

Mikiji Shigematsu · Takayuki Kobayashi
Hiroyasu Taguchi · Mitsuhiko Tanahashi

Transition state leading to β -O' quinonemethide intermediate of *p*-coumaryl alcohol analyzed by semi-empirical molecular orbital calculation

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Abstract The radical coupling reaction leading to the β -O' quinonemethide intermediate of *p*-coumaryl alcohol was analyzed by semi-empirical molecular orbital calculation with MOPAC2002. By analyzing the radical monomer in a one-electron oxidation, the spin density of the unpaired electron at the 4-oxygen was less than half of the values at the C₁, C₃, C₅, and C _{β} positions. By analyzing the transition state during the radical coupling reaction, the activation enthalpy was evaluated as 9.76 kcal/mol, which corresponds to the activation energies for the propagation of common vinyl polymers. From the analysis of atomic interactions in the transition state, it was found that the activation enthalpy was largely composed of a high coulombic repulsion between C _{β} of the first monomer and the phenolic oxygen of the second monomer. After passing the transition state, the two radical monomers formed a metastable quinonemethide intermediate. The optimum conformation of the quinonemethide intermediate was formed from the metastable conformation through a second transition state with a small energy barrier.

Key words Lignin · Radical coupling reaction · Transition state · Molecular orbital calculation · Activation enthalpy

Introduction

Lignin is formed by dehydrogenative polymerization (DHP) of monolignols oxidized enzymatically by the peroxidase/H₂O₂ system. The overall reaction of DHP progresses in six stages:

1. Diffusion and collision of the monolignol and enzyme in the polysaccharide matrix.
2. Penetration of monolignol into the active site of the enzyme.
3. Formation of the radical molecules by one-electron oxidation of the monolignols, and their release from the enzyme.
4. Formation of quinonemethide intermediates (generally β -O', β - β' and β -5' linkages) with coupling reaction of the two radical monomers.
5. Stabilization of the α -carbon in the quinonemethides by the addition of a hydroxyl group for β -O', resinol structure for β - β' , and coumaran structure for β -5'.
6. Further polymerization by repeating the first five stages.

In recent years, quite a number of reports on the computer simulations of lignin formation have been published. For the first stage of DHP, Houtman and Atalla¹ simulated the diffusion of monolignols near the cellulose surface, after which Houtman² simulated the collision of two monolignol molecules by molecular dynamics calculations. For the third stage of DHP, Kobayashi et al.³ simulated the activity of peroxidase to monolignols and related substances by semi-empirical molecular orbital calculations. The fourth stage was addressed by Elder and Ede⁴ who simulated the theoretically feasible linkages of radical coupled intermediates, and compared their reactivities by the heat of formation. For the sixth stage, Glasser and Glasser⁵ simulated 100 units of lignin based on a statistical distribution of linkage types. However, the second and fifth stages of DHP have not been simulated yet. In other studies, a number of reports have emerged regarding lignin formation by examining optimum conformations of final products after stabilization (fifth stage) by molecular orbital calculation. These reports were simulated with molecular mechanics,⁶ semi-empirical molecular orbital calculations,⁷⁻⁹ or ab initio molecular orbital calculations.^{10,11} However, these studies described the reactivity of DHP from the simulation of the stability of the final products and did not consider the reaction pathway.

M. Shigematsu (✉) · T. Kobayashi · H. Taguchi · M. Tanahashi
Faculty of Applied Biological Sciences, Gifu University, Gifu
501-1193, Japan
Tel. +81-58-293-2922; Fax +81-58-293-2922
e-mail: shige@cc.gifu-u.ac.jp

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Polymerization of lignin progresses through a transition state during the approach of two radical monomers (fourth stage), and the final products are formed following the formation of intermediates (fifth stage). We have focused on the former reaction, which determines the linkage types between two monomers. To search for a feasible pathway leading to coupled intermediates, the reverse reaction from coupled to uncoupled monolignols was computed. To simplify the calculation, *p*-coumaryl alcohol was selected as the model substance for monolignol, although it is an oversimplification of lignin structure. The reason for the selection was the lack of conformationally complicated methoxyl groups,^{12,13} which are present in coniferyl and sinapyl alcohols (constituents of common lignin). Furthermore, modeling of the coupling reaction was limited to formation of the β -*O'* linkage, which is the main linkage type of native lignin. All modeling was conducted by semi-empirical molecular orbital calculations rather than by ab initio methods due to the less demanding computer requirements for semiempirical methods.

