

A study on optimum transition state and tautomeric structures of a bis-heterocyclic monoazo dye

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Abstract: In this study, possible tautomeric forms and ground state conformers of a bis-heterocyclic monoazo dye, 4-[ethyl 4'-methyl-5'-(phenylcarbamoyl)thiophene-3'-carboxylate-2'-ylazo]-3-methyl-1H-pyrazolin-5-one, have been calculated using density functional theory methods with 6-31G (*d*) basis set. ¹H and ¹³C chemical shifts of tautomeric forms have been calculated. Calculated vibrational frequencies and chemical shifts have been compared with corresponding experimental data. Using time-dependent Hartree–Fock method, electronic absorption spectrum of title compound has been calculated and compared with experimental maximum wavelength data. Quantum Synchronous Transit2 approaches have been used for finding the optimum transition state and tautomeric forms of studied molecule. Calculations have shown that the most probable preferential form of this molecule in ground state is hydrazo-keto form. The calculations of frontier molecular orbitals and first order hyperpolarizability have also confirmed this stability.

Keywords: Bis-heterocyclic monoazo dyes; Tautomeric form; Infrared spectra; Density functional theory

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1. Introduction

Azo compounds are quite colorful and have been extensively used in many technical applications such as coloring fibers, photo electronic applications, printing systems, optical storage technology, textile dyes as well as in many biological reactions [1–10]. Azo moieties have fungicidal and antibacterial properties and are used in the detection of trace metals in drinking water and food materials [11]. Monoazo disperse dyes with heterocyclic diazo components have been applied to hydrophobic fibres in commercial area [12]. Many articles on synthesis and dyeing properties of thiophene based azo dyes for synthetic fibres and collated polyester and wool fibres, are available [13–16]. Thiophene-containing azo dyes, on the other hand, have many advantages including a color deepening effect, as the molecular structure provides better dye ability. Heterocyclic nature of thiophene ring has also provided an opportunity for perfect sublimation fastness on the dyed fibers [17–19]. In conjunction to such compounds, synthesis and

spectral properties of some heterocyclic azo dyes have been reported [20–22]. Also, absorption abilities and tautomeric structures of some bis-heterocyclic monoazo dyes based on thiophene ring have been examined by some researchers [23].

Purpose of this study is to investigate a bis-heterocyclic monoazo dye, 4-[ethyl 4'-methyl-5'-(phenylcarbamoyl)thiophene-3'-carboxylate-2'-ylazo]-3-methyl-1H-pyrazolin-5-one theoretically, based on thiophene ring. In present study, optimized molecular geometries for tautomeric forms of this monoazo dye have been computed in order to establish the most stable ground state configuration. Thereafter, vibrational frequencies, ¹H and ¹³C nuclear magnetic resonance (NMR) shift values of their designed most stable conformers have been calculated. Combined studies of NMR and electronic spectroscopies have been recently carried out on various molecular systems by quantum chemistry calculation methods [24–26].

2. Calculation methods

Vibrational frequencies and optimized structures for three tautomeric forms of studied molecule were calculated by using ab initio density functional theory (DFT/B3LYP

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functional) methods at 6-31G (*d*) basis set level. All computations were performed using Gaussian 09 program package [27] and Gauss-View molecular visualization program [28] on personal computer. For computed frequencies, the scale factor of 0.9613 was used for B3LYP [29]. Vibrational assignments with the help of normal coordinate analysis (NCA) were made on the basis of potential energy distribution (PED) calculated by using Vibrational Energy Distribution Analysis (VEDA 4) program [30, 31]. In chemical shift calculations tetramethylsilane (TMS) was used as a reference molecule, and theoretical chemical shift ^1H and ^{13}C values were obtained by subtracting gauge-including atomic orbital (GIAO) isotropic magnetic shielding (IMS) values using DFT method at 6-31G (*d*) basis set level [32, 33]. Electronic absorption spectra were also calculated using time-dependent unrestricted HF (TD-UHF) method at 6-31G (*d*) basis set level. For locating transition structures the *Synchronous Transit-Guided Quasi-Newton* (STQN) Method, developed by Schlegel and coworkers [34, 35], used a linear synchronous transit to get closer to the quadratic region around the transition state and then used a quasi-Newton or eigenvector-following algorithm to perform the optimization. To find optimum transition states of these compounds, Quantum Synchronous Transit2 (QST2) approaches were used by taking their optimized tautomeric forms for azobenzene derivatives in previous study [36, 37].

