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Supporting Information

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Supporting information for

Forward and backward pericyclic photochemical reactions have intermediates in common, yet cyclobutenes break the rules

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Methods

Bicyclo[3.2.0]hept-6-ene and bicyclo[4.2.0]oct-7-ene were prepared by photolysis of a 0.05 M solution (in ca 85 mL portions) of cyclohepta-1,3-diene and 1,3-cycloocta-1,3-diene, respectively (Sigma-Aldrich) in n-pentane (BDH Omnisolv) with a low pressure mercury lamp in a watercooled immersion well apparatus fitted with a Vycor inner sleeve, as previously described ^[1]. The compounds were isolated by semi-preparative gas chromatography (20% TCEP on 80/100 Chromosorb PNAW; 3 m x 4 mm glass; Chromatographic Specialties, Inc.) after concentration of the combined solutions from several runs by slow distillation and bulb-to-bulb distillation of the residue under vacuum. Capillary GC analysis (100 m x 0.25 mm Petrocol-DH; Supelco, Inc.) indicated the resulting material to be of >98.5% purity, and contained <0.1% of the of diene. The pump pulses (196 nm, 150 fs, 10⁹ W cm⁻²) were generated from a Ti-sapphire laser system combined with an optical parametric generator and various nonlinear frequency conversions. The fundamental of the laser (805 nm, 45 fs, $1-3\times10^{13}$ W cm⁻², polarization 55° versus the pump) served for probing by ionization after a variable delay. Both lasers are focused (focal length 1 and 0.7 m for pump and probe, focal diameters \leq 0.1 mm) into the ion source of a time-of-flight mass spectrometer; the UV laser excites about 0.1% of the molecules per pulse, and due to the long free path lengths, the molecules are easily exchanged in the time (1 ms) between the pulses. Using

pressures of $10^{-7} - 10^{-4}$ mbar at 20 °C, the yields of the parent M⁺ and two fragment ions (M⁺-15 for both compounds, masses 66 and 68 u for BCH6 and mass 79 and 41 u for BCO7) were determined in a time-of-flight mass spectrometer. These signals were simulated by sums of exponentials, with convolution of the pump and probe pulses where necessary (i.e., at short

times), in order to determine time constants t_i . The t_i represent lifetimes of observation windows L_i , i.e., locations on the potential surfaces, and the probabilities (contained in the preexponential factors, also listed in the tables) to produce an ion of mass *m* from location L_i of the excited molecules. The ${}^m s_i$, as functions of *m*, in principle represent mass spectra (fragmentation patterns) of the different L_i ; however, the relative magnitudes of the ${}^m s_i$ for different *m* are not certain, because typically only one *m* was investigated in each run. Relative energies of the locations L_i can be estimated (1) from the order of ionization on varying the probe intensity and (2) from the fragmentation patterns (see below). Details of the setup and evaluation are given elsewhere ^[2].

Results

The photoionization mass spectrum of BCH6 (Fig. S1a), measured at a delay of 100 fs of the 805-nm probe pulse shows three strong peaks: the parent (94 u) and two fragment (79 and 66 u) ion signals. All three were also studied with time resolution (Fig. S2). The mass spectrum of CHD (Fig. S1b^[3]) shows only a minor difference (to be discussed below after Table S4). The mass spectrum of BCO7, measured at a delay of 30 fs (Fig. S1c), exhibits the parent (108 u) and several fragment ions. For time resolution, we chose the signals at 108, 93, 79 and 41 u. The mass spectrum of the isomeric COD ^[3] is not shown in Fig. S1, because is not distinguishable from that of its isomer BCO7.

