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New advances in conceptual-DFT: an alternative way to calculate the Fukui function and dual descriptor

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Abstract

An alternative way of calculating the Fukui function and the partial derivative of second order of the electronic density with respect to the number of electrons N is presented, the new formulas agree with the usual ones but only in cases without degeneracy. The new operative formulas are more general than the previous ones and are the right ones for those problematic cases where one or both of the frontier molecular orbitals are degenerate. Finally, we present a new way of applying the finite difference approximation that leads to more realistic results than the usual formulas.

Keywords Reactivity descriptors \cdot Fukui function \cdot Dual descriptor \cdot Finite difference approximation \cdot UCA-FUKUI software \cdot Conceptual DFT

Introduction

Local reactivity parameters are necessary to differentiate the reagent behavior of atoms forming a molecule. The Fukui function [1-4] [$f(\mathbf{r})$] and local softness [5, 6] [$s(\mathbf{r})$] are two of the most commonly used local reactivity parameters (Eq. 1).

$$f(\mathbf{r}) = \left(\frac{\partial\rho(\mathbf{r})}{\partial N}\right)_{\nu}$$

$$s(\mathbf{r}) = \left(\frac{\partial\rho(\mathbf{r})}{\partial\mu}\right)_{\nu} = \left(\frac{\partial\rho(\mathbf{r})}{\partial N}\right)_{\nu} \cdot \left(\frac{\partial N}{\partial\mu}\right)_{\nu} = f(\mathbf{r}) \cdot S$$
(1)

The Fukui function is associated primarily with the response of the density function of a system to a change in the number of electrons (*N*) under the constraint of a constant external potential $[v(\mathbf{r})]$. The mathematical definitions of the Fukui function and local softness (Eq. 1) come from the so-called ensembles of the conceptual density functional theory

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Jesús Sánchez-Márquez jesus.sanchezmarquez@uca.es (C-DFT) [7] where all global, local and non local reactivity descriptors are hierarchically organized. The Fukui function arises from the canonical ensemble where the number of electrons and the external potential are the essential variables. Meanwhile, the number of electrons and the electronic chemical potential are the essential variables for the local softness.

Due to the discontinuity of the electron density with regard to *N*, finite difference approximation leads to three types of Fukui function: $f^{+}(\mathbf{r})$, $f^{-}(\mathbf{r})$ and $f^{0}(\mathbf{r})$. They are defined as follows:

$$f^{+}(\mathbf{r}) = \rho_{N_{0}+1}(\mathbf{r}) - \rho_{N_{0}}(\mathbf{r}), \text{ fornucleophilic attack},$$
(2)

$$f^{-}(\mathbf{r}) = \rho_{N_0}(\mathbf{r}) - \rho_{N_0-1}(\mathbf{r}), \text{ for electrophilic attack}, \qquad (3)$$

$$f^{0}(\mathbf{r}) = \frac{1}{2}(f^{+}(\mathbf{r}) + f^{-}(\mathbf{r})), \text{ for neutral (or radical) attack}$$
(4)

Theoretical development

The energy change [8] (ΔE) due to the electron transfer (ΔN) satisfies the parabolic approximation:

$$\Delta E \approx \left(\frac{\partial E}{\partial N}\right)_{\upsilon} \Delta N + \frac{1}{2} \left(\frac{\partial^2 E}{\partial N^2}\right)_{\upsilon} \Delta N^2 \approx \mu \Delta N + \frac{1}{2} \eta \Delta N^2$$
(5)

where μ and η are the electronic chemical potential and global hardness. Perdew et al. [9] show how the Hohenberg-Kohn



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theorem is extended to a fractional electron number (N), and the implications of derivative discontinuity for conceptual DFT are explored by Ayers and colleagues [10, 11]. Taking into account Eq. (5), and that the total energy is a functional of the density, it is reasonable to think that the second order expansion Eq. (6) can be an appropriate approximation.