3. Results and discussion

3.1. Potential energy surface scans and conformation analysis

In order to find the most stable conformers of studied compound and its tautomeric forms, detailed potential energy surface (PES) scans for τ_1 , τ_2 and τ_3 torsion angles have been performed. These essential torsion angles used for PES scans on azo-enol form are given in Fig. 1. For azo-enol form,

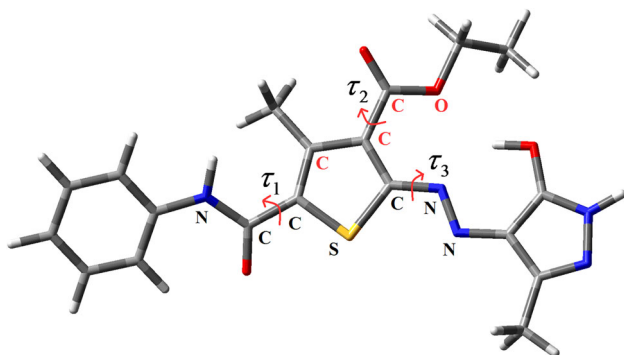


Fig. 1 Essential torsion angles on azo-enol form of studied compound for potential energy surface scans

scans are performed by changing τ_1 dihedral angle every 30° for 360° rotation (from 0° to 360°) and τ_2 dihedral angle every 30° for 360° rotation (from 180° to 540°) around the bond in steps 144, simultaneously. Then, scans have been performed by changing τ_3 dihedral angle every 10° from -180° to 180° for obtained minimum energy structures. All of PES scans have been performed by semi-empirical/Restricted Austin Model 1 (RAM1) method due to high number of scan steps and faster calculations in large molecules. Scan results on τ_1 and τ_2 dihedral angles for azo-enol structure are given in Fig. 2(a). Graph obtained by change of the τ_3 dihedral angle is also shown in Fig. 2(b). After scanning, three low-energy conformers have been optimized by DFT (B3LYP) method at 6-31G (*d*) basis set.

τ_1 , τ_2 and τ_3 dihedral angles calculated by using DFT/B3LYP method at 6-31G (*d*) basis set level for all the conformers of azo-enol form are listed in Table 1. Also, electronic energies, relative energies and mean vibrational deviations are given in Table 1. Relative energy values and calculated vibrational deviations, point to the lowest energy conformer I. As seen Table 1, mean vibrational deviation increases while relative energy increases. Relative energies and mean calculated vibrational deviations between conformers I and II or I and III are fairly high. Similar theoretical approach and analysis have been introduced to determine the low-energy structures for halogen-substituted acetylcholine compounds in previous study [38].

3.2. Optimized structures of tautomeric forms

Minimum energy optimized molecular structure and tautomeric forms (azo-enol and hydrazo-keto form) of studied compound with numeration of atoms are shown in Fig. 3(a)–3(c), respectively. All of these structures are obtained by using DFT/B3LYP method at 6-31G (*d*) basis set. Then, PES scans have been done by changing of bond length tautomeric O–H from 0.90 to 2.00 Å in steps of 0.05 Å using DFT–B3LYP methods at 6-31G (*d*) basis set. These results are shown in Fig. 4. As seen from the Fig. 4, hydrazo-keto form of the molecule is more stable. Relative and barrier energy values between the azo-enol and hydrazo-keto forms are 9.7, 12.9 kcal/mol, respectively.

3.3. Vibrational analysis

To find out the optimized geometry of studied compound, all selected computed frequencies and proposed vibrational assignments together with IR intensity are listed in Table 2. Experimental stretching vibration values are also given in this table [23]. Assignments of selected vibrational modes obtained by using VEDA 4 program are also given in Table 2. For calculated frequencies, values at DFT method are as follows: 3,521 and 3,485 cm^{-1} for NH, 3,089 cm^{-1}

