Reinvestigation of the mechanism of polymerization of β-butyrolactone from 1,5,7-triazabicyclo[4.4.0]dec-5-ene†

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The questionable mechanism initially proposed to explain how 1,5,7-triazabicyclo[4.4.0]dec-5-ene (TBD) allows us to ring-open β-lactones, such as β-butyrolactone (BL), is reinvestigated here. With the use of a trisubstituted β-lactone, i.e. (R,S)-benzylcarbonyl-3,3-dimethyl-2-oxetanone, and the association of techniques such as 1H/DOSY NMR and MALDI/ESI-MS, we demonstrated that BL is effectively polymerized by the TBD in bulk at 60 °C, minorly from the reported N-acyl-α,β-unsaturated TBD species, and majorly from crotonate anions issued from the basic activation of BL. In contrast to what has been reported, the TBD is not covalently linked to the PBL chain but mainly plays the role of a counterion in the \(-\text{C(O)}\text{O}^+\), TBDH⁺ active site.

Introduction

Starting in 2012, a series of scientific contributions has been reported on the possibility of initiating the ring-opening polymerization (ROP) of β-lactones, such as β-butyrolactone (BL) and benzyl-β-malolactonate (MLABe), from amidine, guanidine and phosphazene organocatalysts.1–4 Interestingly, and in contrast to Hedrick et al. who demonstrated that the controlled polymerization of BL from the 1,5,7-triazabicyclo[4.4.0]dec-5-ene (TBD) guanidine was not possible in solution at a temperature lower than 50 °C,5 the authors reported the possibility of controlling the entire process by performing the ROP in bulk at 60 °C. Mainly based on 1H-NMR and Matrix Assisted LASER Desorption/Ionization (MALDI) Time of Flight (ToF) investigations, the proposed mechanism supposedly involves the formation of a TBD-BL adduct which undergoes dehydra-

![Scheme 1](https://example.com/scheme1.png)

**Scheme 1** Possible mechanism for the ROP of BL from TBD as proposed by Guillaume et al.3

PBL chains expected to be covalently end-capped by both TBD and crotonate moieties.

Even though TBD is the strongest nucleophile in the gua-
idine series,6 in many guanidine-catalyzed reactions, nucleo-
philic addition may compete with Brønsted base catalysis.7 Since the $pK_a$ of BL α-carbonyl protons is lower than that of the conjugated acid of the TBD (4.5 vs. 26 in THF), and because many research groups have already demonstrated the
easy crotonization of BL by \( \alpha \)-deprotonation,\(^8\) we thought it is reasonable to consider the proposed mechanism as questionable. The situation stimulated us to examine again the process of BL polymerization by using TBD in bulk at 60 °C and to compare it with the possibility of applying this process to the ROP of an \( \alpha,\alpha',\beta \)-trisubstituted-\( \beta \)-lactone.

**Results and discussion**

Like BL, a \( \beta \)-lactone such as MLABe is known to be the subject of easy \( \alpha \)-deprotonation during its anionic ROP (AROP).\(^9\) To circumvent this problem, the dimethylated homologue of MLABe, namely the \((R,S)\)-benzylcarbonyl-3,3-dimethyl-2-oxetanone (dMMLABe, see Fig. 1) has already been successfully used to prepare PdMMLABe by a controlled and living AROP process.\(^10\) Due to its higher ring-strain,\(^11\) dMMLABe is considered as more reactive than MLABe and is an interesting monomer to study. Prior to any investigation with BL, the nucleophilic potential of TBD was first evaluated by initiating the dMMLABe polymerization by mixing 10 equivalents of the oily monomer with TBD at 60 °C. After 2 hours, the \(^1\)H-NMR analysis of the homogenous crude mixture reveals less than 1% conversion suggesting that the nucleophilic behaviour of the TBD is not sufficient to trigger the ROP of the protected monomer (Fig. 1-b). To ensure that the “O-acyl” cleavage of such \( \beta \)-lactone is not prevented by the bulky benzyl ester group, a simple polymerization test has been realized by reacting it with the 1,3-bis(2,4,6-trimethylphenyl)imidazole-2-ylidene (IMes) carbene. The reaction has been performed in THF at 21 °C with an initial [dMMLABe]/[IMes] ratio of 116 ([dMMLABe] = 1.45 M).\(^12\) As summarized in Table S1 (see ESI†), few minutes of the reaction allows the production of PdMMLABe polymers corresponding mainly to cyclic chains and demonstration of the “O-acyl” cleavage feasibility of the protected monomer from the adapted IMes nucleophile.