The time-dependent signals for BCH6 and BCO7 are shown in Figs. S2 and S3, respectively, together with the Xe⁺ signal. The latter is obtained from added Xe by ionization by 1 pump photon + 4 probe photons. Its maximum indicates the time zero. Its shape is the correlation function of the pump pulse with the fourth power of the probe pulse. Since the latter is much shorter than the former, the shape of this function is practically independent of the order *n* of ionization by the probe, if $n \ge 3$. This is the case for the investigated molecules only for the locations after some relaxation, so that for them the Xe signal can be taken as the instrumental function, with which the exponentially decaying populations must be convoluted to simulate the signals. The half-width of the pump pulse (150 fs) was also evaluated from the Xe curve; the duration of the probe pulses we calculated the instrumental functions for n < 3. For the Franck-Condon region (L₁) of BCH6 we used n = 2. This is based on the L₁ energy, which is equal to that of the pump photon (6.33 eV, 196 nm), and the ionization energy (9.0 eV for BCO7 ^[4], probably similar for BCH6) and the energy of the probe photon (1.53 eV, 810 nm). For

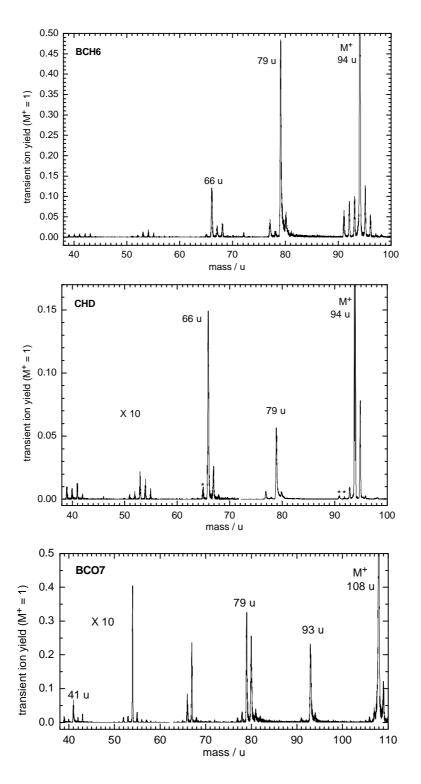


Fig. S1. Photoionization mass spectra of BCH6, CHD and BCO7. The first two were measured with the probe delayed by 100 fs after the pump, that of BCO7 with a delay of 30 fs. Note that the lower-mass (<72 u) signals in the spectrum of CHD have been magnified; peaks marked with an asterisk are due to an impurity ^[3, 6]. A magnified section is also shown for the lower mass range of BCO7.

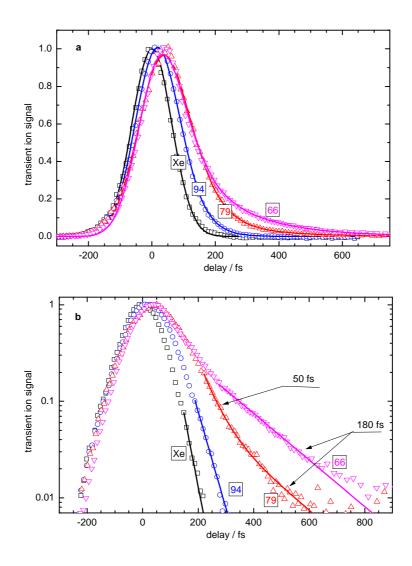


Fig. S2. Time-dependent signals from BCH6 at the indicated masses in linear (a) and logarithmic (b) scales. The Xe⁺ signal (instrumental function) is shown for comparison.

BCO7, however, the parent ion signal is clearly broader than any instrumental function with $n \ge 2$ (compare the left wing of the 108-u signal with the Xe data in Fig. S3). Therefore we varied *n* as a parameter in the simulation of the parent ion and found n = 0.45. This means that there is a good intermediate resonance for two-photon ionization by the probe laser from the Franck-Condon region of BCO7 and that both absorption steps are saturated to a large degree. Note that there are no such problems with the fragment signals (Fig. S3); they mainly come from lower, relaxed locations, that have higher ionization energies and seem not to meet comparable resonances.

