

Studies on the sulfation of cellulose α -lipoate and ability of the sulfated product to stabilize colloidal **suspensions of gold nanoparticles**

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Abbreviations:

Anhydroglucose unit (AGU)

N,N'-Carbonyldiimidazole (CDI)

Cellulose α/β -lipoate sulfate (CLS)

Degree of substitution (DS)

Degree of substitution of lipoate groups (DS_{Lip})

Degree of substitution of sulfuric acid half ester groups (DS_{Sulf})

N,N-Dimethylacetamide (DMA)

Dimethyl sulfoxide (DMSO)

Self-assembled monolayers (SAM)

Transmission electron microscopy (TEM)

1 **Abstract**

2

3 A versatile method for the synthesis of cellulose α -lipoate with a low degree of substitution
4 (DS) has been developed using *N,N*-dimethylacetamide (DMA)/LiCl as a solvent and *N,N'*-
5 carbonyldiimidazole (CDI) as an esterification reagent. The cellulose α -lipoate with DS of α -
6 lipoate groups of 0.26 was converted with sulfur trioxide-pyridine complex in dimethyl
7 sulfoxide (DMSO) as solvent. The sulfation is accompanied by an unexpected partial oxidation
8 of the disulfide moiety leading to the formation of the corresponding stereoisomers of *S*-oxides.
9 The resulting mixture of water-soluble cellulose α - and β -lipoate sulfate possesses a DS of
10 sulfuric acid half ester groups of 1.78. This cellulose- α/β -lipoate sulfate derivative can be used
11 as an effective stabilizer and solubilizer for the formation of colloidal suspensions of gold
12 nanoparticles formed *in situ* in aqueous solution.

13

14 **Keywords**

15 esterification of cellulose; sulfur-containing cellulose derivatives; water-solubility; oxidation;
16 gold nanoparticles.

17

18 **1. Introduction**

19

20 Cellulose derivatives play an enormous role in both daily life and specialty applications
21 as functional polymers (Heinze & Liebert, 2012). For example, they may serve as viscosity
22 regulators, film-forming agents (Hesse, Liebert & Heinze, 2006), and for the preparation of
23 well-defined surfaces by self-assembly (Mohan et al., 2013; Heinze, Hornig, Michaelis &
24 Schwikal, 2009). Cellulose and cellulose derivatives can also be converted into nano-sized and
25 nano-shaped entities (Wondraczek, Petzold-Welcke, Fardim & Heinze, 2013; Liebert, Kostag,
26 Wotschadlo & Heinze, 2011).

27 **Nanoparticles are gaining** an increasing importance for a wide variety of practical
28 applications due to a combination of extraordinary properties mainly determined by their small
29 size, involving quantum confined physical properties, and very large relative surface area, e.g.,
30 involving a very reactive surface. Typical applications include heterogeneous catalysis, optics,
31 antibacterial and antimicrobial surfaces, and other biomedical processes (Sharma, Yngard &
32 Lin, 2009; Hermanson, Lumsdon, Williams, Kaler & Velev, 2001; Zhou et al., 2003; Kim et
33 al., 2007; Panacek et al., 2006).

34 A range of metallic nanoparticles have been prepared by treatment of appropriate
35 precursors with reducing agents (Cheng, Betts, Kelly, Schaller & Heinze, 2013). Unfortunately,
36 nanoparticles prepared in this way tend to aggregate in aqueous dispersions due to their high
37 surface energy. Consequently, the addition of water-soluble stabilizers is indispensable in order
38 to prevent the formation of nanoparticle agglomerates. In the field of “green chemistry” routes
39 of preparation, carbohydrates have been used as both reducing and stabilizing agents, e.g., D-
40 glucose as a reducing agent and starch as stabilizer (Raveendran, Fu & Wallen, 2003;
41 Raveendran, Fu & Wallen, 2006) D-glucose and chitosan (Bozanic, Trandafilovic, Luyt &
42 Djokovic, 2010), maltose and sucrose (Filippo, Serra, Buccolieri & Manno, 2010), heparin
43 (Huang & Yang, 2004). 6-Deoxy-6-(2-aminoethyl)-amino cellulose was used as a stabilizer in