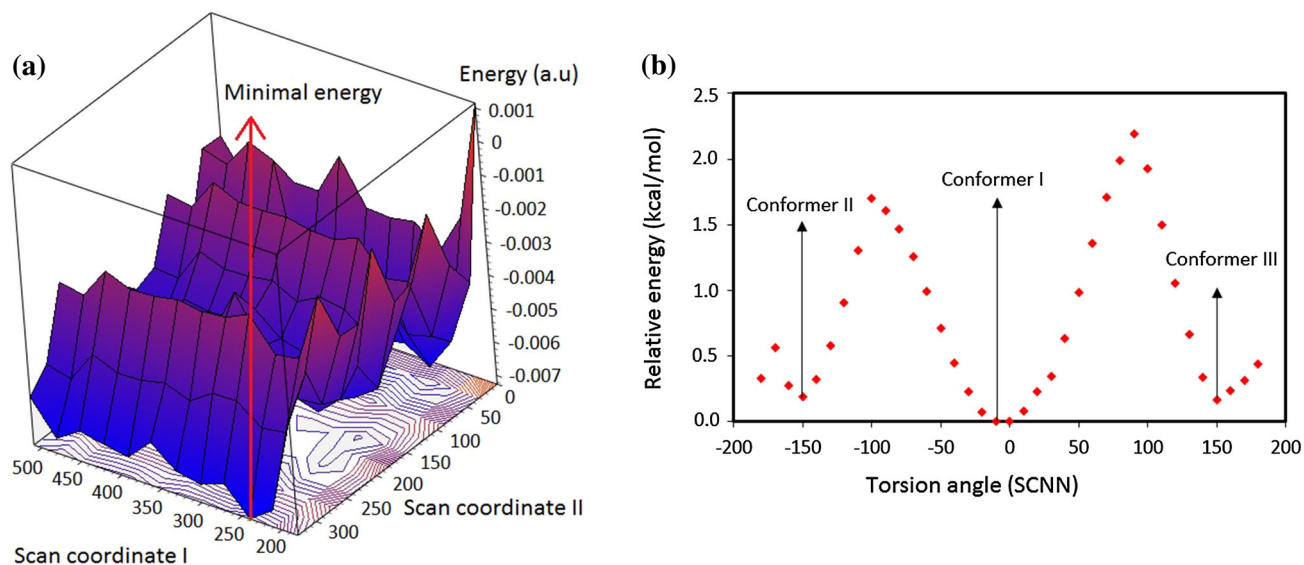


Fig. 2 Potential energy surface scan of azo-enol form of studied compound for selected torsional angles. (a) τ_1 [NCCS], τ_2 [CCCO] (simultaneously) and (b) τ_3 [SCNN]

Table 1 Sum of electronic and zero point energies, relative energies and mean calculated vibrational deviations between conformers of azo-enol form at density functional theory, 6-31G (d) basis set

Conformers	τ_1	τ_2	τ_3	Energy (Hartree/part.)	Relative energy (kcal/mol)	Vib. deviation $ \Delta v _{ave}$
<i>Azo-enol structure</i>						
I	153.6	-155.5	1.2	-1,707.916821	0.00	0.00
II	163.6	-131.5	-152.6	-1,707.907028	6.15	5.68
III	169.1	127.5	154.3	-1,707.906948	6.20	6.36