$$\Delta \rho_N(\mathbf{r}) \approx \left(\frac{\partial \rho_N(\mathbf{r})}{\partial N}\right)_{\upsilon} \Delta N + \frac{1}{2} \left(\frac{\partial^2 \rho_N(\mathbf{r})}{\partial N^2}\right)_{\upsilon} \Delta N^2 \tag{6}$$

if we substitute the values $\Delta N= 1$ and $\Delta N=-1$ in Eq. (6), and also calculate $\Delta \rho_N^-(\mathbf{r})$ (corresponding to $\Delta N=-1$) and $\Delta \rho_N^+$ (\mathbf{r}) (corresponding to $\Delta N=1$). And finally, substituting in Eq. (6), we obtain:

$$\Delta \rho_N^{-}(\mathbf{r}) = \rho_{N-1}(\mathbf{r}) - \rho_N(\mathbf{r}) \approx -\left(\frac{\partial \rho_N(\mathbf{r})}{\partial N}\right)_v + \frac{1}{2} \left(\frac{\partial^2 \rho_N(\mathbf{r})}{\partial N^2}\right)_v$$
$$\Delta \rho_N^{+}(\mathbf{r}) = \rho_{N+1}(\mathbf{r}) - \rho_N(\mathbf{r}) \approx \left(\frac{\partial \rho_N(\mathbf{r})}{\partial N}\right)_v + \frac{1}{2} \left(\frac{\partial^2 \rho_N(\mathbf{r})}{\partial N^2}\right)_v$$
(7)

and we find a very simple system of equations with two unknowns; by solving them, we obtain Eq. (8). Expressions of this type (Eq. 6) have been used in previous works [12–14]. Also, implicit in the two articles the introduction of the concept of the dual descriptor [15, 16] because the expression used for the second derivative of the density with respect to the number of electrons corresponds to this kind of quadratic interpolation. Figure 1 graphically represents the physical meaning of the main parameters of Eqs. (6–8). It can be seen that the new formula of $f(\mathbf{r})$ (see Eq. 8) is the same as that of $f^{\theta}(\mathbf{r})$ [see Eq. (4), neutral attack], this is logical since the quadratic expansion does not imply an electrophilic or nucleophilic attack.

$$\left(\frac{\partial \rho_{N}(\mathbf{r})}{\partial N}\right)_{\upsilon} = f(\mathbf{r}) \approx \frac{1}{2} \cdot \left(\rho_{N+1}(\mathbf{r}) - \rho_{N-1}(\mathbf{r})\right)$$

$$\left(\frac{\partial^{2} \rho_{N}(\mathbf{r})}{\partial N^{2}}\right)_{\upsilon} = f^{(2)}(\mathbf{r}) \approx \rho_{N+1}(\mathbf{r}) - 2 \cdot \rho_{N}(\mathbf{r}) + \rho_{N-1}(\mathbf{r})$$

$$(8)$$

On the other hand, the original operational formula proposed by Morell et al. [16] for the dual descriptor [15, 17, 18] is:

$$\left(\frac{\partial^2 \rho(\mathbf{r})}{\partial N^2}\right)_{\nu(\mathbf{r})} = f^{(2)}(\mathbf{r}) = \rho(\mathbf{r})_{N+1} - 2 \cdot \rho(\mathbf{r})_N + \rho(\mathbf{r})_{N-1} \quad (9)$$

As can be seen, the formula obtained by Morell et al. in Eq. (9) is the same as the formula of Eq. (8).

What changes when there is degeneracy of frontier molecular orbitals?

The use of these operational formulae, Eq. (9), can result in failure when applying them to molecular systems that present degeneracy in their frontier molecular orbitals [19]. The issue of degeneracy in conceptual DFT is not restricted to degenerate frontier orbitals because (in rare cases) you can have degenerate ground states in DFT without degenerate frontier orbitals [19–22].