44 the preparation of silver nanoparticles obtained by reduction of silver nitrate with sodium
45 borohydride (Cheng, Betts, Kelly, Schaller & Heinze, 2013). The high affinity of sulfur to react
46 with and attach itself to noble metals is widely applied to generate well-defined structures, such
47 as self-assembled monolayers, SAMs (Bain, Troughton, Tao, Evall, Whitesides & Nuzzo,
48 1989). Cellulose α -lipoic acid ester was found to adsorb onto gold surface by the formation of
49 SAMs (Liebert, Hussain, Tahir & Heinze, 2006). The advantage of such films is their
50 uniformity and stability towards mechanical stress and solvolysis.

51 Based on the pronounced affinity of sulfur towards noble metals, it was of interest to
52 study the potential ability of sulfur-containing cellulose derivatives to stabilize metallic
53 nanoparticles. The lipoate moiety may interact with metal surfaces in several ways: on the one
54 hand, the disulfide moiety may act as complex ligand and, on the other hand, treatment of
55 disulfides with reducing agents affords the corresponding dithiols, which are very useful ligands
56 as well (Cravero, Luna & Barboza, 2011). Cellulose α -lipoate has been prepared previously by
57 conversion of cellulose dissolved in DMA/LiCl with α -lipoic acid by *in situ* activation with
58 either CDI or *p*-toluenesulfonyl chloride (Liebert, Hussain, Tahir & Heinze, 2006). The
59 conversion is completely homogeneous and yields products that are soluble in aprotic dipolar
60 solvents, such as DMSO, even at a low DS (0.11-0.18). However, water-soluble derivatives of
61 cellulose α -lipoate are required in order to stabilize metallic nanoparticles as aqueous colloidal
62 suspensions for practical applications. A facile way to impart water solubility to cellulose α -
63 lipoate is the introduction of ionic moieties. Considering the saponification of ester moieties
64 under alkaline conditions, carboxymethylation, as it is used in case of hydrolytically stable
65 compounds, is not feasible in this case (Koschella, Hartlieb & Heinze, 2011). However,
66 sulfation proceeds under comparably mild conditions that might not interfere with the
67 carboxylic acid ester function as found for dextran [(4-methyl-2-oxo-2H-chromen-7-
68 yl)oxy]acetates (Wondraczek, Pfeifer & Heinze, 2010). Therefore, we now report the
69 preparation of cellulose α -lipoate sulfate and its ability to stabilize aqueous colloidal

70 suspensions of metallic nanoparticles, in this case gold nanoparticles, of a defined size and
71 shape.

72

73 **2. Experimental Part**

74 **Materials for the synthesis, preparation method and structure characterization (FTIR and NMR**
75 **spectra) of Cellulose α -lipoate **2** can be found in the Supporting Information Section.**

76

77 *2.1 Materials*

78

79 α -Lipoic acid (Sigma or Acros Organics) and sulfur trioxide-pyridine complex (Sigma-
80 Aldrich) were used as received. DMSO was dried over 4 Å molecular sieves and methanol was
81 dried over 3 Å molecular sieves prior to use. Gold (III) chloride hydrate and sodium borohydride
82 (NaBH₄, 96 %) were sourced from Aldrich and Fluka, respectively, and used as received
83 without further purification.

84

85 *2.2 Measurements*

86

87 FTIR spectra were recorded on a Nicolet Avatar 370 DTGS spectrometer using the KBr
88 technique. The ¹H- and ¹³C-NMR spectra were acquired with Bruker Avance 250 (250 MHz)
89 and Avance 400 (400 MHz) spectrometers in DMSO-*d*₆ or D₂O at 50 °C with a concentration
90 of at least 5 %, w/w of polymer in solution. Elemental analysis was carried out using a Vario
91 EL III (Elementaranalysensysteme Hanau, Germany). UV–Vis spectra were recorded in the
92 range between 300 – 700 nm using a Perkin Elmer Lambda 25 spectrometer. Ultrapure water
93 with a specific resistance of 18.2 MΩ cm was obtained by reversed osmosis followed by ion-
94 exchange and filtration (UPQ PS system, ELGA, USA). Solution spectra were obtained by
95 measuring the absorption of the prepared colloidal **suspensions** in a quartz cuvette with a 1 cm

96 optical path. **Transmission electron microscopy (TEM) images** were collected using a Jeol 2010
97 TEM running at 200 kV. Images were obtained with a Gatan Ultrascan 4000 digital camera.
98 The liquid sample was mixed well in a vial, then a 5 μ L aliquot was placed on a hydrophilic
99 carbon coated copper grid and allowed to dry in air.

