

**Novel Carbazole Based Methacrylates,
Acrylates, and Dimethacrylates to Produce
High Refractive Index Polymers**

W. Lenore Carman Rasmussen

Dissertation submitted to the faculty of the
Virginia Polytechnic Institute and State University
in partial fulfillment of the requirements for the degree of

Doctor of Philosophy

in

Chemistry

Prof. James E. McGrath, Chair

Prof. Timothy E. Long

Prof. Garth L. Wilkes

Prof. Judy Riffle

Prof. Harry Dorn

September 26, 2001

Blacksburg, Virginia

Keywords: 9-(2,3-Epoxypropyl)-Carbazole, Carbazole Epoxide, Methacrylate, Acrylate,
Dimethacrylate, Refractive Index, Thermal Stability, 2-D COSY ¹H NMR
Spectroscopy, ¹³C NMR Spectroscopy, Molecular Modeling

Copyright 2001, W. Lenore Carman Rasmussen

Novel Carbazole Based Methacrylates, Acrylates, and Dimethacrylates to Produce High Refractive Index Polymers

W. Lenore Carman Rasmussen

(ABSTRACT)

Homopolymers and copolymers produced from aromatic based methacrylates, acrylates, and dimethacrylates are excellent materials with many applications in dentistry, microelectronics, and optics, including optical eye wear, fiber optics, and non-linear optics, such as holography. Carbazole based polymers have demonstrated good optical, photo-refractive, and charge-transporting properties, combined with ease of processing. The objective of this research was to design, synthesize, and characterize high refractive index polymers and copolymers for use in optical spectacle lenses of eyeglasses. Additionally, other interesting attributes were observed for selected carbazole based polymers, such as high thermal stability and birefringence, which could lend these materials to other uses, such as non-linear optics and electronic data storage. A family of novel, high refractive index homopolymers and copolymers were synthesized by incorporating carbazole, along with other aromatic substituents, into methacrylates, acrylates, and dimethacrylates. Subsequent free radical polymerizations provided for high refractive index materials well suited for lightweight optical spectacles and other applications.

The refractive index of materials can be increased by increasing the polarizability of substituent groups. By incorporating oxygen, sulfur, or sulfoxide groups into polymers, high refractive index polymers have been attained. By reacting the phenol, aromatic diols, or aromatic thiols with 9-(2,3-epoxypropyl)-carbazole, the refractive index of the final polymer can be increased further. The reaction of the carbazole based intermediate with methacryloyl chloride or methacrylic anhydride eliminated any hydroxyl groups in the final methacrylate or dimethacrylate. Hydroxyl groups undergo intermolecular

hydrogen bonding, which increases viscosity. The absence of hydrogen bonding in the final methacrylated monomers reduces viscosity, which is desirable for processing.

Novel carbazole based monomers and polymers were characterized in terms of molecular composition and molecular weight, thermal properties, such as melting point, glass transition temperature, and decomposition, and in terms of optical properties, such as refractive index. The AIBN initiated carbazole-phenoxy based methacrylate polymerization was followed using *in-situ* FTIR, which showed the reaction to be completed within 40 minutes in DMAC at 90°C. Photo-DSC was used to determine the heat of polymerization (ΔH_p) for the carbazole-phenoxy based methacrylate, which was found to be -39.4 kJ/mole. One and two dimensional ^1H NMR was used to characterize the molecular structure of the carbazole-phenoxy based methacrylate monomer. The carbazole-phenoxy based methacrylate homopolymer had a surprisingly high decomposition temperature. ^{13}C NMR spectroscopy experiments and molecular modeling were employed to explore the configuration of the polymerized carbazole-phenoxy based methacrylate. The lack of head-to-head linkages due to steric considerations could explain the higher thermal stability observed for the carbazole-phenoxy based methacrylate polymer.

Refractive indices of these carbazole based methacrylates, acrylates, and dimethacrylate polymers ranged from 1.53 to 1.63. Statistical copolymers of carbazole based methacrylates with methyl methacrylate were also produced by solution polymerization in DMAC, and characterized. Using free radical polymerization techniques, homopolymers and copolymers of the carbazole functionalized methacrylates, acrylates, and dimethacrylates were readily obtained. This research demonstrated a variety of carbazole based chemistries which could produce controlled linear and cross-linked materials with high refractive index values and other interesting features.