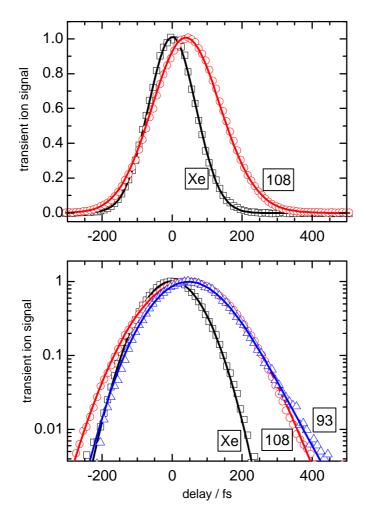


Fig. S3. Time-dependent signals from BCO7 at the parent (108 u) and a fragment (93 u) mass in linear (a) and logarithmic (b) scales. The signal at mass 41 u has been omitted to avoid too much overlap of the data. In the linear scale, the fragment ions are not distinguishable from the parent ion. The Xe⁺ signal (instrumental function) is shown for comparison.

The three BCH6 signals are shown in Fig. S2. The logarithmic part (Fig. S2b) also shows straight lines in the tails, representing exponential decays at times when convolution with the instrumental function can already be neglected. Although there is no decay in Xe, the Xe⁺ signal is also fitted to such a line, its slope corresponding to 30 fs. Such an exponential tail cannot be distinguished from a Gaussian due to the relatively low signal-to-noise ratio in this region. This means that the available pulses permit determination of time constants $t_i(CB)$ only when (a) $t_i(CB) \ge 30$ fs and (b) the signals are larger than $\approx 0.5\%$ of the maximum. The latter restriction prevented detection of a t_4 process in BCO7, affording the conclusion that the process is much less significant in this molecule than in BCH6; compare Figs. S2 and S3). It also prevented detection of reactions occurring after return to the ground state. (Reactions in the hot ground state, detected with the two *cis,cis*-dienes after excitation at longer wavelength, which provides better signal-to-noise ratio, were identified by comparing their time constants $t_5(\text{ccD})$ to estimates of the rate constants for ring closure of the strained *cis,trans*-isomers. This assignment also allowed identification of the preceding step – departure from L₃ within t_3 – as due to *cis*→*trans* isomerization, and thus the assignment of L₃ to ct^{* [3]}.)

With BCO7 (Fig. S3) the 93-u and 79-u signals practically coincide. The fragment signals including that at mass 41 u differ from the parent ion by showing a part with time constant ($t_3 =$) 53 fs, which is visible at long delay times. (The M⁺ signal does not contain t_3 .) To avoid congestion, we show in Fig. S3 only the signals at 108 and 93 u in the logarithmic part and 108 u in the linear part. Due to the less pronounced separation of the different decay phases in BCO7 than in BCH6, much more signal averaging was carried out and more fragment signals were investigated. The study of the very weak fragment signal at 41 u had the same motivation: Because fragmentation increases on the way down the potential surfaces, such a small mass should show the later observation windows more clearly than heavier masses; this was indeed the case. The comparison of all the signals allows us to establish the time constants in Table 1 (and Table S2 below).

The time constants obtained from the fit-line slopes of Figs. S2b and S3b were used as starting values for a full simulation of the signals (curves in Figs. S2a and S3a); this simulation did practically not change their values, however. The functions used for the simulation are based on rate equations: They are sums of exponentials with time constants t_i and coefficients containing ratios of rate constants and ${}^m s_i$ (multiplied by branching factors where appropriate, see below), convoluted with the instrumental function. The t_i are depopulation times of locations L_i (observation windows) on the potential surfaces (or appearance times of L_{i+1}), and the ${}^m s_i$ are the corresponding probabilities to produce an ion of mass m from L_i . The form without branching ratios results from rate equations with a purely consecutive flow of population ($L_1 \rightarrow L_2 \rightarrow L_3 \rightarrow L_4 \rightarrow ...$). However, for BCH6 the data fit better (see below) to a scheme with branching in L_2 ; that is, L_3 and L_4 are both populated simultaneously from L_2 , and (separate parts of) the S₀ surface is then reached from L_3 and L_4 . We assumed a ratio of branching factors of 0.5 : 0.5, estimated from the ratio of signals (see main text). For BCO7, the corresponding branching ratio seems to be smaller, disfavoring p*; a purely consecutive analysis was therefore applied for this molecule.

