

Uncovering the Aggregation-Induced Emission Mechanisms of Phenoxazine and Phenothiazine Groups

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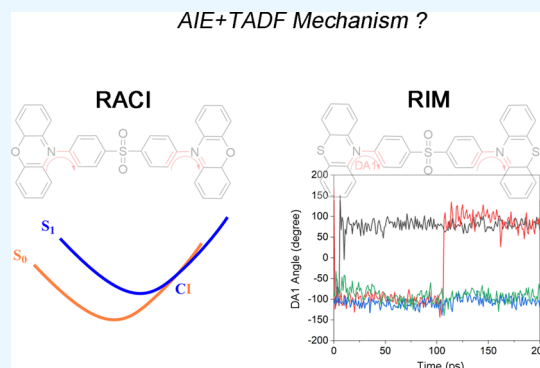
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ABSTRACT: Molecules with both aggregation-induced emission (AIE) and thermally activated delayed fluorescence (TADF) properties are potential organic light-emitting diode materials; however, the AIE and TADF mechanisms are still debatable. In this work, four molecules incorporating carbazole (Cz), phenoxazine (PXZ), and phenothiazine (PTZ) as donor groups to the diphenylsulfone acceptor were investigated. The experiment results indicate that a molecule containing Cz exhibits solely TADF properties, whereas molecules containing PXZ and PTZ demonstrate both TADF and AIE characteristics. As for DPS-PTZ, the result indicates that the thin-film environment restricts molecular twisting, consequently reducing nonradiative decay, thereby attributing to the AIE property by density functional theory and molecular dynamics simulation. As for DPS-PXZ, the result suggests that the restricted access to a conical intersection in a singlet excited via an expansion in the C–S–C angle is the pivotal factor for the AIE characteristic. The C–S–C angle twist of DPS-PXZ is impeded in the aggregate state and resulted in luminescence. Understanding the mechanisms serves as a valuable guide for the development of new AIE systems, enabling their application in various practical domains.



1. INTRODUCTION

The organic light-emitting diode (OLED) technologies have presented a continual challenge for chemists ever since Tang and Van Slyke's pioneering report on OLED in 1987.¹ Examining the history of OLED materials, the purely organic materials with delayed fluorescence possess theoretically a 100% internal quantum efficiency due to their small singlet–triplet energy splitting (ΔE_{ST}) and efficient conversion of triplet excitons (75%) into singlet excitons.^{2–5} However, achieving high efficiency remains a complex issue due to the occurrence of aggregation-caused quenching (ACQ) effects when considering the application of OLED applications. ACQ effect typically arises when luminophore is utilized in the aggregate state as thin solid films.^{6,7}

In 2001, Tang and colleagues observed a substantial increase in fluorescence upon adding water to a solution of 1-methyl-1,2,3,4,5-pentaphenylsilole in ethanol, a phenomenon termed aggregation-induced emission (AIE). Unlike conventional chromophores, luminogens exhibiting AIE effectively overcome ACQ issues, where their emissions are augmented by aggregation.⁸ Subsequently, the Tang group played a pivotal role in significantly advancing the application of AIE phenomena, as evidenced by a substantial body of reviews.^{9–12} Since the inception of the AIE concept, numerous hypotheses have been proposed to elucidate AIE mechanisms.¹³ These include the restriction of intramolecular motion,^{14–18} restricted access to a conical intersection,¹⁹ excimer formation,

J-aggregates,²⁰ twisted intramolecular charge transfer (ICT) states,^{21,22} and excited-state intramolecular proton transfer.²³ Thanks to the concerted efforts of scientists worldwide, numerous AIEgens based on the restriction of intramolecular motion mechanisms have been developed. These include tetraphenylethene,²⁴ tetraphenylpyrazine,²⁴ silole,²⁵ quinoline-malononitrile,²⁶ cyanostilbene,²⁷ 9,10-distyrylanthracene,²⁸ and organoboron complexes.²⁹

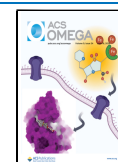
Experimental evidence has consistently demonstrated that the active intramolecular motion observed in solution becomes restricted upon aggregation or in the solid state. Various methods in experiments have been employed to restrict molecular motions, including incorporating chromophores into high-viscosity media, reducing temperature, doping them within rigid polymer matrices, or embedding them into metal–organic frameworks.^{30–34} These molecules typically feature both electron donor and acceptor units, indicating a strong influence of solvent polarity on the properties of the electronic states. Time-resolved fluorescence spectra indicate