ACKNOWLEDGEMENTS

I would like to express my gratitude to the many people who made this endeavor possible. Prof. James E. McGrath served as my course advisor and provided guidance and profound expertise and wisdom throughout the course of this research. I would also like to thank Prof. Harry Dorn and Tom Glass for their knowledge and expertise with nuclear magnetic resonance spectroscopy. I would like to thank Prof. Tim Long for all his help and input, particularly with *in situ* FTIR, Prof. Garth Wilkes for his characterization expertise, and Prof. Judy Riffle for her advice towards this endeavor.

I would like to thank Prof. Kathryn E. Uhrich of Rutgers University, whose generosity and insight has been so helpful. The opportunity to observe polymer research groups at both Virginia Tech and Rutgers University has been extremely valuable in learning group dynamics and project management. I would also like to thank Lotti Frauchiger and Leila Albers for many good discussions, and Ted Anastasiou and Kristi Schmalenberg for all their advice.

This work would not have been possible without the assistance and expertise, in so many areas, of Dr. H. K. Shobha and Dr. M. Sankarapandian, formerly of Virginia Tech. The well written M.S. thesis of Dr. Nazan Gunduz was extremely useful. For his expertise in photochemistry and attention to experimental detail, I would like to thank Dr. Allen Shultz. I would like to thank Anthony Pasquele for his help with *in situ* FTIR, and Mehmet Gordeslioglu for his help with molecular modeling. Special thanks are for Laurie Good, Esther Brann, and Millie Ryan for all their help over the years. For their friendship and for providing me with a home away from home while at Virginia Tech, I would like to thank Dan and Judi McGuire.

I would like to thank John Jackson of Metricon Corporation for his help with refractive index and birefringence, and expertise in handling fragile films. I thank Prof. Joachim Kohn of Rutgers University, and his group, for the use of the polarizing microscope. I would also like to thank Prof. Lucy McCrone, at the McCrone Research

Institute, for all the materials she graciously provided to help me understand polarizing microscopy and birefringence.

The Spectacle Lens Group, formerly Innotech, of Johnson & Johnson Vision Care, Inc., provided financial support for much of this work. I would like to especially thank Dr. Ivan Nuñez and Dr. Venkat Sekharipuram for their input and discussions.

I would like to thank my mother, Winola Hickman Carman, for her unconditional support and love. In so many ways, this endeavor could not have happened without her help over the years. I would also like to thank my two brothers, Paul Carman and Nathan Carman, for their love, support, and expertise with computers.

Finally, I would like to thank my husband, Dr. Henrik Rasmussen, and my two sons, Paul Rasmussen and Lars Rasmussen. Without Henry's love, patience, encouragement, and computer, for the molecular modeling, this work would not have been possible. I would like to thank Paul and Lars, who are the upcoming generation, for thinking that science is "cool", and for being so proud that their parents are scientists. Love, mutual respect, and encouragement are paramount towards any endeavor. I have high hopes for all the good things that this next generation will accomplish.

