3} instead of 1_{CH3} . The PM6 optimizations of $\mathbf{1}_{CF3}$ showed a slight preference (~0.1 kcal mol⁻¹) for RM₁₋₂, while those done with 2_{CF3} support the RM₃ pathway. It is important to remember that the experimental results with different solvents were obtained for the CF₃ baskets of 1 and 2. Single-point energy calculations on $\mathbf{1}_{CF3}$ and $\mathbf{2}_{CF3}$ point to RM_3 as the preferred mechanism (Table 3). Importantly, these calculations were completed in the gas phase, and without consideration of any solvent in the cavity; indeed, the inclusion of a guest and solvation could alter the behavior of the baskets. Given such considerations, we conclude that our computational data suggest two competing pathways with comparable energies of activation.

The mechanism of the P/M racemization - experimental study

The free energy of activation $\Delta G_{P/M}^{\ddagger} (\Delta G_{P/M}^{\ddagger} = \Delta H_{P/M}^{\ddagger} - T\Delta S_{P/M}^{\ddagger})$, Table 2) for the *P/M* racemization of baskets 1 and 2 is plotted over the 180–340 K temperature range (Fig. 6A/B). Interestingly, the opening/closing of the smaller basket **1** is fastest in CD₂Cl₂ (Fig. 6A) relative to the other three solvents ($\Delta G_{P/M}^{\pm} < 11$ kcal mol⁻¹, Fig. 6A). The nature of bulk solvent had, however, a less dramatic effect on the dynamics of basket **2** (Fig. 6B). The interconversion rate of $2_{P/M}$ is similar in all four environments but also akin to basket **1** in CD₂Cl₂ (Fig. 6A)! Another way to present the data in Fig. 6A/B is by plotting the interdependence between enthalpy $\Delta H_{P/M}^{\pm}$ and entropy $\Delta S_{P/M}^{\pm}$ characterizing the racemization (Fig. 6C).⁵⁰ Evidently, there are two isokinetic relationships⁵¹ with similar isokinetic temperatures $\beta = (\Delta H_{P/M}^{\pm} - \Delta H_{o}^{\pm})/\Delta S_{P/M}^{\pm} = 240-260$ K. In essence, the *P/M* racemization of (a) basket **1** in CDCl₃, CFCl₃ and CCl₄ appears to follow one mechanism while (b) basket **2** in all four solvents another mechanism, which as well operates for **1** in CD₂Cl₂ (Fig. 6C).^{51,52}

In line with this interpretation, we observe that the size of the solvent molecules should matter in opening/closing of gated baskets by imposing on the operation of gates rotating at the rim. That is to say, the enthalpic component $\Delta H_{P/M}^{\ddagger}$ of the racemization energy $\Delta G_{P/M}^{\ddagger}$ is greater for the *P/M* interconversion of basket 1 in CHCl₃, CFCl₃ and CCl₄ (~2 kcal mol⁻¹ per solvent, Fig. 6C). Presumably, a considerable van der Waals steric strain is created in the operation of 1 as the guest (solvent) molecules press against the revolving pyridine gates. In contrast, more spacious and gated host 2 creates a sufficiently large aperture to permit in/out guest exchange and racemization with a smaller enthalpy of activation $\Delta H_{P/M}^{\ddagger}$ (Fig. 6C).

As noted in an earlier study,³⁰ the gates revolve at the basket's rim with and without in/out guest exchange; our experimental measurements, however, do not reveal the proportion of these two alternatives. In further discussion, we will therefore contemplate on the P/M racemization following RM_{1-2} or RM_3 mechanisms with a guest (a) sitting inside baskets or (b) departing from their inner space (four mechanistic pathways).

In the case of the larger basket 2, $CHCl_3/CH_2Cl_2/CFCl_3/CCl_4$ guests are too small to effectively populate its inner space (PC = 0.19–0.28) and affect the rotation of the pyridines at the rim. In this case, we presume that the preferred mechanism of



Fig. 6 (A) The activation energy $\Delta G_{P/M}^{\pm}$ for the racemization of $\mathbf{1}_{P/M}$ in CD₂Cl₂ (blue), CDCl₃ (red), CFCl₃ (black, 30% CD₂Cl₂) and CCl₄ (green, 20% CD₂Cl₂) as a function of temperature. (B) The activation energy $\Delta G_{P/M}^{\pm}$ for the racemization of $\mathbf{2}_{P/M}$ in CD₂Cl₂ (blue), CDCl₃ (red), CFCl₃ (black, 30% CD₂Cl₂) and CCl₄ (green, 20% CD₂Cl₂) as a function of temperature; note that $\Delta G_{P/M}^{\pm}$ was calculated as $\Delta H_{P/M}^{\pm} - T\Delta S_{P/M}^{\pm}$ using data from Table 2. (C) The enthalpy/entropy compensation relationships ($R^2 = 0.999$, SigmaPlot) corresponding to the racemization of $\mathbf{1}_{P/M}$ (red) and $\mathbf{2}_{P/M}$ (blue) in four different solvents.

Organic & Biomolecular Chemistry

operation is RM_{1-2} since it is easier to break two hydrogen bonds than three for opening the host; Table 3 shows that RM_{1-2} dominates racemisations in the gas phase, yet our computations did not consider the swapping of entrapped guest with solvent molecule(s) and/or entropic changes in the process. When dichloromethane enters/exits basket 1, a rather insignificant population of the basket's cavity (PC = 0.27) also enforces the RM_{1-2} mechanistic pathway with only one pyridine gate opening to permit the racemization with/without the guest exchange.

For smaller basket **1** (226 Å³), guests CHCl₃/CFCl₃/CCl₄ populate a greater portion of its cavity (PC = 0.33-0.39). The guest exchange would necessitate enough room, thereby enforcing the rotation of all three gates²⁸ and therefore the RM₃ mechanism. The sole *P*/*M* rotation of the gates, without the guest exchange, might perhaps follow the RM₁₋₂ alternative since it is energetically more favourable to break apart a single gate (Table 3). On the basis of our measurements (Fig. 6C), however, the guest exchange *via* the RM₃ mechanism must be dominating the racemisations with **1** carrying more sizeable guests.^{28,30}

Conclusions

Two differently sized baskets employ functionalized pyridine gates at the rim to form a seam of hydrogen bonds and thereby adopt *P* and *M* helical orientations. The *P*/*M* racemization mechanism appears to be a function of the guest's volume and could be elucidated by considering the population of the basket's cavity. Thus, larger guests that more efficiently fill the host (PC > 0.30) enforce the geared RM₃ pathway: the entrance/exit of guests necessitate the movement of all three gates. When the guest occupies a small portion of the inner space of the gated host (PC < 0.27), however, the rotation of one gate creates a large enough aperture for facile in/out guest exchange *via* the RM₁₋₂ mechanism.

Understanding the action of dynamic hosts, akin to **1** and **2**, is important for creating functional systems resembling those found in nature.⁵³ Our study about subtle mechanistic variations of molecular gating could be useful for improving catalysis⁵⁴ and/or controlling the trafficking of molecules in artificial environments.⁵⁵

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