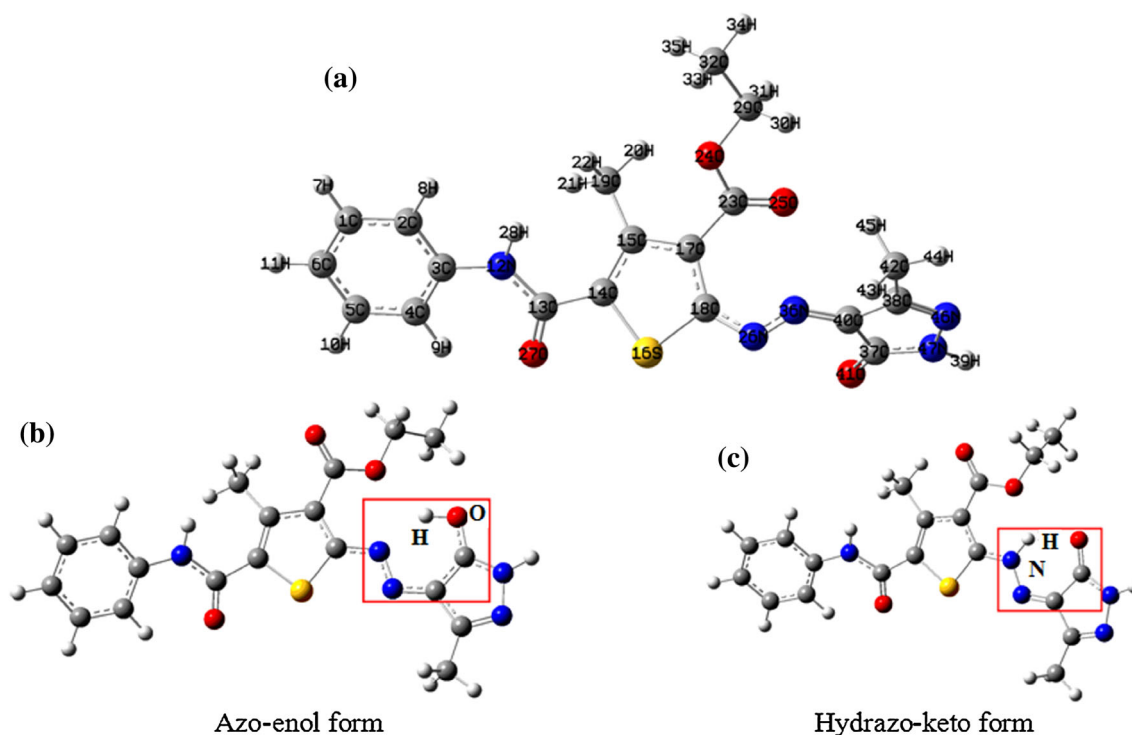


Fig. 3 Calculated optimized structures for (a) studied compound, (b) azo-enol form and (c) hydrazo-keto form

Fig. 4 Potential energy surface scan graph for tautomeric forms of studied compound

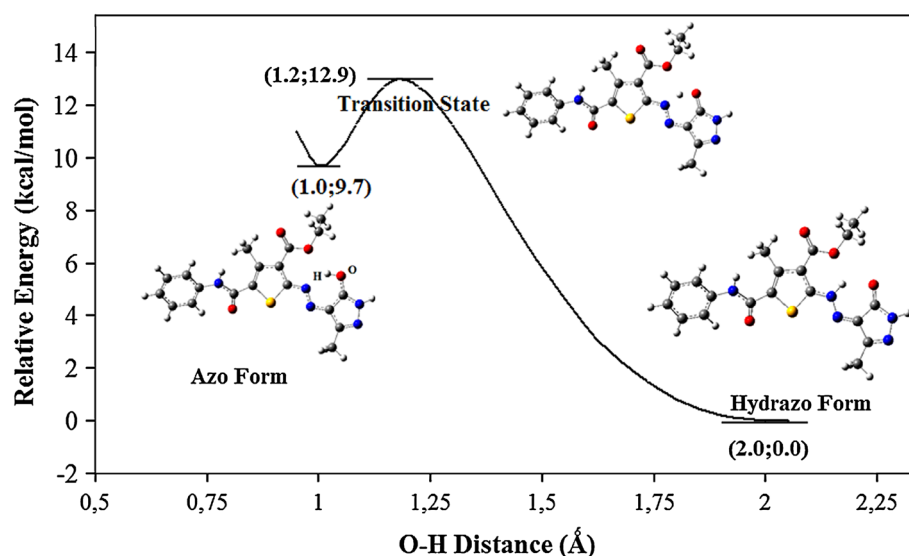


Table 2 Selected vibrational wavenumbers obtained for studied compound at density functional theory, 6-31G (d) basis set