Table of Contents

| | |
|---|----|
| Chapter 1 Introduction | 1 |
| 1.1 Optical Spectacle Lens | 1 |
| 1.2 Polymeric Advantages for High Refractive Index Materials | 3 |
| 1.3 Carbazole Based Methacrylates, Acrylates, and Dimethacrylates | 5 |
| 1.4 Thesis Statement | 11 |
| Chapter 2 Literature Review of Carbazole and Methacrylate Based Polymers | 13 |
| 2.1 Carbazole [86-74-8] | 13 |
| 2.2 Poly(N-vinylcarbazole) [25067-59-8] | 15 |
| 2.2.1 Physical Properties and NMR Characterization of Poly(N-vinylcarbazole) | 15 |
| 2.2.2 Historical Uses of Poly(N-vinylcarbazole) in Xerography | 20 |
| 2.2.3 Current Applications of Poly(N-vinylcarbazole) | 21 |
| 2.2.3.1 Holography | 21 |
| 2.2.3.2 Optics: Refractive Index, Abbe Number, and Birefringence | 24 |
| 2.3 Poly(methyl methacrylate) [9011-14-7] | 28 |
| 2.3.1 Polymerization of Methyl Methacrylate [80-62-6] | 30 |
| 2.3.1.1 Radiation Initiated Polymerization of MMA | 31 |
| 2.3.1.2 Heat Initiated Polymerization of MMA | 34 |
| 2.3.1.3 Bulk Free Radical Polymerization and the Trommsdorf Effect | 38 |
| 2.3.1.4 Solution Free Radical Polymerization | 38 |
| 2.3.1.5 Suspension polymerization | 39 |
| 2.3.1.6 Emulsion Polymerization | 41 |
| 2.3.2 Chain Transfer | 42 |
| 2.4 Aromatic Dimethacrylates | 48 |
| 2.5 Heat of Polymerization Using Photo-DSC | 50 |
| 2.6 <i>In Situ</i> FTIR to Monitor Polymerizations | 53 |
| 2.7 Carbazole Based Methacrylates and Acrylates | 53 |
| Chapter 3 Experimental | 59 |
| 3.1 Instrumentation | 59 |
| 3.2 Novel Carbazole Based Monomer Syntheses | 60 |
| 3.2.1 Carbazole Epoxide | 60 |
| 3.2.2 Carbazole-Phenoxy Intermediate | 61 |
| 3.2.3 Carbazole-Phenoxy Based Methacrylate | 62 |
| 3.2.4 Carbazole-Bisphenol A Based Dimethacrylate | 63 |
| 3.2.5 Carbazole-Benzene Thiol Based Methacrylate | 64 |
| 3.2.6 Carbazole-4,4'-Sulfonyldiphenol Based Dimethacrylate | 66 |

| | | |
|------------------|--|------------|
| 3.2.7 | Carbazole-Phenoxy Based Acrylate | 67 |
| 3.3 | Novel Carbazole Containing Homopolymers and Copolymers .. | 68 |
| 3.3.1 | Photopolymerization | 69 |
| 3.3.1.1 | Photo-DSC | 69 |
| 3.3.2 | Solution Polymerization | 70 |
| 3.3.2.1 | <i>In situ</i> FTIR Solution Polymerization | 70 |
| 3.3.3 | Melt Polymerization | 71 |
| 3.3.4 | Modified Suspension Polymerization | 71 |
| Chapter 4 | Results and Discussion | 72 |
| 4.1 | Monomer Syntheses | 72 |
| 4.1.1 | Carbazole Epoxide | 75 |
| 4.1.2 | Carbazole-Phenoxy Based Intermediate | 80 |
| 4.1.3 | Carbazole-Phenoxy Based Methacrylate | 82 |
| 4.1.4 | Carbazole-Bisphenol A Based Dimethacrylate | 90 |
| 4.1.5 | Carbazole-Benzene Thiol Based Methacrylate | 93 |
| 4.1.6 | Carbazole-4,4'-Sulfonyldiphenol Based Dimethacrylate ... | 94 |
| 4.1.7 | Carbazole-Phenoxy Based Acrylate | 95 |
| 4.2 | Polymerization of Novel Carbazole Based Methacrylates, Dimethacrylates, and Acrylates | 98 |
| 4.2.1 | UV Photopolymerization of Carbazole based Monomers | 101 |
| 4.2.1.1 | Photo-DSC Analysis for the Carbazole-Phenoxy Based Methacrylate | 103 |
| 4.2.2 | Free Radical Solution Polymerization | 108 |
| 4.2.2.1 | <i>In situ</i> FTIR Spectroscopy Monitoring Solution Polymerization | 117 |
| 4.2.3 | Melt Polymerization | 122 |
| 4.2.4 | Modified Suspension Polymerization | 122 |
| 4.3 | Thermal Analysis, ¹³ C NMR Spectroscopy Results, and Molecular Modeling of Novel Polymers and Copolymers | 124 |
| 4.3.1 | Differential Scanning Calorimetry | 124 |
| 4.3.2 | Thermal Gravimetric Analysis | 130 |
| 4.3.3 | ¹³ C NMR Spectroscopy | 141 |
| 4.3.4 | Molecular Modeling of the Carbazole-Phenoxy Based Methacrylate Polymer and Ring-Opened Carbazole Epoxide | 148 |
| 4.4 | Refractive Index of Novel Carbazole Based Methacrylates, Acrylates, and Dimethacrylates | 155 |
| Chapter 5 | Conclusions and Future Studies | 165 |
| Vita | | 172 |