Table S1 compiles for BCH6 the t_i and ${}^m s_i$, evaluated for both, the purely consecutive and the branched cases. The time constants are not distinguishable for the two cases. The table also

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shows a column indicating " $t_{0/1}(BCH6) = 0$ fs". This means that there is either a time constant t_1 below time resolution, i.e., <30 fs, or (and) there is a contribution from nonresonant two-color ionization during the pump-probe overlapping time; the latter process is sometimes observed (e.g., in ^[5]) and can then be simulated by an apparent time constant (" t_0 ") of 0 fs. Whereas the numbers in the $t_{0/1}$ column result from this type of simulation, we assume that there also exists a real (nonvanishing) time constant $t_1(BCH6) < 30$ fs, and Fig. 2 in the main text has been drawn accordingly. This assumption is supported by the fact that such a t_1 has been observed in the homologous BCH6 and in many other olefins and polyenes (see, e.g., ^[3, 6]).

Table S2 lists the corresponding data for BCO7. In contrast to BCH6, the first time constant t_1 (= 30 fs) was directly measurable. All data for this molecule are consistent with purely consecutive processes, and the data of the table are based on such a model. We made an effort also to detect signals from L₄ (with time constant t_4 , expected in the range > t_3 (BCO7) but < t_4 (COD), hence 50 fs < t_4 < 118 fs), analogous to that of BCH6 and the dienes. However, the signals in this time range were <0.5% of the signal maxima, so that they should not be evaluated in this range. For instance, ${}^{93}s_4$ < 0.005. Comparing with ${}^{93}s_3$ = 0.17 and taking the ratio of ionization probabilities from L₄ and L₃ to be 1:10 as in COD ^[3] implies that the branching ratio to L₄ and L₃ is <0.25:0.75. (For BCH6 it is near 0.5:0.5, see above.)

i	0/1	2	3	4
t_i/fs^{a}	0 / <30	44 ± 4	50 ± 4	180 ± 20
$^{94}s_{i}$	0.45 b)	1.0	0	0
$^{79}m{s}_i$ (consecutive)	0.21 ^{b)}	1.0	0.30	0.03
$^{79}m{s}_i$ (branch ct*)			0.30	_
$^{79}m{s}_i$ (branch p*)			-	0.03
${}^{66}m{s}_i$ (consecutive)	0.21 ^{b)}	1.0	0.32	0.11
$^{66}m{s}_i$ (branch ct*)			0.32	_
$^{66}m{s}_i$ (branch p*)			_	0.11

Table S1. Time constants t_i (BCH6) (lifetimes of locations L_i) and probabilities ${}^m s_i$ to produce an ion of mass *m* from location L_i of excited BCH6. The ${}^m s_i$ differ as indicated for the purely consecutive and the branched (branching ratio 1:1) models, whereas the lifetimes are the same.

a) Error limits are standard deviations of values obtained in ≥ 10 runs.