Methods

Computation was carried out using WinMOPAC Ver. 3.5.1a (distributed by Fujitsu). This software combined a graphical user interface for the development of the Z-matrix and MOPAC2002 Ver. 1.00 as the calculating engine.¹⁴ The eigenvector following (EF) routine was used as the optimizer, and the gradient normal (GNORM) was set to 0.01. The Parametric Method 5 (PM5) was used to calculate the heat of formation (H_f). The unrestricted Hartree-Fock Hamiltonian approximation (UHF) was used for the monolignol radical and the coupling reaction due to the presence of an unpaired electron. For other parameters, default values programmed in MOPAC2002 were used.

The calculations proceeded as follows:

1. Full optimization of *p*-coumaryl alcohol radical by taking into consideration the geometry of the alcohol hydroxyl group, which rotates freely. All bond lengths, angles, and torsions were optimized in the computation.
2. Confirmation of the reactive atoms in the radical molecule by the localization of the unpaired electron estimated by the calculated spin density.
3. A search for the conformers of β -*O'*-linked quinonemethide intermediate by considering the geometries of C_1 - C_{α} , C_{α} - C_{β} , C_{β} - O_4 , O_4 - C_4 , and C_1 - $C_{\alpha'}$ bonds, and two alcohol hydroxyl groups.
4. A search for the transition state candidates in the coupling reaction by disconnecting the β -*O'* bond in the conformers of the quinonemethide intermediate. All bond lengths, angles, and torsions except the disconnected bond length were optimized in the computation. The candidates were determined from the conformation giving maximal H_f in each diagram of atomic distance and H_f .
5. Full optimization of the transition states (TS) from the Cartesian coordinate geometries of candidates as an ini-

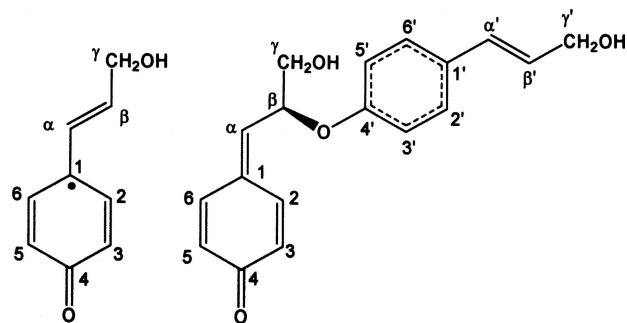


Fig. 1. Carbon numbers in *p*-coumaryl alcohol radical (left), and quinonemethide intermediate of (*S*)- β -*O'*-linked *p*-coumaryl alcohols (right)

tial structure. Confirmation of obtained TS structures was done by a force calculation (FORCE) and an intrinsic reaction coordinates calculation (IRC). The global TS structure in β -*O'* coupling was determined as the one having the smallest energy of all TS structures.

6. Analysis of atomic interaction at the transition state by energy partitioning (ENPART).

The carbon numbers in the molecules appearing in this report are defined as shown in Fig. 1. The definition of torsion angles, i.e., the relative positions of atoms, is presented in the text.

The probability of minimum energy conformations was calculated by Boltzman's distribution. The relative probability (p) was obtained from Eq. 1:

$$p = e^{-(H_i - H_i^0)/RT} \quad (1)$$

where R is the gas constant ($1.98 \text{ cal K}^{-1} \text{ mol}^{-1}$), T is the absolute temperature (298 K in this report), and H_i^0 is the lowest H_i value.