Experimental IR ^a Frequencies (cm ⁻¹)	Density functional theory B3LYP functional		Vibrational assignments and %PED ^b
	Calculated frequencies (cm ⁻¹) (scaled)	IR intensity (km/mol)	
3,259 ν(N-H)	3,521	93	ν[Pz-NH](100)
3,242–3,230 ν(N-H)	3,485	15	ν[NH](100)
3,034 ν(Ar-CH)	3,089	36	ν[Ar-CH](98)
2,982 ν(Al-CH)	3,013	23	ν[Al-CH](98)
	2,936	15	ν[Me-CH](99)
1,715 ν(C=O)	1,735	166	ν[Pz-O=C](81)
1,673 ν(C=O)	1,719	147	ν[O=C](88)
1,645 ν(C=O)	1,674	168	ν[O=C](82)
	1,575	75	ν[Pz-NC](69)
	1,517	539	δ[Ar-HNC](45) + ν[Ar-CC](13) + ν[NC](13)
	1,427	145	ν[Ar-CC](13)
	1,312	202	ν[Ar-CC](11) + δ[Ar-HCC](11)
	1,201	459	ν[NC](31) + δ[Pz-OCN](10)
	1,167	277	ν[O-C](29) + δ[Ar-HCC](10)
	1,123	87	ν[N=N](26) + ν[O-C](10)
	1,047	50	ν[Pz-NN](59) + ν[Pz-NC](12)
	1,015	53	ν[CC](34) + ν[OC](31)
	943	136	δ[Pz-NC](27) + τ[Pz-HCCC](19) + ν[Pz-CC](13)
	863	55	δ[OCN](21) + δ[NCC](18)
	742	52	τ[Ar-HCCC](54) + γ[Ar-NCCC](11)
	551	26	ν[Pz-CC](15) + ν[Pz-NN](12) + δ[Pz-CNN](11) + τ[Ar-HNCC](10)
	453	80	τ[Pz-HNNC](46) + γ[OCOC](11)
	426	60	δ[Pz-OCN](10) + δ[OCC](10)
R ²	0.9918		

v: stretching, δ: bending, γ: out of plane bending, τ: torsion modes, Ar: aromatic, Me: methyl, Al: aliphatic, Pz: pyrazoline

^a Taken from Ref. [23]

^b Potential energy distribution (PED) of studied compound, less than 10 % are not shown

for C–H (aromatic), 3,013 cm^{-1} for C–H (aliphatic), 1,735, 1,719 and 1,674 cm^{-1} for C=O stretching. Also, frequency values for N=N stretching mode at DFT method are calculated as 1,123 cm^{-1} . For vibrational assignments and %PED, results of optimized structure calculated by DFT/6-31G (*d*) basis set have been used. C–H vibration is 3,089 cm^{-1} at B3LYP/6-31G (*d*) level with the PED contribution of 98 %. Assignments, especially for high frequencies, in Table 2 are very similar to the known vibration assignments heterocyclic disazo dye derivatives [22]. Correlation values (R^2) between experimental and calculated frequencies have been computed as 0.9918 for DFT method. Incompatibility with experimental data for N–H stretching mode is noteworthy. Nevertheless, correlation values between calculated and experimental results in Table 2, generally, also show their agreement.

3.4. NMR spectral analysis

Isotropic chemical shifts are frequently used as an aid in identification of reactive organic as well as ionic species. It is recognized that accurate predictions of molecular geometries are essential for reliable calculations of magnetic properties [39]. Gauge-Independent Atomic Orbital (GIAO) ^{13}C and ^1H chemical shift calculations with respect to TMS have been made by using B3LYP/6-31G (*d*) level for studied compound and its tautomeric forms. Results of these calculations are tabulated in Table 3. Experimental ^1H NMR chemical shift values [23] are also given in Table 3, but ^{13}C NMR values cannot be found in the literature. Since the experimental chemical shift values for aromatic H atoms are given as 7.01–7.69 ppm, calculated ^1H NMR chemical shift values are compared with average of these experimental data. Oxygen atoms with more electronegative property, polarize the electron distribution in its bonds to adjacent carbon atoms and decrease electron density at the bridge for studied molecule. So, ^{13}C chemical shifts are computed as high values, 149.56, 156.35 and 154.83 ppm for 13C, 18C and 23C atoms, respectively. ^{13}C chemical shifts for aromatic carbons of studied compound are also computed at the range of 109.72–131.57 ppm. Correlation factors between experimental and theoretical chemical shifts can be seen in the last lines of ^1H NMR chemical shift values. Correlation values (R^2) between experimental and theoretical ^1H chemical shifts have been computed as 0.8297, 0.8229 and 0.7958 for studied compound and its azo-enol, hydrazo-keto tautomeric forms, respectively.