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that the efficient occurrence of AIE arises from the elimination of ICT states due to the gradual transition from the local excited state to the ICT with increasing solvent polarity. Consequently, the AIE mechanism stems from the restriction of molecular torsional motion and the hindered transition from the local excited state to the ICT state.³⁵ Additionally, the AIE mechanism involves the inhibition of nonradiative pathways, specifically the vibrational/torsional energy relaxation process that is impeded in the aggregate state. Studies focusing on boron dipyrromethene derivatives suggest a restricted twisted ICT process.³⁶

The molecular engineering aimed at imparting both thermally activated delayed fluorescence (TADF) and AIE characteristics holds promise in realizing efficient nondoped OLEDs with reduced efficiency roll-off and simplified fabrication processes.³⁷ AIE emission materials exhibit exceptional solid-state emission by mitigating concentration quenching and exciton annihilation, while TADF materials efficiently utilize both electrogenerated single and triplet excitons. Consequently, the collaboration of AIE and TADF presents a rational approach to designing novel, robust luminescent materials. The coexistence of the AIE and TADF phenomena represents a surprising experimental discovery. Despite the recognition of the restriction of intramolecular motion as the general working mechanism for AIE,³⁸ the underlying mechanisms of some AIE systems remain unclear. Both theoreticians and experimentalists have dedicated efforts to unraveling the AIE mechanism through various works.

Until now, numerous research groups have documented successful instances of combining notable TADF and AIE properties.^{39–45} To gain a deep understanding of the working mechanism of AIE-TADF, it is essential to comprehend the structural disparities between typical AIE-TADF and TADF compounds. Utilizing density functional theory methods, a series of structurally identical luminogens (Figure 1) featuring

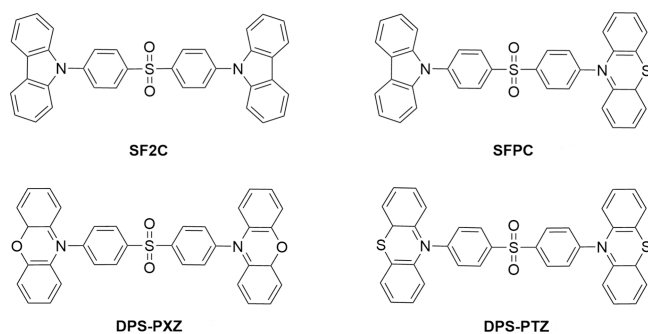


Figure 1. Molecular structures of SF2C, SFPC, DPS-PXZ, and DPS-PTZ.

a donor–acceptor framework have been studied. In particular, four molecules containing carbazole (Cz), phenoxazine (PXZ), and phenothiazine (PTZ) as donor groups to diphenylsulfone acceptor have been previously reported.³⁷ Notably, the experimental results revealed that even a single change in the donor unit results in a dramatic difference in properties: certain molecules exhibit both TADF and AIE properties, while others solely possess TADF characteristics. Subsequently, a comprehensive assessment of various properties was computed to discern the distinctions among these molecules.

2. RESULTS AND DISCUSSION

Actually, two DPS-PTZ conformations (quasi-axial and quasi-equatorial) have been demonstrated in experiments, and these different conformations also affect the AIE property. The work by Aydemir et al. suggests that the AIE behavior of DPS-PTZ might be a result of solvatochromism demonstrated by various experimental methods.⁴⁵ Initially, we optimized both conformations and investigated their electronic properties, as depicted in Figure S1. The energy difference between them is small, at 8 kJ/mol, suggesting that these two conformations (quasi-axial and quasi-equatorial) could coexist under experimental conditions. As illustrated in Figure S1, the two DPS-PTZ conformations exhibit notably different HOMO and LUMO distributions. Regarding the HOMO to LUMO transition, DPS-PTZ with the quasi-axial conformation shows a local excited state and little solvent stabilization, while DPS-PTZ with the quasi-equatorial conformation displays a charge transfer state and undergoes far greater solvent stabilization in polar media. Based on experimental and theoretical results, we speculate that the emission shift may originate from DPS-PTZ with a quasi-equatorial conformation. Furthermore, the AIE behavior is attributed to the reduction of nonradiative decay rate, possibly from DPS-PTZ with quasi-axial conformation, or both conformations in a thin film environment. Consequently, we further investigate the AIE mechanism originating from PXZ and PTZ groups by choosing DPS-PTZ with a quasi-axial conformation.