List of Tables

| | | |
|-----------|---|-----|
| Table 4.1 | Table of Percent Yields, Purities, and Melting Points for Carbazole Based Monomers | 73 |
| Table 4.2 | Table of Elemental Analysis for Carbazole Based Monomers | 74 |
| Table 4.3 | GPC Results for Free Radical Polymerizations of the Carbazole-Phenoxy Based Methacrylate | 99 |
| Table 4.4 | Heat of Polymerization and Extent of Polymerization for the Carbazole-Phenoxy Based Methacrylate | 107 |
| Table 4.5 | GPC Results of the Free Radical Solution Homo- and Copolymerizations of the Carbazole-Phenoxy Based Methacrylate (CPM) with Methyl Methacrylate (MMA) | 116 |
| Table 4.6 | Thermal Glass Transition Temperatures for Weight and Mole % Homopolymers and Copolymers of PCPM and PMMA ... | 130 |
| Table 4.7 | Thermal Decomposition Temperatures for the Carbazole-Phenoxy Based Methacrylate Polymer and Copolymers with Methyl Methacrylate | 138 |
| Table 4.8 | Refractive Index for Homopolymers and Copolymers of Carbazole-Phenoxy Based Methacrylate and Methyl Methacrylate | 157 |
| Table 4.9 | Refractive Indices for Polymers of Carbazole-Bisphenol A Based Dimethacrylates and Carbazole-Phenoxy Based Methacrylates | 162 |

List of Schemes

| | | |
|------------|---|-----|
| Scheme 1.1 | Synthesis of 9-(2,3-Epoxypropyl)-Carbazole | 5 |
| Scheme 1.2 | Synthesis of Carbazole Based Methacrylates (and Dimethacrylates) | 8 |
| Scheme 1.3 | Synthesis of Carbazole-Phenoxy Based Acrylate | 9 |
| Scheme 2.1 | Free Radical polymerization of MMA Using AIBN | 37 |
| Scheme 2.2 | Two Methods to Produce Carbazole Based Polymethacrylates | 55 |
| Scheme 4.1 | Possible Free Radical Cross-linking Reactions at the Methine Position | 100 |

List of Figures

| | |
|---|----|
| Figure 1.1 Optical Spectacle Lens Multiple-Layer Composite | 2 |
| Figure 2.1 gCOSY Spectrum of the Aromatic Region of PVK | 17 |
| Figure 2.2 gHMQC Spectrum of the Aromatic Region of Poly(vinylcarbazole) | 18 |
| Figure 2.3 A. Minimum Energy Structure of Syndiotactic Pentad Sequence, 2/1 Helix | 19 |
| Figure 2.3 B. Minimum Energy Structure of Isotactic Heptad Structure 3/1 Helix | 19 |
| Figure 2.4 Making a Hologram | 22 |
| Figure 2.5 Schematic of the Metricon 2010 Prism Coupler for RI Determination | 25 |
| Figure 2.6 Chain Polymerization for an Acrylate System | 30 |
| Figure 2.7 A. Examples of Photoinitiators and Their Advantages | 32 |
| Figure 2.7 B. Photoinitiation Mechanism for Benzophenone | 32 |
| Figure 2.8 Radical Formation of 1-Hydroxycyclohexyl Phenyl Ketone By UV Radiation | 33 |
| Figure 2.9 Generation Of Free Radicals from Some Thermal Initiators | 36 |
| Figure 2.10 Rate of Free Radical Initiation | 36 |
| Figure 2.11 Suspension Polymerization | 40 |
| Figure 2.12 Emulsion Polymerization | 41 |
| Figure 2.13 Types of Inhibitors | 44 |
| Figure 2.14 Cross-linked Polymer, with Branches | 46 |
| Figure 2.15 2,2-Bis[4-(2-hydroxy-3-methacryloxyprop-1-oxy)phenyl] propane (BisGMA) | 48 |
| Figure 2.16 Examples of Aromatic Dimethacrylates with No Pendant Hydroxy Groups | 49 |