To gain more insight into the residual polymerization product obtained when dMMLABe is reacted with TBD, Electrospray Ionization Mass spectrometry (ESI-MS) was then employed and the presence of oligo-dMMLABe end-capped by a water molecule was confirmed. Since a nucleophilic attack from the TBD is not possible, these oligomers have probably been obtained from residual water initiating an AROP process in which TBD acts as the active species counter-anion (Scheme 2).

![Scheme 2](image)

Scheme 2 AROP of dMMLABe from “basic” activation of water from TBD.

Very interestingly, we serendipitously observed that the proton signals of the TBD molecule changed when comparing the \(^1\)H-NMR spectra of the dMMLABe/TBD mixture before and after the reaction (Fig. 1-a and zoom of Fig. 1-b, respectively). This is in accord with Scheme 2 in which TBD goes from its basic state (TBD) to its conjugated acidic one (TBD\(^+\)). As highlighted, a drastic change in the splitting of the TBD protonic signals is observed between 1.8 and 3.4 ppm. Noteworthy here is that the peculiar \(^1\)H-NMR spectrum of the as-used TBD (recorded in CDCl\(_3\)) might be caused from its ability to promote H/D exchange with the solvent.\(^13\)

Observing these TBD signals after the reaction suggested to us that we are in the presence of a protonated TBD which is, in contrast to the as-used one, a symmetrical entity. Such a hypothesis was validated by the \(^1\)H-NMR analysis in CDCl\(_3\) of a TBD/benzoic acid salt which presents the same TBD signature, i.e. three well-resolved protonic signals between 1.8 and 3.4 ppm. nicely it is probably the TBD\(^+\) cation (Fig. 2).

Ironically since TBD is nucleophilically inactive against the highly reactive dMMLABe, we decided to reinvestigate its ability to properly lead the BL polymerization as previously published. Two polymerization reactions were then performed between BL and TBD in bulk at 60 °C. Polymerization degrees (DP = [BL]/[TBD]) of 10 and 50 were targeted by mimicking

![Fig. 1](image)

Fig. 1 \(^1\)H-NMR spectra of (a) the as-used TBD in CDCl\(_3\) and (b) a dMMLABe/TBD (10/1) crude mixture obtained after 2 hours at 60 °C. The full-line square represents the magnification of the spectrum (b) between 1.8 and 3.4 ppm.
the experimental conditions reported by Guillaume et al., i.e., by limiting the polymerization reactions to 0.5 and 2 hours, respectively. Regarding the degree of conversion recorded for both polymerizations, PBL samples were called PBL₈ (DP = 8, \( M_n \text{SEC} = 550, D_M = 1.8 \)) and PBL₄₈ (DP = 48, \( M_n \text{SEC} = 3700, D_M = 1.8 \)), respectively. \(^1\)H-NMR analyses of both crude media reveal the effective production of PBL structures in the presence of crotonate, TBD and residual monomer protonic signals. Interestingly, in both spectra (recorded in CDCl₃), the guanidine protonic signals are appearing perfectly defined with no decoupling effect suggesting a symmetrical TBDH⁺ structure. Such signature discredits either unsymmetrical TBD-BL or \( N \)-acyl-\( \alpha \),β-unsaturated adducts and suggests more a protonated TBD cationizing the carboxylate end-group PBL chains. This has been attested by comparing a series of symmetrical and unsymmetrical TBD-based structures (Fig. 3). Clearly, \(^1\)H-NMR analyses (in CDCl₃) confirmed a "splitting effect" of unsymmetrical structures (e.g. the as-used TBD and the \( N \)-methyl TBD) while no splitting effect is observed whatever the protonated symmetrical TBD moieties studied.