For a comprehensive understanding of the solvent effect on the electronic structures of SF2C, SFPC, DPS-PXZ, and DPS-PTZ, geometric optimizations were conducted using the density functional theory (DFT) method in toluene (TOL), tetrahydrofuran (THF), and dimethyl sulfoxide (DMSO) solvents. In the ground state (S_0), Cz and PXZ components adopt planar and rigid conformations. Conversely, the PTZ moiety exists in a bonding structure due to a sulfur bridge linking two phenyl rings, resulting in the formation of a nonplanar “butterfly like” structure with a C–C–S–N dihedral angle of approximately 35° . Subsequently, HOMO and LUMO energy levels in TOL, THF, and DMSO solvents were computed based on the optimized S_0 structures (in Figure 2a). The influence of the solvent type exhibited a subtle effect on the HOMO and LUMO energy levels of SFPC and SF2C. However, for DPS-PXZ and DPS-PTZ, there were observable variations; the LUMO of DPS-PXZ increased, while that of DPS-PTZ decreased with rising solvent polarity. Figure 2b illustrates structural comparisons of S_0 conformations in TOL, THF, and DMSO solvents. In the case of SF2C and DPS-PXZ, their structures remained largely unchanged in these solvents due to the planar and rigid conformation of the PXZ group. Conversely, the bonding structure of PTZ exhibited significant alterations with varying solvent polarities, particularly in SFPC.

Based on the above discussions, the S_0 geometry of the molecules showed minimal alteration with increasing solvent polarity, indicating a subtle change in the frontier molecular orbitals in different solvents. Figures 2c and S2 illustrate the HOMO and LUMO distributions. Observing the HOMO and LUMO distributions in TOL, THF, and DMSO solvents, a remarkable similarity is found for each molecule. In the case of SF2C, SFPC, and DPS-PXZ, their HOMO predominantly extends over the electron-donating groups (PXZ and PTZ), while the LUMO is primarily localized on the diphenylsulfone acceptor. This conformation indicates a notable separation