100

101 2.3 Methods

102

103 2.3.1 Sulfation of cellulose α -lipoate (**3**)

104

105 The SO₃-pyridine complex (12.6 g, 79.2 mmol, 2 mol/mol OH-group) was added under
106 vigorous stirring to a solution of cellulose α -lipoate **2** (3.0 g, DS_S 0.26, 14.2 mmol) in DMSO
107 (65 mL) under an N₂-atmosphere. The reaction mixture was stirred for 4.5 h at room
108 temperature, then an aqueous solution of sodium acetate trihydrate (27 g of a 24 %, w/w) was
109 added dropwise to the reaction mixture, before being poured into ethanol (450 mL). The
110 resultant polymer precipitate was collected by filtration, washed with ethanol (3 x 250 mL),
111 reprecipitated from aqueous NaCl-solution (2 %, w/w, 60 mL), washed again with a (4:1) of
112 ethanol/water mixture (300 mL), dialyzed for 72 h against water and then freeze-dried to
113 produce a water-soluble product.

114 Yield: 3.3 g (8.31 mmol, 58.6 %);

115 DS_{Lip} 0.26, DS_{Sulfate} 1.78 (M 396.91 g/mol, calculated from EA);

116 ¹³C-NMR spectroscopy (D₂O, 100.63 MHz, δ , ppm): 23.9-24.8 C-9; 25.1-28.6 C-10, 11(c,d);
117 33.9-35.5 C-8, 11 (a,b), 13; 37.7, 38.2 C-14 (c,d); 57.1 and 59.4 C-12(a,b); 60.3 C-6OH; 62 and
118 63 C-14(a,b); 66.2 C-6Sulf; 73.2-80.1 C-2,3,4,5AGU and C-12(c,d); 100.7 C-1';

119 FTIR spectroscopy (KBr, $\tilde{\nu}$, cm⁻¹): 3487 ν OH; 2941 ν C_{sp3}H; 1734 ν C=O; 1457-1382 δ CH₂,
120 δ CH₃; 1249 ν_{as} SO₂; 1139, 1113 ν_s C-O-C_{AGU}, ν_s SO₂; 810 ν_s S-O.

121

122 *2.3.2 Synthesis of α -lipoic acid methyl ester (based on a modified literature procedure Hassan*
123 *& Maltman, 2012).*

124

125 Concentrated H₂SO₄ (0.05 mL, 0.01 mol) was added dropwise to a solution of α -lipoic
126 acid (223 mg, 1.05 mmol) and dry methanol (100 mL) under an N₂ atmosphere. The resultant
127 reaction solution was stirred at room temperature overnight and then the solvent was removed
128 under vacuum. The residue was poured into ice-water (100 mL). The resultant precipitate was
129 collected by filtration, washed with saturated aqueous NaHCO₃ (3 x 100 mL) and with distilled
130 water (2 x 100 mL) before being dried under vacuum at 40 °C to yield the desired α -lipoic acid
131 methyl ester (soluble in DMSO at 50-60 °C).

132 Yield: 185 mg (0.84 mmol, 80.0 %)

133 ¹H-NMR Spectroscopy (DMSO-*d*₆, 400 MHz, δ in ppm): 1.4 (CH₂, H-5); 1.56 (CH₂, H-4); 1.56
134 und 1.67 (CH₂, H-6); 1.88 und 2.42 (CH₂, H-8); 2.31 (CH₂, H-3); 3.09-2.21 (CH₂, H-9); 3.59
135 (CH₃, H-1; CH, H-7).