To confirm that the suspected \( N \)-acyl-\( \alpha \),β-unsaturated species drawn by Guillaume et al. is not formed – or at least produced in a very low amount – by dehydration of the TBD-BL adduct during the ROP process (see Scheme 1), we focused our attention on the eventual presence of water in the PBL₈ crude sample. Since for such a low molar mass polymer (\( M_n \text{SEC} = 550 \text{ g mol}^{-1} \)), the dehydration process should lead to \( \sim 10 \) mol% of water, we anticipated that a H₂O signal should appear in the \(^1\)H-NMR analysis (at least qualitatively). Each step was then realized in the total absence of moisture including the preparation of the NMR sample in a glovebox by using dried CDCl₃. As suspected, no water protonic signal was observed in the spectroscopy analysis (Fig. S1-a, ESI†), while the intentional addition of 10 mol% of H₂O in the NMR tube is accompanied by the appearance of a broad signal between 2.82 and 3.2 ppm (Fig. S1-b, ESI†). These results reinforce the hypothesis that the crotonate moieties observed in the NMR spectra do not correspond to the \( \omega \)-end group of PBL chains from a dehydration process, but, in contrast, could represent the \( \alpha \)-chain end of a PBL macromolecule as being issued from an \( \alpha \)-deprotonation of a BL monomer from the basic TBD.

Indisputably, such a hypothesis leads to the assumption that a crotonic acid/TBD salt acts as a potential initiator in the BL polymerization. To confirm that an \( \cdots \text{C(O)O}^-, \text{TBDH}^+ \) propagating end-group is sufficiently active towards the BL ROP, a single turnover reaction was performed between a preformed benzoic acid/TBD salt and the BL monomer in bulk (\([\text{salt}]_0/\text{[BL]}_0 = 1/1.5\) ). The activity of the salt was primarily confirmed at r.t. After 12 hours, the \(^1\)H-NMR analysis of the crude medium revealed that 77% of the monomer were converted with no trace of crotonate species suggesting that the \( \cdots \text{C(O)O}^-, \text{TBDH}^+ \) is active for the BL ROP even at low temperature (Fig. S2-a, ESI†). More interestingly, increasing the temperature to 60 °C, for an extra hour, allows the complete consumption of the monomer but also induces the appearance of new crotonate signals (Fig. S2-b, ESI†). Such an observation tends to indicate that the control polymerization of BL in bulk at 60 °C is not possible due to the poisoning deprotonation of the monomer from the free TBD during the propagation and that high DPs could not be obtained under such conditions.

To explain such deprotonation during the ROP process at 60 °C, we speculated that free TBD is in equilibrium with its...
corresponding salt or that the chemical bond formed between the protonated TBD and the carboxylate end-group is slowly disrupted by increasing the temperature. Under both conditions, this allows the basic TBD to eliminate the BL acidic methylene protons by deprotonation, explaining the appearance of crotonate moieties at 60 °C in the model experiment. To confirm it, a crotonic acid/TBD salt ([crotonic acid]₀/[TBD]₀ = 1/1) has been prepared and analysed by ¹H-NMR spectroscopy at different temperatures (from 25 to 70 °C) in CD₃CN. Both acid and deuterated solvent have been chosen to mimic the BL polymerization process in terms of possible initiators and polarities. Interestingly, even at 25 °C, only 64 mol% of salt are produced and its relative content diminishes linearly with the temperature, dropping down to 53 mol% at 70 °C (Fig. S3, ESI†). This clearly indicates that free TBD is always present during the BL polymerization course and explains why the crotonate content, observed during the BL ROP from a benzoic acid/TBD mixture, increases at higher temperature.

The ability of the TBD to deprotonate BL monomers during the ROP course has also been proven by a kinetic study where the amount of crotonate functions has been recorded (Fig. 4-a). According to the Guillaume’s mechanism, the [TBD]₀/[crotonate]₀ ratio should be equal to 1 and, for a targeted DP of 50, such [crotonate]₀ is estimated to 2 mol% all along the ROP process. Fig. 4-a demonstrates that it is actually not the case and that the crotonate content, during the BL ROP, increases during the polymerization to ultimately reach, after 2 hours, 2.2 mol%. Such an increase in the crotonate content is also accompanied by a clear modification of the TBD protonic signals during the ROP course (Fig. S4, ESI†). If the generation of a possible TBD-BL adduct or N-acyl-α,β-unsaturated species is not excluded, it seems clear that most of the TBD used is transformed in TBDH⁺. The continuous production of potential ROP initiators discredits a controlled process as also demonstrated by an associated “up and down” molar mass evolution (Fig. 4-b).