3.5. Non-linear optical properties

Polarizability and hyperpolarizability qualify the response of a system in an applied electric field and determine not

Table 3 Experimental and calculated chemical shift values for studied compound and tautomeric forms

Atoms	Experimental ^a (ppm) (solvent: DMSO- d_6)	B3LYP/6-31G (<i>d</i>) basis set		
		Studied compound (solvent: none)	Tautomeric forms	
			Azo-enol (solvent: none)	Hydrazo- keto (solvent: none)
7-H ^b		7.141	7.126	7.119
8-H ^b		6.305	6.347	6.329
9-H ^b	7.01–7.69	8.730	8.733	8.678
10-H ^b		7.302	7.263	7.255
11-H ^b		6.990	6.933	6.916
20-H	2.09	2.372	2.630	3.245
21-H	2.09	2.377	2.376	2.309
22-H	2.09	2.255	2.447	2.239
28-H	10.75	6.046	6.157	6.076
30-H	4.31	4.121	4.663	4.893
31-H	4.31	4.141	3.998	4.303
33-H	1.34	1.443	1.267	1.668
34-H	1.34	1.106	0.983	0.926
35-H	1.34	1.399	1.760	1.337
39-H	9.95	6.764	7.510	6.922
43-H	1.89	2.058	2.453	2.176
44-H	1.89	1.957	2.100	1.967
45-H	1.89	2.102	2.420	2.156
48-H ^c	9.69, 10.13		11.107	12.958
	R^2	0.8297	0.8229	0.7958
1-C		121.334	121.253	121.268
2-C		109.717	109.669	109.653
3-C		131.573	132.034	131.985
4-C		113.122	112.852	112.836
5-C		123.679	123.411	123.387
6-C		117.291	116.625	116.610
13-C		149.556	150.499	150.026
14-C		147.046	138.327	132.272
15-C		131.471	132.702	132.790
17-C		117.882	122.363	110.093
18-C		156.345	163.730	156.642
19-C		17.202	17.577	16.936
23-C		154.829	155.795	153.635
29-C		60.785	60.956	59.897
32-C		14.433	14.039	15.506
37-C		148.104	140.708	149.755
38-C		139.672	144.147	141.237
40-C		119.775	120.101	125.399
42-C		14.622	13.613	13.621

^a Taken from Ref. [23]

^b Exp. values 7.01–7.69 (5H. ArH)

^c Tautomeric NH or OH

Table 4 Electric dipole moment $\mu(\text{D})$, average polarizability ($\bar{\alpha}$) and first hyperpolarizability (β) for azo-enol and hydrazo-keto form of studied compound

	μ_x	μ_y	μ_z	μ_{tot}	$\bar{\alpha} (\text{\AA}^3)$	$\beta_{tot} \times 10^{-30} (\text{cm}^5/\text{esu})$
<i>DFT method/6-31G (d) basis set</i>						
Azo-enol form	−2.1166	3.8773	−0.6009	4.4581	48.108	31.075
Hydrazo-keto form	−1.0257	2.8113	−0.7739	3.0910	47.361	54.948

only the strength of molecular interactions as well as the cross sections of different scattering and collision processes, but also the nonlinear optical properties (NLO) of the system [40, 41]. In order to investigate the relationships among photocurrent generation, molecular structures, polarizability and hyperpolarizability of studied compound and azo-hydrazo forms are calculated.

Non-linear optical response of an isolated molecule in an electric field $E_i(\omega)$ can be represented as a Taylor series expansion of the total dipole moment (μ_{tot}) induced by the field:

$$\mu_{tot} = \mu_0 + \alpha_{ij}E_j + \beta_{ijk}E_jE_k + \dots \quad (1)$$

where α is linear polarizability, μ_0 is permanent dipole moment and β_{ijk} are first hyperpolarizability tensor components. Average linear polarizabilities are defined as [42]:

$$\bar{\alpha} = \frac{\alpha_{xx} + \alpha_{yy} + \alpha_{zz}}{3} \quad (2)$$

First hyper polarizability tensor can be calculated with x , y and z components of β and complete equation for calculating the magnitude of β from Gaussian09 output is given as follows:

$$\beta_{tot} = [(\beta_{xxx} + \beta_{xyy} + \beta_{xzz})^2 + (\beta_{yyy} + \beta_{yzz} + \beta_{xyx})^2 + (\beta_{zzz} + \beta_{xxz} + \beta_{yyz})^2]^{1/2} \quad (3)$$