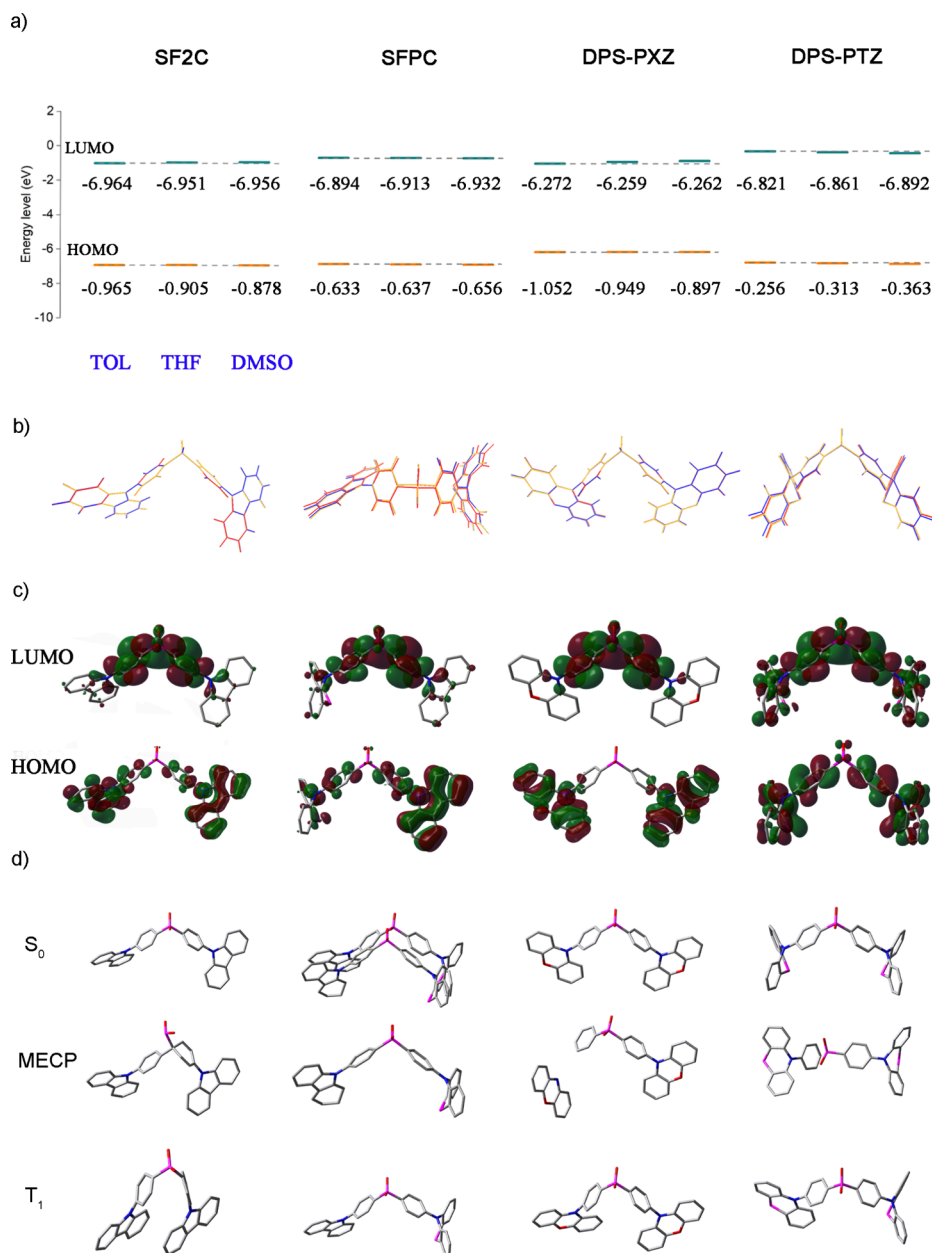


Figure 2. (a) Calculated frontier molecular orbital distributions and energy levels of SF2C, SFPC, DPS-PXZ, and DPS-PTZ in toluene/TOL, tetrahydrofuran/THF, and dimethyl sulfoxide/DMSO solvents. (b) Ground-state structures' comparison of SF2C, SFPC, DPS-PXZ, and DPS-PTZ in TOL (orange), THF (blue), and DMSO (red) solvents. (c) Frontier molecular orbital distributions of SF2C, SFPC, DPS-PXZ, and DPS-PTZ in the TOL solvent. (d) The optimized ground-state, minimum-energy crossing points and triplet excited-state geometries of SF2C, SFPC, DPS-PXZ, and DPS-PTZ in the TOL solvent.

between HOMO and LUMO, contributing to improved electronic characteristics. Conversely, for DPS-PTZ, the HOMO and LUMO distributions exhibit substantial delocalization across the entire molecular structure, leading to significant overlap between the HOMO and LUMO orbitals. This characteristic indicates less separation between these orbitals compared to the other molecules mentioned, impacting its electronic properties differently.

The structural comparisons among S_0 , triplet excited state (T_1), and minimum energy crossing points (MECP) in TOL solvent are depicted in Figure 2d, and those in THF and DMSO solvents are shown in Figure S3. Taking the structures in TOL as an example, for DPS-PXZ, the donor and acceptor moieties exhibited near-perpendicular alignment, as evident

from the geometric arrangement in Figure 2d. However, for SF2C, SFPC, DPS-PXZ, and DPS-PTZ, achieving a MECP structure was unfeasible. For instance, in the case of DPS-PXZ, the PXZ group in the MECP structure appeared to dissociate partially, while for DPS-PTZ, the benzene moiety of diphenylsulfone in the MECP structure was disrupted. These observations highlight the impracticality of attaining a viable MECP structure for these molecules. This failure is advantageous as it ensures the population of the T_1 and facilitates the process of reverse intersystem crossing from T_1 to singlet excited state (S_1) for SF2C, SFPC, DPS-PXZ, and DPS-PTZ, leading to the TADF property. Figure S4 depicts the S_0 , S_1 , and T_1 excited-state potential energy surfaces. If the MECP of S_0 and T_1 is available, more populated T_1 will turn back to the S_0

via nonradiative path. The decreased T_1 population would weaken the conversion between S_1 and T_1 when the S_1 - T_1 energy gap is fixed because the conversion between S_1 and T_1 is reversible. Instead, if the MECP of S_0 and T_1 is unavailable, the T_1 population would be in favor of the conversion from S_1 to T_1 through the reverse intersystem crossing process.

The study listed in Table 1 concentrated on assessing singlet–triplet energy splitting (ΔE_{ST}) and spin–orbit

Table 1. Calculated Singlet–Triplet Energy Splitting and Spin–Orbit Coupling of SF2C, SFPC, DPS-PXZ, and DPS-PTZ in TOL, THF, and DMSO Solvents.

$\Delta E_{ST}/\text{eV}$	SF2C	SFPC	DPS-PXZ	DPS-PTZ
TOL	0.289	0.536	0.247	0.335
THF	0.367	0.496	0.464	0.334
DMSO	0.536	0.471	0.578	0.333
SOC/ cm^{-1}	SF2C	SFPC	DPS-PXZ	DPS-PTZ
TOL	0.226	0.291	0.824	0.028
THF	0.226	0.306	0.816	0.000
DMSO	0.142	0.293	0.846	0.014

coupling (SOC) parameters. The calculated results underscore the importance of a small ΔE_{ST} for facilitating the TADF emission. Notably, the ΔE_{ST} values appear to correlate with the type of solvent used. For instance, the ΔE_{ST} values of SF2C and DPS-PXZ show an increase with a rise in solvent polarity. Conversely, for SFPC and DPS-PTZ, the ΔE_{ST} values decrease as the solvent polarity increases. In contrast, the type of solvent seems to exert negligible influence on the SOC values. For instance, the SOC values of SFPC are measured at 2.191, 0.306, and 0.293 cm^{-1} in TOL, THF, and DMSO solvents, respectively. Interestingly, the SOC values of DPS-PTZ are observed to be close to zero in each solvent.