^{b)} The instrumental function is multiplied by these numbers to get the L₀ ($t_0 = 0$) contribution to the signals. Although we assume that there is a contribution with a time constant $t_1 > 0$, the corresponding ${}^m s_1$ could not be unambiguously evaluated.

i	1	2	3
t₁/fs a)	30 b)	30 b)	53 ± 3
$108_{\boldsymbol{S}_{i}}$	1.0	0.8	< 0.005
$^{93}s_{i}$	0.8	1.0	0.17
$^{41}s_i$	0.385	1.0	0.1

Table S2. Time constants $t_i(BCO7)$ (lifetimes of locations L_i) and probabilities ${}^m s_i$ to produce an ion of mass *m* from location L_i of excited BCO7. A purely consecutive sequence of processes was assumed, because any branching (implying an additional time constant t_4) could not be established.

a) Error limits are standard deviations of values obtained in ≥ 10 runs.

b) $t_1 + t_2 = 60 \pm 6$ fs. The error limits for the individual constants could not be determined.

Assignment

It is said in the main text that the observation windows L_i not only differ in their ionization probabilities ($\Sigma_m {}^m s_i$) but also in their fragmentation patterns (${}^m s_i$ for each *i*) and orders of ionization *n*. In fact, the ionization probability drops to below the detection limit, when the cyclobutenes return to the (reactant or product) ground states; the order of ionization is expected to change from n = 2 in the Franck-Condon region (see above) to n = 6 in S₀, corresponding to the ionization energies (9.0 eV for BCO7 ^[4], probably similar for BCH6). (In the dienes, due to the better signal-to noise ratio, the ground-state signals due to ctD were also detected ^[3].) The columns (${}^m s_i$ for given *i*) of Tables S1 and S2 reflect the fragmentation patterns. However, they are not identical to the real mass spectra, because the signals at each mass *m* (each horizontal line in the tables) are normalized to the strongest peak. But one can recognize, how fragmentation changes from L_i to L_{i+1} by comparing the columns.

For example, the signal ratios for M⁺ and M⁺–15 differ by only a factor of <2 between L₁ and L₂ in BCO7 (in BCH6, L₁ could not be evaluated), but by a factor of >30 between L₂ and L₃ for BCO7 and even more for BCH6. This means that the parent ion initially produced from L₃ and L₄ has much more excess energy than if produced from L₁ or L₂, so that it fragments extensively after it is generated by ionization. The excess energy can already be present in (neutral) L₃ and L₄ due to a lower electronic energy ("vertical displacement"); it can also be caused by a horizontal displacement (because where the neutral potentials drop along a reaction coordinate, the potentials of the ions usually rise, so that higher-energy states are reached on ionization) and/or to special reasons such as selection rules. In the main text, we invoke the selection rule that from

the two-electron excited 2A state, ionization produces an electronically excited ion. This mechanism alters the ionic excess energy suddenly, whereas the former two mechanisms will give rise to smoother changes. Therefore we attribute the sudden change on leaving L_2 in these molecules (as in many other pericyclic and some other reactions ^[3, 6]) to a relaxation from a oneelectron excited (1B) to a two-electron excited (2A) state. Very recently this assignment was independently confirmed by detection of the transient photoelectron spectra (including the time constants) from the 1B and 2A states on electrocyclic ring opening of 1,3-cyclohexadiene ^[7].

The fragmentation difference between L_3 and L_4 of BCH6 (in BCO7, L_4 signals were below the detection limit) can be judged from the ratios ${}^{79}s_i/{}^{66}s_i$, which is 0.94 for i = 3 and 0.27 for i = 4. This change (by a factor of 3.5) is small, similar as that between L_1 and L_2 (factor of <2) for which we concluded above that they are on the same electronic surface (1B), with L_2 representing a lower location. We can hence also assume that L_3 and L_4 are on one surface (2A), with L_4 a bit lower than L_3 . (With the dienes, also signals from the ground states could be detected ^[3]. Their mass spectra showed drastically more fragmentation than from the preceding levels L_3 .)

To determine the order n_i of ionization of the location L_i from the dependence on probe intensity, it would be desirable to measure the sum of the ion yields with different masses. But this method is not directly applicable, because the different masses have been studied in separate runs and their intensities normalized to the strongest signal (which originates from L_2 in BCH6, see Table S2). For comparing the relative order of ionization, we took a strong fragment instead of any sum. (Weak fragment signals may be more strongly affected by the increase of the degree of fragmentation at higher laser intensities.) For BCH6 we chose mass 79. The data are given in Table S3.