Results and discussion

Optimum conformation and reactive positions of *p*-coumaryl alcohol radical

For optimum conformations of *p*-coumaryl alcohol radical, four minimum energy conformers were obtained. The optimum values of torsions and the geometries are shown in Table 1 and Fig. 2. Conformers **a'** and **b'** are symmetrical to **a** and **b**, respectively. The geometrical difference appeared in only the alcohol hydroxyl group, and the other geometries were almost identical. The energy difference between **a** and **b** was small and corresponded to 1:0.385 of the existing probability. The lowest H_f for the *p*-coumaryl alcohol radical was -36.76 kcal/mol . Therefore, H_f of the uncoupled state, i.e., two infinitely separated molecules, was evaluated as -73.52 kcal/mol (twice the value for a single molecule). This corresponds to the initial state of the radical coupling reaction.

The reactive positions of the *p*-coumaryl alcohol radical were analyzed from the spin population and atomic charge.

Table 1. Optimum conformations of *p*-coumaryl alcohol radical

Conformation	O _γ -C _γ -C _β -C _α (degree)	H-O _γ -C _γ -C _β (degree)	H _f (kcal/mol)	<i>p</i>
a	24.6	60.6	-36.76	1
a'	-24.6	-60.6	-36.76	1
b	156.6	-62.9	-36.20	0.385
b'	-156.6	62.9	-36.20	0.385

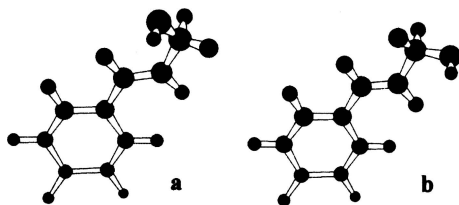
**Fig. 2.** Geometries of *p*-coumaryl alcohol radical optimized by UHF/PM5 protocol. Conformations correspond to those in Table 1. Conformations **a'** and **b'** are symmetries of **a** and **b**, respectively

Table 2 shows the spin populations of α -spin and β -spin, the electron density, the spin density, and the Mulliken charge for conformer **a** of the *p*-coumaryl alcohol radical. The spin density was found to be high at C₁, C₃, C₅, C_β, and O₄ suggesting the localization of an unpaired electron at these atoms, and implying the occurrence of radical coupling reaction. The atoms having high spin densities were similar to the coniferyl alcohol radical.^{9,15} Additionally, the reactive atoms were negatively charged, suggesting that the radical coupling reaction proceeds despite the coulombic repulsion.

Figure 3 shows the distributions of the unpaired electron in *p*-coumaryl alcohol radical and the relative ratios predicted from the spin densities at C₁, C₃, C₅, C_β, and O₄. By assuming the coupling reaction occurs in accordance with these ratios, the radical coupling appears to occur predominantly at C₁, which has the highest spin density. However, coupling at C₁ would be difficult due to steric hindrance. Other couplings, β - β' and β -5' may easily occur due to the high ratios at C₅ and C_β. The formation of β -O' coupling may be comparatively difficult due to the low ratio at O₄.

Unfortunately, semi-empirical molecular orbital calculation for the unpaired electron is less reliable than advanced methods including electron correlation theory, e.g., the density functional models, the Møller-Plesset models, and more advanced methods. The details of comparisons between different monolignols and between different couplings will be discussed in subsequent reports.

Conformations of quinonemethide intermediate

In the β -O' quinonemethide intermediate, many conformations are possible due to the rotation at the C₁-C_α, C_α-C_β, C_β-O₄, O₄-C₄, and C₁-C_α bonds, and the two alcohol hydroxyl groups. Thus, the following steps were taken to arrive at the minimum energy conformations. *S*- and *R*-form enanti-