These molecules share a common diphenylsulfone acceptor but possess distinct donor groups, namely, Cz, PXZ, and PTZ. Remarkably, a disparity in their properties arises from the alteration of just one donor unit. To delve deeper into the mechanisms behind these intriguing AIE phenomena, this study includes molecular dynamics investigations conducted on both single molecules and their aggregate states. These studied molecules are in donor–acceptor models, and it is observed that the variation in geometry following electron excitation can often be attributed to the dihedral angle between the donor and acceptor units. For example, the atomistic molecular dynamics simulation of deposition process, based on fluorescent molecules, discovered that the torsion angles between donor and acceptor groups have a broadened distribution around 90° due to the thermal fluctuation and intermolecular interaction.⁴⁶ Based on well-known 1,2-bis-(carbazol-9-yl)-4,5 dicyanobenzene (2CzPN) and (4CzIPN), the theoretical simulation of bulk amorphous phase also indicated that the torsion angles between donor and acceptor are in a broad distribution, and the reverse intersystem crossing is a dynamical process with the varying molecular structures.^{47,48} Consequently, the changes in this angle between the donor and acceptor units can significantly influence the molecular behavior, contributing to the observed differences in properties among molecules with different donor groups.

Therefore, this work was focused on analyzing the changes in DA1 and DA2 dihedral angles (in Figure 3a). The DA1 and DA2 concerning single molecule and clusters comprising 300 molecules at temperatures of 298 and 500 K, as depicted in

Figure 3b. For SF2C and DPS-PXZ, whether in their single molecule or aggregate state, minimal changes in DA1 and DA2 are observed, regardless of the temperature (298 or 500 K). Similar stability was found for DA1 of SFPC. However, the DA2 of SFPC in the single molecule exhibited significant variation with a temperature shift from 298 to 500 K. Interestingly, while the DA2 of SFPC in the single molecule was strongly influenced by temperature, its counterpart in the aggregate state experienced relatively minor alterations. This suggests that the surrounding molecules in the SFPC cluster tend to constrain the rotation of DA2, consequently avoiding nonradiative decay channels. The DA1 and DA2 cases for DPS-PTZ are interesting; at 298 K, the DA1 in the single molecule exhibited minor fluctuations. However, at 500 K, the DA1 showed a substantial decrease initially from 0 to 100 ps, followed by stabilization from 100 to 200 ps. Conversely, the DA1 of DPS-PTZ in the aggregate state remained relatively stable at both 298 and 500 K, indicating that changes in temperature had minimal impact on the dihedral angle between the donor and acceptor groups in the aggregate state. Moreover, at 500 K, the DA2 of DPS-PTZ in the aggregate state demonstrated significant changes. These findings suggest that temperature and the surrounding environment exert less influence on Cz and PXZ compared to PTZ. Cz and PXZ with their planar and rigid conformations appear to be less affected by the temperature and environmental changes. However, the bonding PTZ group exhibits a more considerable sensitivity to temperature variations and environmental conditions, leading to noticeable fluctuations in both DA1 and DA2.

Molecular dynamics simulations focused on analyzing the variations of DA1 and DA2 dihedral angles in a TOL solvent environment (in Figure 3c). The boxes comprising 200 solvents with five or 35 target molecules are delineated. The calculated results revealed notable differences in DA1 and DA2 between the boxes housing 35 target molecules versus those with only five. In particular, for DPS-PTZ, the boxes with 35 molecules displayed significantly reduced fluctuations in DA1, approaching a more stable horizontal trend during certain time periods. This illustrates that the dihedral angle between the donor and acceptor becomes less fluctuant with an increase in the number of surrounding target molecules. This sensitivity to the surrounding environment indicates that higher target molecule densities result in less variation in these dihedral angles. In polar solvents, the rotatable D–A bond tends to exhibit greater flexibility. However, in an aggregate state or low-polarity environments, this flexibility is restrained due to the less polar nature of the local environment, thereby restricting the twist of the D–A bond. This observation aligns with studies suggesting that doping in thin films mirrors behavior akin to low-polarity solvent environments. Taking the box containing 200 solvents and 35 target molecules as an example, it was observed that SF2C and SFPC in TOL solvent exhibited significant fluctuations in DA1 and DA2. Conversely, DPS-PTZ showed minimal fluctuations in low-polarity solvent conditions, suggesting that the twist in PTZ is constrained. Molecular dynamics investigations further indicate that in thin film the PTZ component of DPS-PTZ experiences restricted twisting, contributing to its AIE property.