136 ¹³C-NMR Spectroscopy (DMSO-*d*₆, 100.63 MHz, δ in ppm): 24,5 (CH₂, C-4); 28,3 (CH₂, C-
137 5); 33,4 (CH₂, C-3); 34,3 (CH₂, C-6); 38,4 (CH₂, C-9); 40,2 (CH₂, C-8); 51,4 (OCH₃, C-1); 56,3
138 (CH, C-7); 173,4 (C=O, C-2).

139

140 *2.3.3 Mixture of α -lipoic acid methyl ester and SO₃ pyridine complex for NMR analysis*

141

142 α -Lipoic acid methyl ester (33 mg, 0.15 mmol) was first dissolved in DMSO-*d*₆
143 (1.2 mL) at 60 °C, then after cooling the reaction solution to room temperature, an SO₃-pyridine
144 complex (48 mg, 0.30 mmol) was added to the mixture, which was stirred for 3 h at room
145 temperature before acquisition of the NMR spectrum.

146 ¹³C-NMR Spectroscopy (DMSO-*d*₆, 150.9 MHz, δ in ppm): 24.4-24.7 (CH₂, C-4); 26.2 and
147 26.9 (CH₂, C-6 c and d); 27.8-28.7 and 28.7 (CH₂, C-5); 33.4-33.5 (CH₂, C-3); 33.9 and 34.3
148 (CH₂, C-8 c and d); 35.2-35.9 (CH₂, C-6 a and b, C-8); 36.9 and 37.2 (C-9 c and d); 51.6 (OCH₃,
149 C-1); 55.7 and 58.1 (CH, C-7 a and b); 61.9 and 63.1 (CH₂, C-9 a and b); 74.9 and 77.8 (CH₂,
150 C-9 c and d); 127.4-147.4 (pyridine and pyridinium salts); 173.7 (C=O, C-2).

151

152 *2.3.4 Preparation of gold nanoparticles in the presence of cellulose α/β-lipoate sulfate*

153

154 A 0.5 % cellulose α/β-lipoate sulfate solution (10 mL) was added to a solution of gold
155 (III) chloride hydrate (85.0 mg) in ultrapure water (5 mL) at room temperature. The resultant
156 reaction mixture was stirred for 30 min, then a sodium borohydride solution (200 mM, 5 mL)
157 was added dropwise to the reaction mixture under strong stirring, which resulted in the
158 formation of a red solution after 10 min.

159

160 **3. Results and Discussion**

161

162 *3.1 Studies on sulfation of cellulose α-lipoate*

163

164 The preparation of cellulose α-lipoate was carried out according to a modified literature
165 procedure (Liebert, Hussain, Tahir & Heinze, 2006). Thus, cellulose dissolved in DMA/LiCl
166 was allowed to react with a previously prepared mixture of α-lipoic acid and CDI in DMA. The
167 molar ratio of anhydroglucose unit (AGU):α-lipoic acid:CDI was 1:1:1. Conversion for 16 h at
168 60 °C afforded cellulose α-lipoate with a degree of substitution, DS_{Lip} of 0.26 (sample 2). The
169 polymer forms highly viscous solutions in DMSO. The structure was confirmed by FTIR-
170 (Figure 1) and NMR spectroscopy (Figure 2) including a HSQC-DEPT NMR spectrum
171 (Figure S1, Supporting Information Section).

172

173 (Scheme 1)

174

175 The sulfation of cellulose α -lipoate was achieved by treatment with a sulfur trioxide-
176 pyridine complex in DMSO. The crucial issue is the subsequent conversion of the sulfuric acid
177 half ester formed to the corresponding sodium salt, which is the form of the polymer that will
178 be stable upon storage. Therefore, neutralization must be carried out in order to prevent the
179 undesired cleavage of the α -lipoate esters. An excess of aqueous sodium acetate solution
180 neutralizes sulfuric acid half ester moieties efficiently without cleaving any of the carboxylic
181 acid ester. Precipitation in ethanol, washing of the precipitate with ethanol and dialysis against
182 water affords the corresponding CLS (sample **3**). The DS_{Sulf} value was calculated under the
183 assumption that the DS_{Lip} remains constant during the sulfation reaction. A DS_{Sulf} value of 1.78
184 was found for sample **3**.