PBL₈ and PBL₄₈ samples were then analysed by spectrometry methods including MALDI & ESI-MS, concomitantly to DOSY NMR spectroscopy. Fig. 5 presents two MALDI analyses performed on PBL₈ as recorded by two sets of experimental conditions. First, the MALDI analysis was performed in the absence of a cationizing agent (Fig. 5-a). Although polymer distribution has been observed, the intensity of the signal is extremely low, suggesting a weak ionization efficiency and the necessity to add a cationization agent. Interestingly, under these specific experimental conditions, dehydrated PBL chains naturally cationized by a protonated TBD are observed in accordance with Guillaume’s results.¹ To gain a better insight and improve the signal-to-noise ratio, the sample was then analysed by adding sodium (Fig. 5-b). Interestingly, a completely different MALDI fingerprint was observed unveiling four populations which have been clearly assigned by using adequate isotopic models (Fig. 6).

Fig. 5 MALDI analyses of PBL₈ without the cationizing agent (a) and in the presence of sodium (b). The bottom part represents the magnification of both spectra between 960 and 1100 m/z.
α-crotonate, ω-carboxylate PBL chains carrying two sodium atoms. Such a presence of two Na\(^+\) is the signature of a carboxylic acid extremity (here assigned to the population (a)) which is in the carboxylate form.\(^{10}\) Finally, the population (d) represents a PBL chain initiated by water and end-capped by a carboxylic acid. Note here that the low intense dehydrated species are not cationized by Na\(^+\) in contrast to what Guillaume had proposed in her initial study.\(^1\) In agreement to those MALDI analyses, ESI-MS spectrometry also did confirm the presence of different PBL populations (Fig. S5, ESI†).

In accordance with the \(^1\)H-NMR analyses, both spectrometry techniques tend to indicate that only a very low amount of PBL chains could be assigned to \(N\)-acyl,\(\omega\)-unsaturated species and that the majority of those are issued from a basic activation process. To confirm this conclusion, \(i.e.\) most of the PBL chains are not covalently linked to a TBD residue at their extremity, NMR DOSY analyses were performed. NMR DOSY experiments allow the discrimination of different molecules according to their diffusion coefficients, and hence their molar masses. It is thus an interesting tool in the case of the present study since the small TBD “catalyst” presents a smaller molar mass than the polymer. As an effect, its diffusion coefficient should be different from that of the polymer if it is not covalently bonded. DOSY spectra were thus recorded in a solution of pristine TBD and in solutions of both PBL\(_9\) and PBL\(_{48}\) still containing TBD (crude samples). These measurements were performed in two different solvents of different polarities, \(i.e.\) CDCl\(_3\) and CD\(_3\)CN. Fig. 7 presents the DOSY spectrum recorded in PBL\(_9\).

As expected, a difference between the diffusion coefficients of the TBD and the polymer chain is clearly visible. Nevertheless, as stated in the experimental part, precise diffusion coefficients were obtained by extracting the diffusion curves (Fig. S6-a and S6-b, ESI†) on 3 different peaks of the polymer and of TBD. Results are shown in Table 1. First, it is clearly visible that all the measured diffusion coefficients are higher in CD\(_3\)CN than in CDCl\(_3\) by a factor of 1.6 in average. This can easily be explained by the difference of viscosity between the 2 solvents. Secondly, the comparison between the diffusion coefficients of the polymer and the TBD – for both solutions of polymer in the 2 solvents – shows that TBD is diffusing more rapidly than the polymer. This difference tends to confirm that TBD is not covalently bonded to the polymers. Nevertheless, the comparison between the diffusion coefficients of TBD in the solutions of the polymer and alone in the solvents shows a slower diffusion of TBD in the solutions of the polymer.

This tends to prove that there is, for the major part of the PBL samples, a non-covalent interaction between the polymer and the TBD, with an exchange between the bonded and the free form of TBD which is rapid on the NMR timescale, as suggested by the linear evolution of the diffusion curves. As rationalized in the experimental part, a linear evolution of the natural logarithm of the signal intensity versus the square of the gradient is typical of a mono-diffusing species, which allows us to suggest that the obtained diffusion coefficient is a weighted average between the diffusion coefficients of the bonded and of the free form of the TBD.\(^{14,15}\) Moreover it has to be noted that, the trend being the same in both solvents, the non-covalent interaction between TBD and the polymer does not seem to depend on the solvent polarity.