The AIE characteristic is widely acknowledged to arise from a restricted rotation in the aggregate state. To further explore this, a comparison between S_0 and S_1 geometries in different solvents was conducted, utilizing root mean square deviation

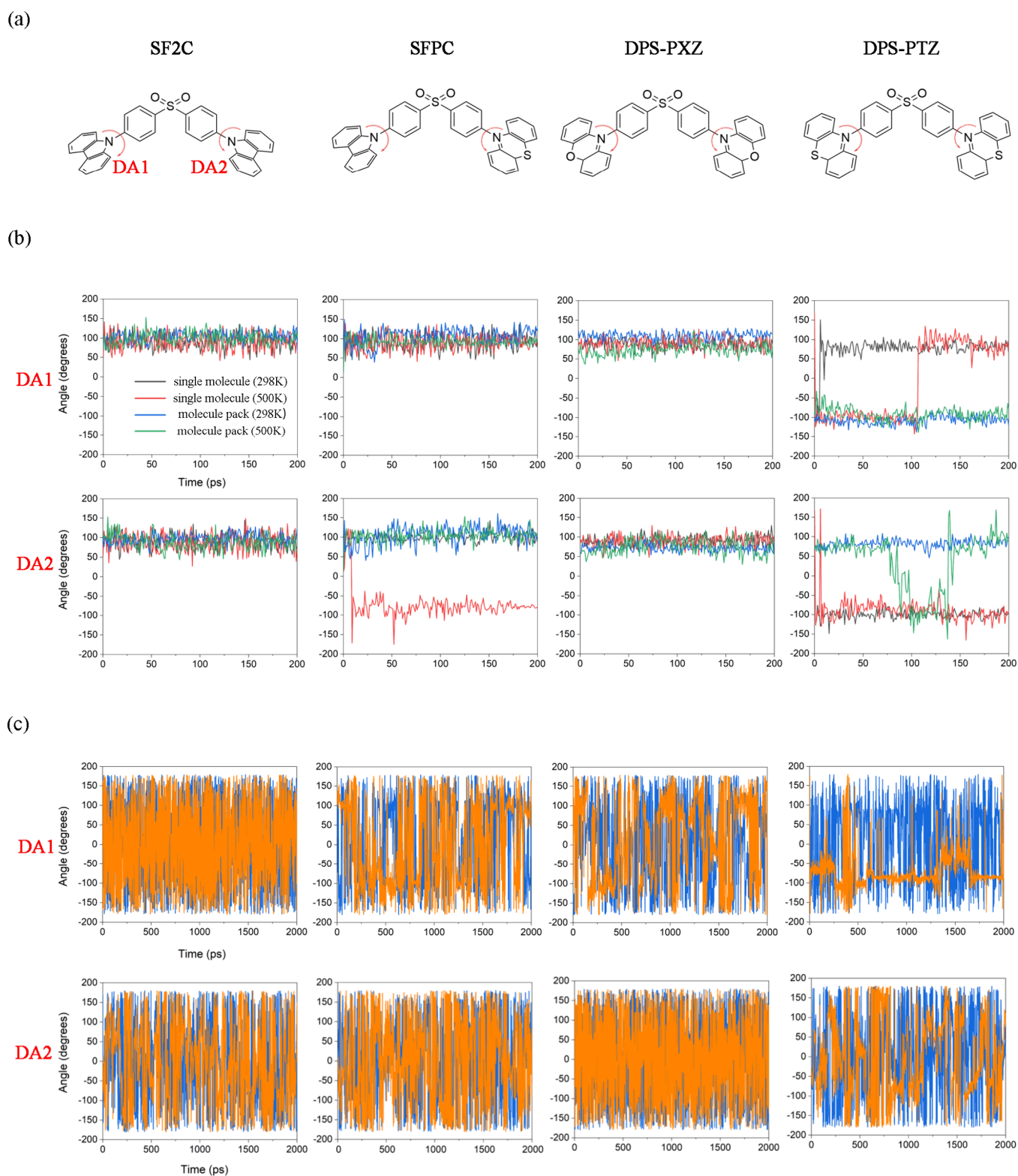


Figure 3. (a) Molecular structures of SF2C, SFPC, DPX-PXZ, and DPS-PTZ. (b) Plots of DA1 and DA2 angles for single molecule and 300 molecular cluster as a function of time. (c) Plots of DA1 and DA2 angles for boxes containing 200 solvents and 5 (in blue) or 35 (in yellow) target molecules as a function of time.