Table S3. Signal intensities ${}^{79}s_i$ (relative to ${}^{79}s_2$) for BCH6 with different probe laser intensities. (The data of Table S1 were obtained from several runs with probe laser energies near 10 TW cm⁻².)

L _i	1	2	3	4
$^{79}s_i$ (10 TW cm ⁻²)	_a)	1.0 ^{b)}	0.28	0.024
$^{79} m{s}_i (20 \ {\rm TW} \ {\rm cm}^{-2})$	_a)	1.0 ^{b)}	0.68	0.047

^{a)} The ${}^{m}s_{1}$ corresponding to an assumed time constant $t_{1} > 0$, were not be evaluated. See also footnote ^{b)} of Table S1.

b) Normalized.

Obviously on raising the laser energy by a factor of 2, the signals from L₃ and L₄ increase both by practically the same factor of ≈ 2 . This means that $n_3 = n_4 = n_2 + 1$ or $n_3 = n_4 = 3$, if $n_2 = 2$ is

inferred from the ionization energy. ($n_2 = 2$ is also consistent with the simulation of the M⁺ signals, which come only from L₁ and L₂.) The equality $n_3 = n_4$ means that L₃ and L₄ have approximately the same ionization energy and probably also the same energy, which is lower (by a substantial fraction of the energy of one photon, 1.55 eV) than that of L₂. The method was not applicable to BCO7, where L₄ was not detected. With the dienes, also the locations L₁ and L₂ could be compared ($n_1 = n_2$), and in addition two ground-state locations ($n_5 = n_6 \approx n_{3(4)} + 1$) ^[3]. We should, however, mention that the degree of fragmentation is in general a more sensitive function of small energy differences than the order of ionization.

As in the dienes ^[3] and other cases, $t_1(CB)$ will represent the time for population flowing out of the Franck-Condon region of the pumped 1B state; accordingly, fragmentation is lowest in this window L₁ (compare, for example for BCO7, the ratios of ms_1 with those of ms_2 or ms_3 in the columns of Table S3, etc.). The initial relaxation direction is given by the Franck-Condon active coordinate (which can be defined in this way). As argued above, transition to the (lower) 2A surface takes place during $t_2(CB)$. L₃ and L₄ will then be locations on this surface, from where population flows within t_3 and t_4 to the ground state.

Although only an upper limit of population of any L₄ location can be given for BCO7 (see above), we assume that it is present in analogy with BCH6 and is populated in competition with L₃. The process is assumed to branch within t_2 . Although there will be two rate constants for depopulation of L₂, (k_{2a} and k_{2b} , whose ratio is the branching ratio), there will be only one observable time constant $t_2 = (k_{2a} + k_{2b})^{-1}$; L₃ and L₄ appear within the same time as L₂ disappears. For BCH6 and the dienes, the assumption of branching in L₂ is justified by investigating the properties of L₃ and L₄. This was done in detail for the dynamics of two dienes, *cis.cis*-cyclohepta-1,3-diene (CHD, whose ring closure results in BCH6) and *cis.cis*-cycloocta-1,3-diene (COD, whose ring closure results in BCO7) ^[3]: We compared their relative energies, estimated from the orders of ionization and the fragmentation patterns, and demonstrated that on comparing these two homologous molecules the relative L₃/L₄ populations vary by the same factor (of 9) as the known quantum yields for the two competing channels ring closure and *cis*-*trans*-isomerization. In this context it is interesting – and probably not unexpected – that the L₃/L₄ population ratio is also smaller for the heavier cyclobutene (BCO7 versus BCH6).