185 An additional strong signal for the sulfate groups could be observed at about 1100 cm^{-1}
186 ($\nu_s SO_2$) in the FTIR spectra of the product **3** (Figure 1). Further signals for the sulfur-containing
187 moiety are visible at 1249 cm^{-1} ($\nu_{as} SO_2$). However, overlapping with cellulose signals occurs
188 in this region as well as in the region around 810 cm^{-1} ($\nu_s S-O$). Characteristic vibrations of the
189 polymer backbone are found at 3487 cm^{-1} (νOH), at 2941 cm^{-1} ($\nu C_{sp^3}H$), at $1457-1382\text{ cm}^{-1}$
190 (δCH_2 , δCH_3) and at 1139 cm^{-1} and 1113 cm^{-1} ($\nu_s C-O-C_{AGU}$). Vibration of the α -lipoate
191 moiety is still detectable at 1734 cm^{-1} ($\nu C=O$). An absorption band at $2560-2570\text{ cm}^{-1}$ could
192 not be observed in this spectrum and so it can be concluded that there are no thiol groups present
193 in the product **3**.

194

195 (Figure 1)

196

197 The products were investigated by means of one- and two-dimensional-NMR
198 experiments in D₂O at 50 °C. It must be mentioned that well-resolved NMR spectra could be
199 recorded from dialyzed samples only because salts decrease the resolution to a remarkable
200 extent. Nevertheless, the ¹³C-NMR spectrum of product **3** shows a typical appearance of a
201 polyelectrolyte with broad peaks (Figure 2).

202 The sulfation of the polymer is confirmed by the presence of a low-field shifted peak
203 (66.3 ppm, C-6_{Sulf}) for position 6 of the modified repeating unit bearing a sulfuric acid half ester
204 moiety. Signals for the AGU are found in the range from 73.2 ppm to 80.3 ppm (carbon atoms
205 2-5 of the AGU). Additional peaks appear between 76.8 and 78.9 ppm indicating
206 functionalization of the secondary hydroxyl groups. The high-field shifted signal at 100.7 ppm
207 is assigned to position 1' adjacent to the modified C-2 compared to the anomeric C-1 of the
208 starting material **2** (Figure 2). The unmodified position 6 is assigned at 60.1 ppm (C-6_{OH}) and
209 the lipoate-substituted position 6 (C-6_{Lip}) is difficult to detect as it is the case for the starting
210 material cellulose α-lipoate **2** (see supporting information).

211
212 (Figure 2)

213
214 Signals resulting from the alkyl chain of the carboxylic acid moiety are apparent in the
215 range from 24.5 ppm to 35.6 ppm (CH₂-groups, Figure 2). However, the chemical shifts are
216 slightly different compared to those of the starting material **2**. Furthermore, a peak for C-13
217 (CH₂) could not be observed at ca 40 ppm, on the one hand, and three additional signals appear
218 in the area between 59.4 and 62.9 ppm next to the signal expected for the methine group C-12
219 (ca. 57 ppm) of the lipoate substituent on the other hand. It can be concluded from the
220 DEPT135-NMR measurement that these additional signals should be attributed to two
221 methylene- (CH₂) and one methine group (CH, Figure 2). These signals do not correlate with
222 the chemical structure of cellulose α-lipoate sulfate. It must be taken into account that

223 unexpected side reactions have taken place during the conversion of cellulose α -lipoate **2** with
224 the sulfur trioxide pyridine complex. It is known that oxidation of acetylated monosaccharides,
225 according to the Parikh-Doering reaction, occurs in the presence of the sulfonating reagent in
226 DMSO leading to the formation of carbonyl groups and unsaturated moieties in the pyranose
227 ring (Cree, Mackie & Perlin, 1969). Hence, the appearance of further signals corresponding to
228 new CH₂ and CH signals that are shifted to a lower field compared to the AGU must be
229 elucidated. The additional peaks observed are high-field shifted instead and no further chemical
230 shifts are observed (Figure 2). Thus, oxidation of the polymer backbone must play a minor role
231 or does not take place at all under these reaction conditions. The possibility of oxidation of the
232 disulfide moiety by SO₃/DMSO, according to the Parikh-Doering mechanism, should also be
233 taken into consideration, whereby, the products should contain sulfoxide- or sulfone structures.
234 However, oxidation of thioctic acid is scarcely described in the literature (Stary, Jindal &
235 Murray, 1975; Müller, Knaack, & Olbrich, 1997) and there is no information about the
236 capability of SO₃ to oxidize structural features bearing disulfide bonds.