| | | |
|-------------|--|----|
| Figure 2.17 | Examples of Sulfur Containing Dimethacrylates | 50 |
| Figure 2.18 | Photopolymerization Apparatus of DSC 7 Equipped with DPA | 52 |
| Figure 2.19 | Cross Section of Modified DSC Sample Pan for Photo-DSC Experiments | 52 |
| Figure 2.20 | Examples of Methacrylates with Halogenated Carbazole Groups | 57 |
| Figure 4.1 | ¹ H NMR Spectrum of Carbazole Epoxide | 76 |
| Figure 4.2 | Full ¹ H NMR Spectrum of Carbazole Epoxide | 77 |
| Figure 4.3 | ¹ H NMR Spectrum of Carbazole | 78 |
| Figure 4.4 | HPLC Chromatogram for Carbazole Epoxide | 79 |
| Figure 4.5 | ¹ H NMR Spectrum of Carbazole-Phenoxy Intermediate | 81 |
| Figure 4.6 | ¹ H NMR Spectrum of the Carbazole-Phenoxy Based Methacrylate | 84 |
| Figure 4.7 | 2D ¹ H NMR COSY Spectrum of the Carbazole-Phenoxy Based Methacrylate | 85 |
| Figure 4.8 | 2D ¹ H NMR COSY Spectrum of the Carbazole-Phenoxy Based Methacrylate, Expansion of the Aromatic Region | 86 |
| Figure 4.9 | DSC Melting Behavior of the Carbazole-Phenoxy Based Methacrylate | 87 |
| Figure 4.10 | HPLC Chromatogram of the Carbazole-Phenoxy Based Methacrylate | 88 |
| Figure 4.11 | UV Spectrum of the Carbazole-Phenoxy Based Methacrylate | 89 |
| Figure 4.12 | ¹ H NMR Spectrum of the Carbazole-Bisphenol A Based Dimethacrylate | 91 |
| Figure 4.13 | DSC Melting Behavior of Carbazole-Bisphenol A Based Dimethacrylate | 92 |

| | | |
|-------------|--|-----|
| Figure 4.14 | ¹ H NMR Spectrum of the Carbazole-Phenoxy Based Acrylate | 97 |
| Figure 4.15 | Measurement of Light Intensity for the Photo-DSC | 104 |
| Figure 4.16 | Photo-DSC of Polymer of Carbazole-Phenol Based Methacrylate | 105 |
| Figure 4.17 | Corrected Photo-DSC for the Carbazole-Phenoxy Based Methacrylate | 106 |
| Figure 4.18 | GPC Chromatogram for the Carbazole-Phenoxy Based Methacrylate Polymer | 109 |
| Figure 4.19 | ¹ H NMR Spectrum of the Carbazole-Phenoxy Based Methacrylate Polymer | 111 |
| Figure 4.20 | ¹ H NMR Spectrum of Poly(methyl methacrylate) | 112 |
| Figure 4.21 | ¹ H NMR Spectrum of 25 Weight % PCPM/75 Weight % PMMA | 113 |
| Figure 4.22 | ¹ H NMR Spectrum of 50 Mole % PCPM/50 Mole % PMMA | 114 |
| Figure 4.23 | FTIR Spectra for the Carbazole-Phenoxy Based Methacrylate Polymer, Monomer, and the Solvent DMAC | 118 |
| Figure 4.24 | <i>In situ</i> FTIR Experiment Following Free Radical Solution Polymerization of Carbazole-Phenoxy Based Methacrylate, Expanded Around 817 (cm ⁻¹) | 119 |
| Figure 4.25 | <i>In situ</i> FTIR Experiment for the Carbazole-Phenoxy Based Methacrylate, Following FTIR Peak at 817 (cm ⁻¹) | 120 |
| Figure 4.26 | <i>In situ</i> Experiment Following Free Radical Solution Polymerization of Carbazole-Phenoxy Based Methacrylate, Full Spectra | 121 |
| Figure 4.27 | GPC Chromatogram of the Carbazole-Phenoxy Based Methacrylate Polymer Prepared by Modified Solution Polymerization | 123 |
| Figure 4.28 | DSC Thermogram of the Carbazole-Phenoxy Based Methacrylate Polymer | 125 |