In accordance with an anionic process in which the protonated TBD plays the role of a counterion (Scheme 3), adding exogenous carboxylic acid in the course of a reaction might
lead to an “active-dormant” polymer chain equilibrium. In contrast, if the TBD is covalently linked to the PBL chains, such an equilibrium does not happen and the extra carboxylic acid moieties should only act as spectators being then unable to initiate any polymerization. Accordingly, 1-pyreneacetic acid (PyCOOH) has been selected as a transfer agent. Practically, a BL polymerization was initiated by TBD at 60 °C for a \([\text{BL}]_0/\text{TBD}_0\) ratio of 50. After 10 minutes, the medium was cooled down to 21 °C and charged with one equivalent of PyCOOH (pre-solubilized in BL) relative to the TBD initial content. The reaction was then thermally treated (60 °C) for an extra hour. Fig. 8 presents the SEC curves of the crude medium right after the addition of the PyCOOH (sample 1) and after the extra 1-hour treatment (sample 2). As expected, adding the PyCOOH slows down the process but does not terminate it. The PBL chains obtained in the early stage of the reaction (before the addition of the transfer agent) still grow after the addition of PyCOOH while this last clearly initiates the polymerization of new chains. The UV detection of the SEC also attests that the chromophore is only end-capping the freshly initiated PBL chains while the pre-formed ones do not present any pyrene incorporation. Such a result is in perfect agreement with an ionic polymerization in which the TBD goes from one carboxylic acid end-group to another.

The above-presented results indicate that carboxylate anions, issued from a BL basic activation from TBD, might constitute the main growing species in BL polymerization leading, at 60 °C and in bulk, to \([\alpha\text{-crotonate, }\omega\text{-carboxylate, TBDH}^+]\) PBL chains.

### Conclusions

The bulk ROP of BL from TBD at 60 °C has been reinvestigated. The gathered results tend to prove that the polymerization process is majorly due to an initial deprotonation of the monomer from the guanidine base generating in situ crotonate initiators for which the carboxylate (–C(O)O−) is compensated for by the protonated TBD (TBDH+). Model experiments indicate that only a part of the TBD activates the polymerization in the early stage of the process and that potent initiators are produced all along the ROP course, especially at high temperature. Under such conditions, most of the produced PBL chains are end-capped by both crotonic and –C(O)O−, TBDH+ moieties as proven by DOSY NMR experiments. While MALDI/ESI-MS analyses confirm that most of the PBL chains are indeed obtained from an AROP, kinetic experiments clearly demonstrated the uncontrolled behaviour of such a process.

### Experimental

**Materials**

\((R,S)\) β-Butyrolactone (BL, +98% Aldrich) and \((R,S)\)-benzylcarbonyl-3,3-dimethyl-2-oxetanone (dMMLABe) were purified and synthesized as reported in ref. 8h and 11, respectively. 1-Pyreneacetic acid (PyCOOH, 98%, Aldrich) and 1,5,7-triazabicyclo-[4.4.0]dec-5-ene (TBD, 98%, Aldrich) were dried overnight at 80 °C under vacuum. Crotonic acid (99%, Fluka) was used.
as received. Chemicals were stored and manipulated in a glovebox (H₂O < 3 ppm, O₂ < 1 ppm).

**General polymerization procedure**

In a glovebox, a vial with a stir bar was charged with BL and TBD (regarding the targeted DP). The sealed vial was stirred at 60 °C in an oil bath out of the glovebox. After adequate reaction time, the reaction was cooled down to room temperature and crude mixtures were analysed by ¹H-NMR and SEC analyses.

**Methods**

¹H NMR-spectra were recorded using Bruker AVANCEII 500 apparatus at r.t. in CDCl₃ (10 mg per 0.6 mL) or at different temperatures in CD₃CN (2 mg per 0.6 mL). Temperature-dependent experiments were performed between 25 °C and 70 °C thanks to a BVT-3200 unit, with a 5 min stabilizing time between each temperature.