237 In order to study the capability of the mixture of sulfur trioxide pyridine complex and
238 DMSO to oxidize disulfides, α -lipoic acid methyl ester was dissolved in DMSO-*d*₆, mixed with
239 sulfur trioxide pyridine complex in a molar ratio of 1:2 and allowed to react for 3 h at room
240 temperature under stirring. The mixture was then investigated by means of one- and two-
241 dimensional NMR-spectroscopy and compared with the NMR data available in the literature
242 (Müller, Knaack & Olbrich, 1997). According to the NMR spectra it becomes clearly obvious
243 that oxidation of the dithiolane ring takes place simultaneously during the sulfation of cellulose
244 α -lipoate in DMSO (Figure 2). It is assumed that a conversion to thiosulfinate mainly occurs
245 leading to the formation of cellulose β -lipoate sulfate (Figure 3).

246

247 (Figure 3)

248

249 β -Lipoic acid refers to a mixture of diastereomeric *S*-oxides of α -lipoic acid, i.e., a
250 thiosulfinate (R-S(O)-SR'). Since R/S- α -lipoic acid was used as reagent and the sulfoxide
251 groups represent a chiral center in the molecule, then eight stereoisomers should be expected
252 overall, wherefrom signals for four diastereomers should be visible in the NMR spectrum
253 (Figure 3 left, a-d). The presence of the isomeric compounds a-d of CLS **3** can be located by
254 the presence of the signals in the range from 37.7 to 38.2 ppm [C-14(c,d)], at 57.1 and 59.4 ppm
255 C-12(a,b), and at 62 and 63 ppm [C-14(a,b)] (Müller, Knaack & Olbrich, 1997). Still, an exact
256 assignment of the NMR-peaks to each isomer of substance **3** requires model compounds with
257 known structure. Therefore, Figure 2 represents a proposal for the allocation of the observed
258 peaks. Due to the fact that the ratio between the α -and β -lipoate cannot be determined, the
259 sulfation product of cellulose α -lipoate is now called cellulose α/β -lipoate sulfate (CLS).

260 Taking into account the fact that unintended thiosulfinate moieties are formed, in
261 addition to the intended sulfation of hydroxyl groups, then another result can be explained. As
262 mentioned before, the sulfuric acid half esters had been carefully neutralized in order to make
263 the polymer stable upon storage. However, the initially neutral sample solutions became acidic
264 after a few days of storage. Owing to the properties of thiosulfates, this behavior could be
265 explained now. It is reported that these compounds are not stable in the dissolved state, in
266 particular in the presence of acids and nucleophilic substances (Auger, Lallau-Keraly &
267 Belinsky, 1990; Shen, Xiao & Parkin, 2002).

268

269 *3.3 Preparation of gold nanoparticles in the presence of cellulose α/β -lipoate sulfate*

270

271 Disulfide- and thiol-containing compounds are known to spontaneously adsorb onto
272 gold surfaces by forming an adsorbate-substrate sulfur-metal bonds (Bain, Troughton, Tao,
273 Evall, Whitesides & Nuzzo, 1989). Thus, a chemisorption of cellulose α/β -lipoate sulfate (CLS)

274 on gold involving the thiosulfinate (partially oxidized) and disulfide moieties should be
275 expected. In addition, disulfide can be reduced to the dithiol by the NaBH₄ applied for the
276 reduction of HAuCl₄, and hence, a further functionality for such interactions can be generated.
277 However, no interactions should be expected in case of the sulfate groups, which serve to
278 provide water-solubility of the cellulose derivative.