To overcome this limitation of the dual descriptor (and Fukui functions), a more general operational formula was proposed by Martínez-Araya [23, 24]:

$$f^{(2)}(\mathbf{r})_{\text{Martínez-Araya}} \approx \frac{q \cdot \rho(\mathbf{r})_{N+p} - (p+q) \cdot \rho(\mathbf{r})_N + p \cdot \rho(\mathbf{r})_{N-q}}{p \cdot q}$$
(10)



Fig. 1 Graphic representation of the main parameters of Eqs. (6-8)

where p and q stand for the degree of degeneracy of LUMO and HOMO, respectively.

When we apply these ideas proposed by Martínez-Araya to the system of Eq. (7), we obtain a new operative formula of $f^{(2)}(\mathbf{r})$ for degenerate cases:

$$f^{(2)}(\mathbf{r})_{\text{Quadratic}} \quad \exp(2\pi) \approx \frac{2 \cdot \left[q \cdot \rho(\mathbf{r})_{N+p} - (p+q) \cdot \rho(\mathbf{r})_{N} + p \cdot \rho(\mathbf{r})_{N-q} \right]}{p \cdot q \cdot (p+q)}$$
(11)

which is slightly different from the formula obtained by Martínez-Araya Eq. (10), but they are proportional. On the other hand, Eq. (12) is the operative formula for $f^{\theta}(\mathbf{r})$ in cases with degeneracy (applying the ideas of Martínez-Araya),

$$f^{0}(\mathbf{r})_{\text{Martínez-Araya}} = \frac{q \cdot \rho(\mathbf{r})_{N+p} + (p-q) \cdot \rho(\mathbf{r})_{N} - p \cdot \rho(\mathbf{r})_{N-q}}{2 \cdot p \cdot q}$$
(12)

on the other hand, starting from the system of Eq. (7), we obtain:

$$f(\mathbf{r})_{\text{Quadratic}} = \frac{q^2 \cdot \rho(\mathbf{r})_{N+p} + (p^2 - q^2) \cdot \rho(\mathbf{r})_N - p^2 \cdot \rho(\mathbf{r})_{N-q}}{(p^2 \cdot q + q^2 \cdot p)}$$
(13)

In this case, it can be seen that $f^{0}(\mathbf{r})_{\text{Martínez-Araya}}$ and $f(\mathbf{r})_{\text{Quadratic expansion}}$ are not proportional. Appendix I in supplementary material includes a simple example that complements this conclusion and shows that the new operative formulas $f(\mathbf{r})$ and $f^{(2)}(\mathbf{r})$ are different from the old ones. Finally, we propose a parabolic expansion as an alternative methodology to the finite difference approximation, and we rationalize this affirmation with the very simple example shown in Appendix II.

The new operational formulae for Fukui function and dual descriptor taking into account degrees of degeneracy in HOMO and LUMO are different to those ones based on finite difference. That makes sense in the case of a fractional value of ΔN . But when there is a degree of degeneracy greater than 1, meaning $\Delta N > 1$, in such case there is no certainty that the Taylor expansion (Eq. 6) converges. The,n from the mathematical point of view, finite difference is a suitable approximation because it does not depend on the means of truncation of the Taylor expansion. That is why Eqs. (10) and (12) can be used as reference expressions, so that:

$$f^{(2)}(\mathbf{r})_{\text{Martínez-Araya}} - f^{(2)}(\mathbf{r})_{\text{Quadratic}} \quad \text{expansion}$$
$$= \left(1 - \frac{2}{p+q}\right) f^{(2)}(\mathbf{r})_{\text{Martínez-Araya}} \tag{14}$$

and for the Fukui function (the expression is not so simple):

$$=\frac{f^{0}(\mathbf{r})_{\text{Martinez-Araya}}-f(\mathbf{r})_{\text{Quadratic}}}{2\cdot p\cdot q} = \frac{q\cdot\rho(\mathbf{r})_{N+p} + (p-q)\cdot\rho(\mathbf{r})_{N}-p\cdot\rho(\mathbf{r})_{N-q}}{2\cdot p\cdot q} - \frac{q^{2}\cdot\rho(\mathbf{r})_{N+p} + (p^{2}-q^{2})\cdot\rho(\mathbf{r})_{N}-p^{2}\cdot\rho(\mathbf{r})_{N-q}}{(p^{2}\cdot q+q^{2}\cdot p)}$$
(15)