Since the values for average linear polarizabilities and first hyperpolarizability tensors of the output file of Gaussian09 are reported in atomic units (a.u.), calculated values are converted into electrostatic units, esu ($1 \text{ a.u.} = 8.6393 \times 10^{-33} \text{ cm}^5/\text{esu}$). B3LYP/6-31G (*d*) results of electronic dipole moment $\mu_i = (i = x, y, z)$, polarizability and first hyperpolarizability for studied compound and its tautomeric forms are listed in Table 4. Calculated dipole moments are equal to 4.46 and 3.09 D for azo-enol and hydrazo-keto form, respectively. Calculated values of $\bar{\alpha}$ for azo-enol and hydrazo-keto form are 48.11 and 47.36 $\text{\AA}^3$, shown in Table 4 and β are also 31.08×10^{-30} and $54.95 \times 10^{-30} (\text{cm}^5/\text{esu})$, respectively. Biggest values of hyperpolarizability are noticed and subsequently delocalization of electron cloud is more in that direction and maximum β value may be due to π -electron cloud movement from donor to acceptor, which makes the molecule highly polarized and intramolecular charge transfer (ICT) possible [43].

3.6. Frontier molecular orbitals (FMOs) and UV–vis absorption spectral analysis

Frontier molecular orbitals (FMOs) are important in determining such properties as molecular reactivity and ability of a molecule to absorb light. FMOs are also very important for optical and electric properties [44]. Highest occupied molecular orbital (HOMO) and lowest unoccupied molecular orbital (LUMO) are main orbitals taking part in the chemical reaction. HOMO energy characterizes the ability of electron giving, LUMO energy characterizes the ability of electron accepting and gap between HOMO and LUMO energies characterizes molecular chemical stability [45]. Molecular orbital surfaces, HOMO-1, HOMO, LUMO, LUMO + 1 and energy levels computed at B3LYP/6-31G (*d*) levels for studied compound are drawn in Fig. 5(a)–5(d), respectively. In this study, it can be said that HOMO are mainly localized on aromatic, thiophene, aliphatic and pyrazoline groups. LUMO are also localized on thiophene, aliphatic and pyrazoline groups. Molecular electronic spectrum is usually originated by the electron transition from HOMO to LUMO. Hyperpolarizability is also directly related to HOMO–LUMO energy gap. HOMO–LUMO band gaps are computed 3.043 and 3.011 eV at B3LYP/6-31G (*d*) level for azo-enol and hydrazo-keto form, respectively. It is obvious that there should be an inverse relationship between HOMO–LUMO gap and the first of hyperpolarizability [46]. Higher values of first hyperpolarizability can be achieved with lower HOMO–LUMO gaps [47]. Therefore, it can be expected that hydrazo-keto form have a bit lower HOMO–LUMO gap than azo-enol form. This situation can be attributed that HOMO–LUMO gap may be decreased by hydrogen-bonded interaction in molecular systems. Hydrazo-keto form with charge-assisted hydrogen bonding interaction has a little lower HOMO–LUMO band gap than that of azo-enol form.

Electronic values, such as absorption wavelengths, excitation energies and oscillator strengths are computed by time-dependent unrestricted Hartree–Fock (TD-UHF) method at 6-31G (*d*) basis set level as UV visible spectra analysis and tabulated in Table 5. Calculations of molecular orbital geometry show that visible absorption maxima of this molecule correspond to electron transition between frontier orbitals such as transition from HOMO-6 to LUMO + 1. For the similar bis-heterocyclic monoazo dye,