279 Preliminary research on the preparation of gold nanoparticles in the presence of CLS is
280 shown in Scheme 2. When the HAuCl₄ solution was added to the CLS solution, the reaction
281 mixture solution became yellow. No color change could be observed even after the solution
282 was heated at 75 °C overnight, suggesting that the ability of CLS as a reducing agent is very
283 weak. However, when NaBH₄ solution was added to the HAuCl₄ – CLS solution, the color
284 changed immediately from yellow to red, indicating the reduction reaction occurs readily and
285 quickly. The colloidal suspensions can be stable for four weeks without the formation of any
286 precipitate.

287
288 (Scheme 2)

289
290 The UV-vis adsorption spectra of the reaction mixture of HAuCl₄ and CLS before and
291 after adding NaBH₄ are shown in Figure 4. No adsorption peak can be found in the wavelength
292 range of 300 – 700 nm (Figure 4a) for the reaction solution before the addition of NaBH₄, which
293 is indicative of the fact that no reduction of Au³⁺ occurs in the presence of CLS alone. After
294 adding NaBH₄, two adsorption bands can be observed at ca 439 and 525 nm (Figure 4b). The
295 adsorption band at 525 nm is a typical of surface plasmon resonance band for AuNPs,
296 confirming the formation of gold nanoparticles reduced by NaBH₄. (Wei, Qi, Tan, Liu & Wang,
297 2010). The UV-vis absorption peak observed at 525 nm is probably attributable to the normal
298 surface resonance peak of the gold nanoparticles with some CLS ligands bound to the surface
299 of the gold nanoparticles. The particle size of gold nanoparticles affects the position of UV-vis

300 absorption peak and so the UV-vis spectra will exhibit a red-shift, if small nanoparticles
301 aggregate to form bigger nanoparticles. (You, Hu, Zhou, Zhang & Kordo, 2013). The peak
302 observed at 439 nm may be attributable to the presence of small gold nanoparticle aggregates.
303 However, further work will be conducted to investigate the exact mechanism for the formation
304 of this second absorption peak. The TEM image of the CLS-stabilized gold nanoparticle
305 suspension and the particle size distribution are shown in Figure 5. It can be seen that spherical
306 or close-to-spherical nanoparticles are separated from each other and well dispersed. The
307 corresponding histogram for the particle size distribution shows that the nanoparticle size is
308 mainly in the range of 2.0 – 7.0 nm. A black precipitate is formed immediately after the addition
309 of the NaBH₄ solution to the HAuCl₄ solution in the absence of CLS. All these facts indicate
310 that CLS molecules protect and stabilize the gold nanoparticles very effectively and also
311 prevent their agglomeration. Thus, it can be concluded that stable aqueous suspensions of gold
312 nanoparticles can be successfully synthesized by reduction of HAuCl₄ in the presence of CLS
313 molecules.

314

315 (Figure 4)

316

317 (Figure 5)

318

319 4. Summary and Conclusions

320

321 Cellulose- α -lipoate with a low substitution density ($DS_{Lip} = 0.26$) was synthesized
322 homogeneously in DMA/LiCl using CDI for the *in situ* activation of the carboxylic acid (Liebert,
323 Hussain, Tahir & Heinze, 2006). Infrared (IR) spectroscopy shows that the dithiolane ring
324 remains intact during the conversion. Furthermore, it was possible to analyze the product

325 structure by means of one- and two-dimensional nuclear magnetic resonance (NMR) without
326 subsequent peracylation of the compound. Sulfation of cellulose α -lipoate yields a water-
327 soluble product. No evidence for the oxidation of the AGU by combining SO_3 -pyridine complex
328 and DMSO was found. Instead, NMR investigations of α -lipoic acid methyl ester revealed that
329 the disulfide moiety of the α -lipoate substituent participates in side reactions, whereby it is
330 oxidized, in the course of the conversion leading to CLS, to a mixture of stereoisomeric *S*-
331 oxides of the sulfated cellulose α/β -lipoate. Gold nanoparticles with particle size 2.0 – 7.0 nm
332 can be successfully synthesized by reduction of HAuCl_4 in the presence of CLS molecules.

333

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335

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339

340

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