Computational details

All the structures included in this study were optimized at B3LYP/6-31G(d) [25, 26] theory level by using the Gaussian09 package. [27] The densities used in the new methodology were calculated at the same level of calculation for the neutral molecule, the cation and anion, through Gaussian09 software.

The new indices included in this study were calculated with a modified version of UCA-FUKUI v.2.1 software (http:// www2.uca.es/dept/quimica_fisica/software/UCA-FUKUI_ v2.exe) [28]. Figure 2 includes two screenshots of the main menu showing the calculation modules that have been added to obtain the new indexes. Figures S1–S3 in the supplementary material show some screenshots of the UCA-FUKUI software displaying the correspondence between the program interface and the equations of the text.

Results and discussion

Obtaining atomic indices (condensed-to-atom)

Starting from Eq. (7) and by taking into account the responseof-molecular-fragment approach [29], (which is equivalent to the fragment-of-molecular-response approach for Hirshfeld partitioning [30–32]), the next condensed-to-atom system can be obtained:

$$\Delta q_k^- = q_k^{N-r} - q_k^N \approx -\left(\frac{\partial q_k^N}{\partial N}\right)_v \cdot r + \frac{1}{2} \left(\frac{\partial^2 q_k^N}{\partial N^2}\right)_v \cdot r^2$$

$$\Delta q_k^+ = q_k^{N+p} - q_k^N \approx \left(\frac{\partial q_k^N}{\partial N}\right)_v \cdot p + \frac{1}{2} \left(\frac{\partial^2 q_k^N}{\partial N^2}\right)_v \cdot p^2$$
(16)

where r and p are the global net charges of the ions. Solving the system:

$$\left(\frac{\partial q_k^N}{\partial N}\right)_{\upsilon} = \frac{r^2 \cdot q_k^{N+p} + (p^2 - r^2) \cdot q_k^N - p^2 \cdot q_k^{N-r}}{(p^2 \cdot r + r^2 \cdot p)} \\
\left(\frac{\partial^2 q_k^N}{\partial N^2}\right)_{\upsilon} = \frac{2 \cdot \left[r \cdot q_k^{N+p} - (p+r) \cdot q_k^N + p \cdot q_k^{N-r}\right]}{p \cdot r \cdot (p+r)}$$
(17)

where q_k^N , q_k^{N+p} and q_k^{N-s} are the net atomic charges calculated with some population analysis (Hirshfeld, Mulliken, ...) for the neutral molecule and the corresponding ions. As an example, Table 1 shows the condensed $f_k^{\text{Quadratic}}$ expansion and f_k^0 (finite difference approximation [33]) indices obtained for



Fig. 2 Upper panel UCA-FUKUI main menu: atomic Fukui indices based on a quadratic expansion. Lower panel UCA-FUKUI main menu: Fukui function based on a quadratic expansion

SF₆, which has triply degenerate HOMO, using the three different population analysis: Hirshfeld [34–36], Mulliken [37] and natural population analysis (NPA) [38–40]. As can be seen in Table 1, the $f_k^{\text{Quadratic}}$ expansion and f_k^0 indices are different.