The statement that L_3 and L_4 are in common for forward and backward reactions is inferred from a comparison of the isomeric pairs CHD/BCH6 and COD/BCO7. The evidence is based on the following observations:

- 1. The equality of time constants $t_3(ccD) = t_3(CB)$ not only for the pair CHD/BCH6 but also for COD/BCO7. Such an equality for *two* pairs of isomers can hardly be accidental.
- 2. The expected shortening of t_4 (CHD) to t_4 (BCH6) due to the higher excess energy on starting from BCH6. A shortening is expected, because the long t_4 (CHD) implies a (small) activation energy. By contrast, the shorter t_3 implies a (nearly) barrierless process, so that no shortening by excess energy is expected for this channel.
- On going from BCH6 to BCO7, the L₄/L₃ signal ratio drops (by a factor >3) to below the detection limit. This is similar to the decrease of this ratio (by a factor ≈9) on going from CHD to COD.
- 4. The order of ionization is the same for L_3 and L_4 , whether coming from the diene or the cyclobutene (BCH6) side.

Although each individual argument is not a compelling proof, the four together are a better support of the idea of common intermediate states. The model is made even more credible by its successful explanation (and lack of alternative explanations) of the different specificities of forward and backward reactions and other observations (see main text), and by the fact that it is only a slight modification of the generally accepted scheme – involving a pericyclic minimum – for pericyclic photochemical reactions.

The fragmentation patterns are slightly different for L_3 (and L_4) for the forward and backward reaction. One expects that fragmentation from a common level (L_3 or L_4) is more extensive, if one starts with higher excess energy, i.e., from the cyclobutene side. This is indeed the case for L_3 of the COD/BCO7 pair and for L_4 of the CHD/BCH6 pair. But surprisingly for L_3 the ratio is smaller from the CHD side than from the BCH7 side, as shown in Table S4, which lists the ratios of the signals with masses 79 u and 66 u.

Table S4. Ratio of signals at 79 u to those at 66 u from different locations L_i on the potential surface, starting from BCH6 and CHD, respectively. These values were retrieved by renormalization of the values in Table S1 by the help of the mass spectra in Fig. S1.

	L ₁	L ₂	L ₃	L ₄
BCH6	4.8/1	3.7/1	4.7/1	1.2/1
CHD			2.6/1	2.6/1

At first sight, this observation seems not consistent with the idea that L_3 is a common intermediate for the CHD/BCH6 pair (in spite of the evidence above and although also fragmentation indicates that L_4 is common for this pair and L_3 is common for COD and BCO7).

A possible reason for the slight difference of the fragmentation patterns is revealed by a closer comparison of the mass spectra of BCH6 and CHD, measured at a delay of 100 fs after the pump pulse (Fig. S1). Fragmentation (the ratio of the 79-u and 66-u signals to the parent) of the bicyclic compound is indeed 10 times higher than of the diene; because the 79-u/66-u ratio is unchanged (\approx 4), the energy to form these two fragments is obviously very similar, so that already minor differences in the reaction path may change this ratio. The mass spectrum of BCH6 also contains a (weak) signal at 68 u, which is absent in CHD. Here it should be remembered that in contrast to the diene the bicyclic compound undergoes an additional photoreaction with quantum yield 0.14 (as compared with that for ring opening of 0.12^[1]), namely ring cleavage to cyclopentene (mass 68 u) + acetylene. The additional peak is probably due to this additional channel; it will come from a location L_{cl} on the cleavage path, still on the 2A surface. Therefore we did time-resolved measurements also with the fragment of mass 68 u. This signal was found to exhibit a time constant of $t_{cl}(BCH6) = 50$ fs, in addition to the preceding $t_2(BCH6)$ and $\tau_{0/1}$. That is, accidentally $t_{cl}(BCH6) = t_3(BCH6)$. If the mass spectrum of L_{cl} contains also a strong peak at 79 u (note that cleavage is only completed on the ground state surface), the higher 79u/66-u ratio in the 50-fs window (column L₃ in Table S3) is rationalized.

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