| | | |
|-------------|--|-----|
| Figure 4.29 | DSC Thermogram of Poly(methyl methacrylate) | 125 |
| Figure 4.30 | DSC Thermogram of 25/75 Weight Percent PCPM/PMMA | 126 |
| Figure 4.31 | DSC Thermogram of 50/50 Weight Percent PCPM/PMMA | 126 |
| Figure 4.32 | DSC Thermogram of 75/25 Weight Percent PCPM/PMMA | 127 |
| Figure 4.33 | DSC Thermogram of 25/75 Mole Percent PCPM/PMMA .. | 127 |
| Figure 4.34 | DSC Thermogram of 50/50 Mole Percent PCPM/PMMA .. | 128 |
| Figure 4.35 | DSC Thermogram of 75/25 Mole Percent PCPM/PMMA .. | 128 |
| Figure 4.36 | TGA for the Carbazole-Phenoxy Based Methacrylate Polymer | 131 |
| Figure 4.37 | TGA for Poly(methyl methacrylate) | 132 |
| Figure 4.38 | TGA for 25/75 Weight Percent PCPM/PMMA | 133 |
| Figure 4.39 | TGA for 50/50 Weight Percent PCPM/PMMA | 133 |
| Figure 4.40 | TGA for 75/25 Weight Percent PCPM/PMMA | 134 |
| Figure 4.41 | TGA for 25/75 Mole Percent PCPM/PMMA | 135 |
| Figure 4.42 | TGA for 50/50 Mole Percent PCPM/PMMA | 135 |
| Figure 4.43 | TGA for 75/25 Mole Percent PCPM/PMMA | 136 |
| Figure 4.44 | Graph of Onset of Decomposition Temperature Vs. Percent Composition of PCPM/PMMA Polymers | 139 |
| Figure 4.45 | Graph of Decomposition Temperature at 5 % Weight Loss Vs. Percent Composition of PCPM/PMMA Polymers ... | 140 |
| Figure 4.46 | ¹³ C NMR Spectrum of Lab-Scale PMMA | 144 |
| Figure 4.47 | ¹³ C NMR Spectrum of Commercial Grade PMMA | 144 |
| Figure 4.48 | ¹³ C NMR Spectrum of the Carbazole-Phenoxy Based Methacrylate Polymer | 146 |
| Figure 4.49 | Comparison of ¹³ C NMR Spectra, Expanded from 10 to 60 ppm | 147 |

| | | |
|-------------|--|-----|
| Figure 4.50 | Minimum Energy Configurations using Molecular Modeling (Gaussian 98) of 3 Repeat Units of the Carbazole-Phenoxy Based Methacrylate Polymer | 150 |
| Figure 4.51 | Minimum energy Configurations using Molecular Modeling (Gaussian 98) of 3 Repeat Units of Carbazole Epoxide ... | 151 |
| Figure 4.52 | Molecular Modeling (Gaussian 98, Ground State Minimum Energy Configurations) for 2 Repeat Units of PMMA | 153 |
| Figure 4.53 | Molecular Modeling (Gaussian 98, Ground State Minimum Energy Configurations) for 2 Repeat Units of PCPM | 154 |
| Figure 4.54 | Refractive Index Trace for the Carbazole-Phenoxy Based Methacrylate Polymer | 158 |
| Figure 4.55 | Refractive Index Trace for the Carbazole-Phenoxy Based Acrylate Polymer | 159 |
| Figure 4.56 | Refractive Index Trace for PMMA | 160 |
| Figure 4.57 | Graph of Refractive Index Vs. Percent Composition of PCPM/PMMA Polymers | 161 |
| Figure 4.58 | Graph of Refractive Index Vs. Mole % PCBADM/PCPM | 163 |
| Figure 5.1 | Novel Carbazole Based Monomers and Melting Points | 166 |