Advantages of this method: Generalization of the finite difference approximation

The quadratic expansion Eq. (6) provides an important advantage, allowing interpolation $\Delta\rho(\mathbf{r})$ for *fractional* values of ΔN (-1 < ΔN <1). Thanks to this, we can use the finite difference approximation more generally. Suppose that ΔN is the fractional value ΔN^* , and, that, by substituting this value in Eq. (6), we are led to $\Delta\rho^*(\mathbf{r})$:

$$\Delta \rho(\mathbf{r})^* \approx \left(\frac{\partial \rho(\mathbf{r})}{\partial N}\right)_{\upsilon} \Delta N^* + \frac{1}{2} \left(\frac{\partial^2 \rho(\mathbf{r})}{\partial N^2}\right)_{\upsilon} \left(\Delta N^*\right)^2 \tag{18}$$

Now, the function $\Delta \rho(\mathbf{r})^*$ allows the finite difference approximation to be applied to calculate the Fukui indices in a more general way:

$$f(\mathbf{r})^* = \frac{\Delta \rho(\mathbf{r})^*}{\Delta N^*} \tag{19}$$

Note that Fukui functions $f(\mathbf{r})^+$ and $f(\mathbf{r})^-$ are particular cases of Eq. (19), where ΔN^* takes the non-fractional values +1 and -1. The recent work from the Gazquez group [41, 42] is the closest approach that we have been able to find in relation to this idea.

On the other hand, the amount of charge transfer $\Delta N^{A:B}$ associated to the formation of *A:B* complex from acid *A* and base *B*, may be written as [43]:

$$\Delta N^{A:B} = \frac{\mu_B - \mu_A}{\eta_A + \eta_B} \tag{20}$$

then, combining Eqs. (18), (19), and (20), we obtain the formula:

$$f(\mathbf{r})^{A:B} = \frac{\Delta \rho(\mathbf{r})^{A:B}}{\Delta N^{A:B}}$$
(21)

that allows to estimate an approximate Fukui function corresponding to a molecule (for example an acid *A*) when it is attacked by another *concrete* molecule (for example a base *B*). It is important to note that $f(\mathbf{r})^{A:B}$ (Eq. 21) is being calculated with a charge variation $\Delta N^{A:B}$ with *physical meaning*, and the same can be said for variations $\Delta \rho(\mathbf{r})^{A:B}$. The idea of using a model based on chemical potentials μ_A and μ_B , instead of a finite-difference approximation, can be traced back to Parr

Table 1 Comparison of the $f_k^{\text{Quadratic}}$ expansion indices with the corresponding f_k^0

	Hirshfeld population		Mulliken population		NPA	
	f_k^0	$f_k^{\text{Quadratic}}$ expansion	f_k^0	$f_k^{\text{Quad.exp.}}$	f_k^0	$f_k^{\text{Quad.exp.}}$
s	0.1189	0.1452	0.1705	0.2215	0.1190	0.1989
F	0.1469	0.1424	0.1383	0.1298	0.1469	0.1335

Fig. 3 Left Function $f(\mathbf{r})^{A:B}$ of the CH₂CHCHO when it is attacked by a H₂ molecule. *Right* Fukui function $f(\mathbf{r})^-$ of the CH₂CHCHO. The four images were obtained with isovalue: 0.0002



and Bartolotti [44] (the value of such an approach and also its limitations was recently stressed by Heidar-Zadeh et al. [45, 46] and the Gazquez group recently showed that the parabolic model is especially relevant [47]).

As an example, Fig. 3 (left) shows function $f(\mathbf{r})^{A:B}$ for the dienophile CH₂CHCHO when it is attacked by a H₂ molecule. In Fig. 3 (right) the function of Fukui $f(\mathbf{r})^-$ (Eq. 3) has been included to facilitate comparison. The images are similar because the two functions represent the nucleophile character of the CH₂CHCHO molecule but they show some differences since function $f(\mathbf{r})^{A:B}$ takes into account the characteristics of the attacker (H₂ molecule). All the images of Fig. 3 have been performed with Gaussview [48] and the ".cub" files used as a starting point were obtained from UCA-FUKUI software.