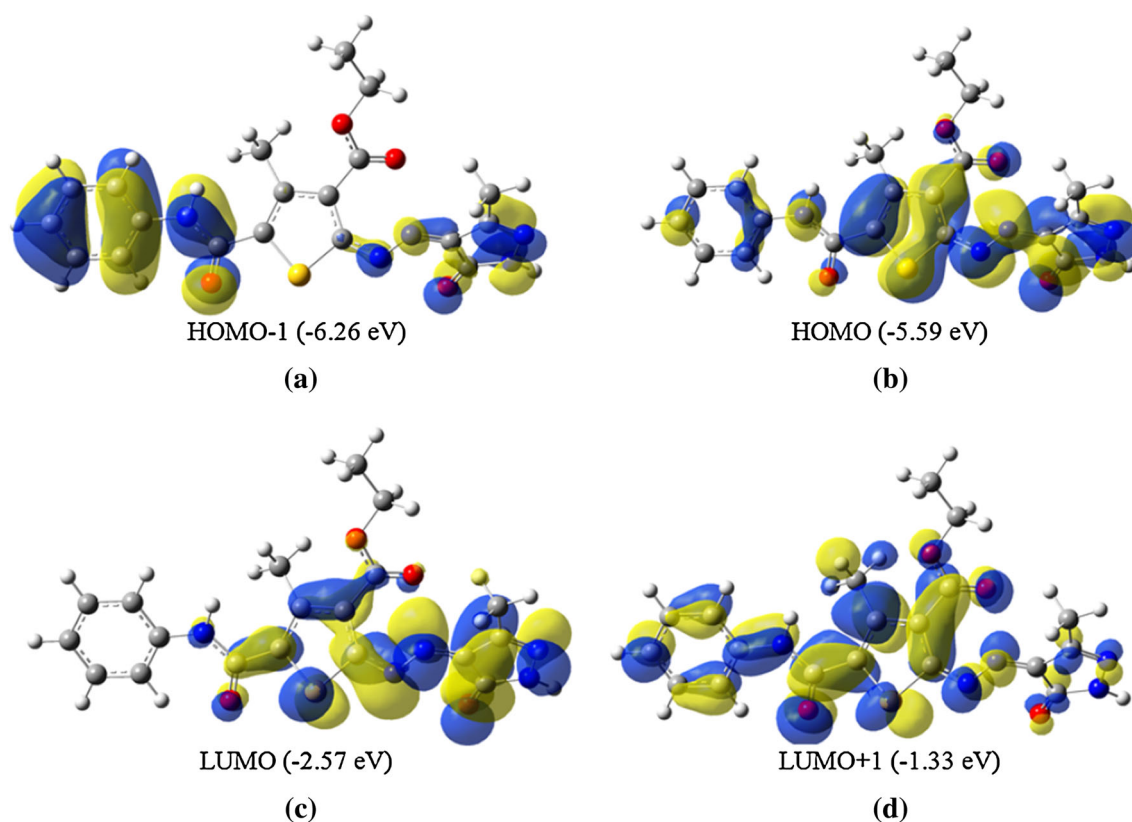


Fig. 5 3D plots of (a) HOMO-1, (b) HOMO, (c) LUMO and (d) LUMO + 1 distributions at B3LYP/6-31G (d) level of studied compound

Table 5 Calculated wavelengths, excitation energies, oscillator strengths values for studied compound

Wavelengths λ (nm)	Excitation energies (eV)	Assignments	Oscillator strengths (<i>f</i>)	Experimental ^a $\lambda_{\max}$ (nm)	
				Methanol	Chloroform
432.18	2.8688	H-6 $\rightarrow$ L + 1	0.0021	467	452
		H-5 $\rightarrow$ L			
		H-9 $\rightarrow$ L + 1			
		H-5 $\rightarrow$ L + 1			
		H-10 $\rightarrow$ L			
396.79	3.1247	H-6 $\rightarrow$ L + 1	0.0012		
		H-6 $\rightarrow$ L			
		H-5 $\rightarrow$ L			
		H-9 $\rightarrow$ L + 1			
		H-9 $\rightarrow$ L			
		H-15 $\rightarrow$ L + 8			

^a Taken from Ref. [23]

absorption maxima are observed at 445, 438 and 440 nm by investigators [23].

4. Conclusions

In this study, spectroscopic properties of studied compound have been theoretically determined through IR, NMR and

UV-vis. Various quantum chemical calculations help us to identify the structural, conformational and spectral properties of studied molecule. In order to identify conformational structures, potential energy curve has been computed by means of scanning selected degree of essential torsional angles. Vibrational frequencies and ^1H and ^{13}C NMR chemical shifts of studied compound have been calculated

using density functional theory (B3LYP) method at 6-31G (d) basis set level. Detailed assignments with PED% analysis for selected vibrational frequencies have also been presented. Absorption wavelengths, excitation energies and assignments with major contributions of transitions are computed by TD-UHF method at 6-31G (d) basis set. We can say that calculated results of studied molecule are generally to be in a good agreement with experimental data. Besides, stability of tautomeric forms is investigated in present study. To find optimum transition states of studied molecule, QST2 approaches have been used by taking optimized azo-enol and hydrazo-keto form. Results of PES scans done by changing of bond length tautomeric O–H have shown that hydrazo-keto form of this molecule are more stable. Calculations of frontier molecular orbitals and first hyperpolarizability have confirmed this stability.

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