(RMSD) parameter. Smaller RMSD values indicate minimal structural changes during the relaxation process of the electron in the excited state. Figure 4a illustrates that DPS-PTZ exhibits relatively larger RMSD values in comparison to SF2C, SFPC, and DPS-PXZ. This suggests more significant structural

alterations during the excited state relaxation process in DPS-PTZ. In particular, the geometric comparison highlights a noticeable increase in the twist of the PTZ component within DPS-PTZ. This substantial twist indicates a higher tendency for nonradiative decay in DPS-PTZ. However, molecular

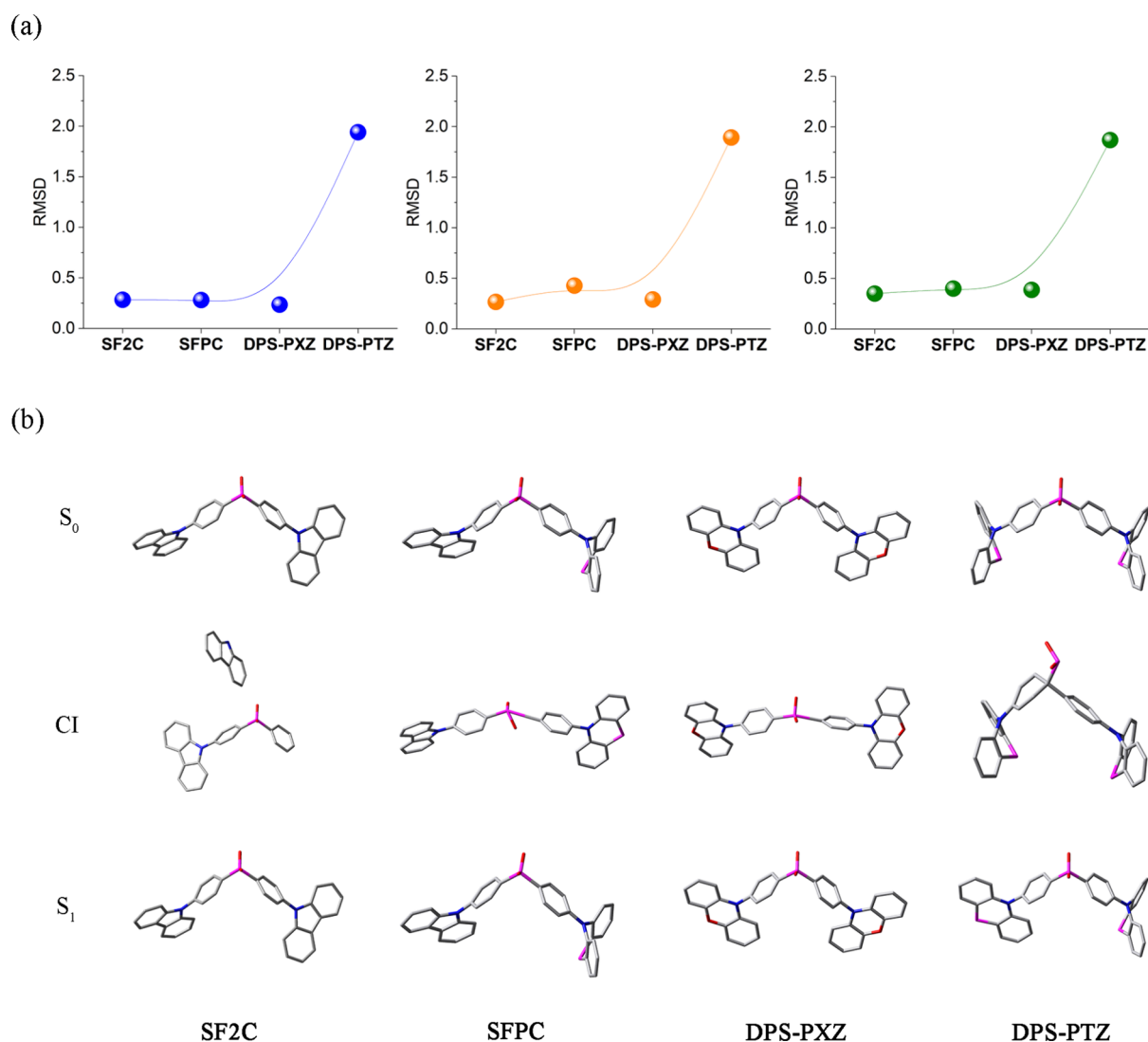


Figure 4. (a) Root-mean-square deviation between the ground-state and singlet excited-state geometries of SF2C, SFPC, DPS-PXZ, and DPS-PTZ in TOL. (b) Optimized ground-state, conical interaction, and singlet excited-state geometries of SF2C, SFPC, DPS-PXZ, and DPS-PTZ in TOL.

dynamics results indicate that this decay is remarkably suppressed in the aggregate environment. In addition, we have performed S_1 potential energy surface by twisting Cz, PXZ, and PTZ groups with a range from 0 to 90° with a scan step of 10° (Figure S5). Different from Cz group, the oscillator strength values undergo a small variation with twisting PXZ or PTZ group, indicating that the AIE behaviors of DPS-PXZ and DPS-PTZ possibly originated from the part of nonradiative decay. The combination of molecular dynamics investigations and quantum calculations strongly suggests that the AIE property observed in DPS-PTZ originates from the restriction imposed on the PTZ component in the aggregate state. This restriction in the aggregate state acts as a critical factor in inhibiting the nonradiative decay of DPS-PTZ, consequently leading to its AIE behavior.