Starting from the previous idea and Eq. (17) the condensedto-atom value Δq_k^* of Eq. (22) can be obtained:



The values Δq_k^* and ΔN^* lead to the operative formula:

$$f_k^* = \frac{\Delta q_k^*}{\Delta N^*} \tag{23}$$

Note that the Fukui indices f_k^+ and f_k^- are particular cases of Eq. (21). Finally, combining Eqs. (22), (23), and (20) we obtain the formula:

$$f_k^{A:B} = \frac{\Delta q_k^{A:B}}{\Delta N^{A:B}} \tag{24}$$

that is the condensed-to-atom version of Eq. (21).

Figure 4 shows the parameters $f_k^{A:B}$ calculated for the dienophile CH₂CHCl when it is attacked by different reagents



Fig. 4 Parameter $f_k^{A:B}$ calculated with Eq. (21) and Hirshfeld population analysis for the CH₂CHCl molecule taking into account different attackers. The parameters f_k^+ , f_k^- and f_k^0 have been added for comparison

(Hirshfeld population analysis was used to obtain atomic populations). The attackers A-C correspond to a set of dienes (see Fig. S4 in the Supplementary material), in addition the attackers H₃O⁺ and OH⁻ have been included. The condensedto-atom indices f_k^+ , f_k^- and f_k^0 (Eqs. 2–4), nucleophilic, electrophilic and neutral attacks) have also been added for comparison. When the attacker is very electrophilic (for example see H₃O⁺) the $f_k^{A:B}$ values are close to the curve f_k^- (electrophilic attack); on the contrary, when the attacker is very nucleophilic (for example see OH⁻) the $f_k^{A:B}$ values are close to the curve f_k^+ (nucleophilic attack). Where the attacker possesses an electronic chemical potential similar to CH2CHCl (for example the dienes A-C) the $f_k^{A:B}$ values tend to curve f_k^0 (neutral or radical attack). Figure S2 in the supplementary material shows an enlargement of Fig. 4 where D-H dienes, H₂, HCl and Cl₂ attackers have also been included (the data of Figs. 4 and S5 are shown in Table S1 in the supplementary material). Figures S6 to S10 of the Supplementary Material include some equivalent graphics for the CH₂CHCHO, CH₂CHNO₂, CH₂CHCN, CH₂CHCH₃ and CH₂CHOCH₃ molecules (see Fig. S11) and the results are equivalent to those shown in Fig. 4. In addition, Figure S12 in the Supplementary Material includes an additional graphic achieved from "atoms in molecules" (AIM) [49-51] theory through the AIMAII software (http://aim.tkgristmill.com/index.html), Figure S13 includes a graphic achieved from natural population analysis and Fig. S14 a graphic achieved from Mulliken approximation with a minimal basis set [52, 53] for the CH₂CHCl reagent. The results, shown on these graphs, are qualitatively the same as those shown in Fig. 4. The comparison of all these methodologies led to the conclusion that the calculation method used to obtain the atomic populations does not change qualitatively the conclusions obtained.

Future perspectives

Our intention is to modify the UCA-FUKUI [28] software, based on "conceptual DFT" and specialized in the calculation of local reactivity indices, to introduce the new definition of Fukui's function in some methodologies (bond-reactivity-indices calculation and improved-frontier-molecular-orbital approximation) implemented in the program [54–56]. Once the software works properly with the new definitions, we will make representative calculations in order to compare the results with those obtained from previous definitions.

Conclusions

A new way of calculating $f(\mathbf{r})$ and $f^{(2)}(\mathbf{r})$ has been developed, resulting in new operative formulas. The Fukui function has been obtained for those cases where one or both of the frontier

orbitals are degenerate, and a more general operative formula was obtained. The new formulae are in agreement with the usual formulae but only in cases without degeneracy. The new $f^{(2)}(\mathbf{r})$ function is identical to the previous formula of dual descriptor in all cases where the frontier molecular orbitals are not degenerate, and in those cases with degeneracy it has been found that they are proportional functions. Finally, a new way of applying the finite difference approximation has been developed that leads to more realistic results (with more physical meaning) than the usual formulas.

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