Size exclusion chromatography (SEC) was performed in THF (+2 vol% NEt₃) at 35 °C using a Triple Detection Polymer Laboratories liquid chromatograph equipped with a refractive index (ERMA 7517), a UV detector (254 nm), a capillary viscometry, a light scattering RALS (Viscotek T-60) (Polymer Laboratories GPC-R1/CV/RALS) and an automatic injector (Polymer Laboratories GPC-R1/UV) and four columns: a PL gel 10 µm guard column and three PL gel Mixed-B 10 µm columns (linear columns for separation of MWPS ranging from 500 to 10⁶ daltons).

Positive-ion MALDI-Mass Spectrometry (MALDI-MS) experiments were recorded using a Waters QToF Premier mass spectrometer equipped with a Nd:YAG (third harmonic) operating at 355 nm with a maximum output of 65 µJ delivered to the sample in 2.2 ns pulses at 50 Hz repeating rate. Time-of-flight mass analyses were performed in the reflectron mode at a resolution of about 10 000. All the samples were analysed using trans-2-[3-(4-tert-butylphenyl)-2-methylprop-2-enylidene] malononitrile (DCTB) as the matrix. This matrix was prepared as 40 mg mL⁻¹ solution in CHCl₃. This matrix solution (1 µL) was applied to a stainless steel target and air-dried. Polymer samples were dissolved in THF to obtain 1 mg mL⁻¹ solutions and 50 µL of 2 mg mL⁻¹ NaI solution in acetonitrile has been added to the polymer solution. Therefore, 1 µL of this solution was applied onto the target area already bearing the matrix crystals, and air-dried. For the recording of the single-stage MS spectra, the quadrupole (rf-only mode) was set to pass all the ions of the distribution, and they were transmitted into the pusher region of the time-of-flight analyzer where they were mass analyzed with 1 s integration time. Data were acquired in continuum mode until acceptable averaged data were obtained.

The electrospray ionization mass spectrum was recorded using a Waters Synapt G2-Si mass spectrometer. The solution (~10−6 mol L⁻¹ in acetonitrile) is directly infused in the ESI source with a typical flow rate of 5 µL min⁻¹, with a capillary voltage of 3.1 kV, a source temperature of 100 °C and a desolvation temperature of 200 °C. The quadrupole was set to pass ions from 100 to 2000 Th and all ions were transmitted into the pusher region of the time-of-flight analyzer (resolution ~20 000) for mass-analysis with 1 s integration time. Data were acquired in continuum mode until acceptable average data were obtained.

NMR DOSY experiments were recorded on an AVANCEII 500 spectrometer equipped with a superconducting magnet of 11.75 T (Bruker, Karlsruhe, Germany). Bipolar gradient pulses with two spoil gradients were used to measure the diffusion coefficients (BPP-LED pulse sequence). The value of the gradient pulse length δ was 2 ms, while the value of the diffusion time Δ was set to 200 ms or 250 ms depending on the polymer size. The pulse gradients were incremented in 16 steps from 2% to 95% of the maximum gradient strength (53.5 G cm⁻¹) in a linear ramp and the temperature was set at 25 °C. The DOSY spectra were obtained from the TOPSPIN 2.1 software and the diffusion curves were extracted on 3 different peaks of the polymer and of the catalyst to measure precisely their respective diffusion coefficients. In each case, the mono-exponential diffusion curves were fitted with the well-known eqn (1) to extract the diffusion coefficients. The averaged diffusion coefficient was then calculated for the polymer and for TBD based on these 3 measurements.

\[
I = I_0 \exp\left[-\gamma^2 g^2 D \delta^2 (\Delta - (\delta/3) - (\tau/2))\right]
\]

where \(I_0\) is the intensity at 0% gradient, \(\gamma\) is the gyromagnetic ratio, \(g\) is the gradient strength, \(D\) is the diffusion coefficient, \(\delta\) is the gradient pulse length, \(\Delta\) is the diffusion time and \(\tau\) is the interpulse spacing in the BPP-LED pulse sequence.

**Conflicts of interest**

There are no conflicts to declare.

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**Notes and references**


13. (a) C. Sabot, K. A. Kumar, C. Antheauerne and C. Mioskowski, *J. Org. Chem.*, 2007, 72, 5001; (b) Also note that the intensities of the TBD protonic signals are different in the commercially available TBD batches.


16. Note here that the ability of the PyCOOH/TBD mixture (1/1 molar ratio) to lead the BL ROP at 60 °C has primarily been attested. Details are reported in the ESI.†