The further optimization of the S_0/S_1 conical intersection (CI) structures of SF2C, SFPC, DPS-PXZ, and DPS-PTZ in TOL using the ORCA program was conducted and is depicted in Figure 4b. Upon analysis, it was observed that the S_0 and S_1 structures of SF2C, SFPC, and DPS-PXZ are notably similar, confirmed by their small RMSD values (in Figure 4a). However, for SF2C, the Cz component displays dissociation

in the CI structure, rendering it an unreasonable conformation. In the CI structure of SFPC, the previously bonding PTZ component adopts a planar conformation. This transition from bonding to a planar structure is distinctive in the CI conformation of SFPC. Similarly, for DPS-PXZ, the structures of CI, S_0 , and S_1 are highly similar, displaying nearly vertical donor and acceptor groups. The primary difference lies in the C–S–C angle, which is greater in the CI structure compared with S_0 and S_1 structures. Consequently, the CI structure of DPS-PXZ easily transitions via twisting C–S–C angle in a loose solvent environment to reach S_0 through a nonradiative pathway. However, in an aggregate state, the suppression of C–S–C twisting makes it difficult to achieve a CI structure. That explains why the S_1 state emits fluorescence and elucidates the underlying reason for the AIE property observed in DPS-PXZ. On the other hand, DPS-PTZ showcases significant discrepancies between S_0 and S_1 , and the PTZ group in the S_1 structure even adopts a planar conformation, resulting in an unattainable CI structure. As a result, achieving the CI structure for DPS-PTZ is rendered impossible due to these structural variations between the S_0 and S_1 conformations.

3. CONCLUSIONS

The aim of this study was to uncover the underlying AIE and TADF mechanisms involving phenoxazine (PXZ) and phenothiazine (PTZ) groups. The TADF property of four molecules was established through small singlet–triplet energy splitting (ΔE_{ST}) and substantial spin–orbit coupling (SOC) constants. Notably, the absence of a minimum energy crossing point (MECP) structure was instrumental in ensuring the population of the triplet state (T_1) and facilitating reverse intersystem crossing (RISC) from T_1 to the singlet state (S_1) for all molecules. The ground-state (S_0) structures of SF2C and DPS-PXZ remained relatively unaffected by varying TOL, THF, and DMSO solvents due to the planar and rigid conformations of the PXZ group. However, SFPC experienced considerable structural changes attributed to the bonding structure of the PTZ group, resulting in variations in solvent polarity. Moreover, while the RMSD values between S_0 and S_1 were minimal for SF2C, SFPC, and DPS-PXZ, DPS-PTZ exhibited comparatively larger RMSD values, indicating a noticeable increase in the PTZ twist. This higher tendency for nonradiative decay in DPS-PTZ was found to be substantially suppressed in an aggregate environment, leading to its AIE behavior. The integration of molecular dynamics studies and quantum calculations highlighted that the AIE property observed in DPS-PTZ stemmed from the restricted behavior of the PTZ group in the aggregate state. In thin films, the surrounding environment constrained the PTZ twist, reducing nonradiative decay and prompting the AIE property of DPS-PTZ. Furthermore, the density functional results underscored that in loose solvent environments, the CI structure of DPS-PXZ was easily attainable via the C–S–C twist, transitioning to S_0 through a nonradiative pathway. However, in an aggregate state, the suppression of the C–S–C twist made achieving the CI structure challenging, with the fluorescence-emitting S_1 state becoming prominent. The formation of the CI structure in DPS-PXZ emerged as a pivotal factor contributing to its AIE property. Due to different AIE mechanisms, the further modifications of DPS-PXZ and DPS-PTZ are different. To enhance luminescence efficiency, restricting the rotation of the donor–acceptor bond is effective for DPS-PTZ, whereas suppressing the C–S–C twist to prevent the formation of the CI structure is effective for DPS-PXZ. Consequently, understanding these mechanisms holds significant promise in offering design guidelines for developing new AIE systems with practical applications.

■ ASSOCIATED CONTENT

SI Supporting Information

The Supporting Information is available free of charge at <https://pubs.acs.org/doi/10.1021/acsomega.4c01565>.

Optimized structures of DPS-PTZ; frontier molecular orbital distributions of SF2C; optimized ground state, minimum energy crossing points; ground-state (S_0), singlet (S_1), and triplet; and oscillator strength changes with varying dihedral angles (PDF)

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Notes

The authors declare no competing financial interest.

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