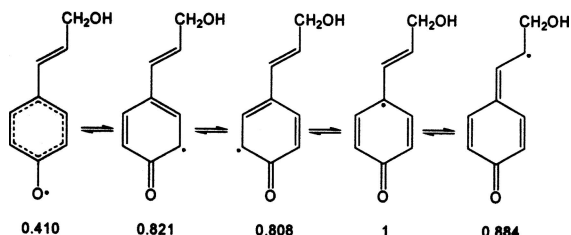
omers at the chiral center C_β are present in the β -O'-coupled intermediate. But as MOPAC cannot analyze the difference between the enantiomers, only the *S*-form was analyzed in this study. For the C₁-C_α bond, the position of C_β ($\phi_{\beta-\alpha-1,2}$) is considered to be mostly in the same plane as the first monomer's aromatic ring due to the presence of a double bond at C₁-C_α. For the C_α-C_β bond, the position of C_γ ($\phi_{\gamma-\beta-\alpha-1}$) is considered to be anti to C₁ due to the monomer structure. Simultaneously, the position of O₄ is restricted by the position of C_γ due to the sp³ orbital of C_β. For the C_β-O₄ bond, the position of C₄ can be defined as the torsion angle against C_α ($\phi_{4-O'-\beta-\alpha}$), and would be restricted at three *gauche* positions against C_α, C_γ, and H_β. For the O₄-C₄ bond, the aromatic ring of the second monomer is mostly restricted to be parallel to the aromatic ring (first monomer)-C_α-C_β plane by steric hindrance. For C₁-C_α, C_β is limited to two positions against the aromatic plane of the second monomer (definable as $\phi_{3'-4'-O'-\beta}$) analogous with the conformation of the monomer. In addition, four geometries of the alcohol hydroxyl group (**a**, **a'**, **b**, and **b'**) shown in the monomer structure must be considered for each monomer. These 96 possible conformers (1 × 1 × 3 × 1 × 2 × 4 × 4) were used as the initial structure for full optimization. In addition, the feasible transition states were derived by disconnecting the β -O' bond from all optimum conformers of quinonemethide intermediate. Table 3 shows the low H_f conformations of the quinonemethide intermediate of (*S*-) β -O'-linked *p*-coumaryl alcohols, as well as the low energy transition states. Typical examples of the geometries, **QM1** and **TS1**, are shown in Fig. 4.

In low energy conformers of the quinonemethide intermediate (**QM1-8**), the positions of C₄ were similar and anti to H_β in the O₄-C_β bond. Furthermore, rotation of the second monomer's aromatic ring at the C₄-O₄ bond was restricted within the range of 70°–90°; the absolute value in C₃ shows the torsion of the two aromatic planes, and the sign shows the direction of C_β. The γ -hydroxymethyl group was restricted by **a** and **b** forms but not **a'** and **b'** (see O_γH_γ). These conformational restrictions could possibly be due to the united effects of hydrogen bonding and steric hindrance between the hydroxyl group and the aromatic ring. The influence of the C_β position on H_f was minimal because of the appearance of both positive and negative signs of C₃ in Table 3. Furthermore, the γ' -hydroxymethyl group was restricted to **a** and **a'** forms (see O_γH_γ), which are optimum conformations that are analogous to the results of the radical monomers shown in Table 1. These results suggest negligible atomic interactions with the first monomer's atoms due to their distance of separation.

Table 2. Spin population and charge density of each atom in conformer **a** of *p*-coumaryl alcohol radical computed by UHF/PM5 protocol

Atom	Spin population				Mulliken atomic charge
	α -spin	β -spin	Electron density	Spin density	
C ₁	2.342	1.673	4.015	0.669	-0.015
C ₂	1.825	2.294	4.119	-0.469	-0.119
C ₃	2.398	1.849	4.247	0.549	-0.247
C ₄	1.741	1.912	3.653	-0.170	0.347
C ₅	2.394	1.854	4.247	0.540	-0.247
C ₆	1.826	2.293	4.119	-0.467	-0.119
C _{α}	1.824	2.309	4.132	-0.485	-0.132
C _{β}	2.417	1.826	4.244	0.591	-0.244
C _{γ}	1.978	2.033	4.011	-0.054	-0.011
O _{γ}	3.214	3.210	6.424	0.004	-0.424
O ₄	3.323	3.048	6.371	0.274	-0.371
H ₂	0.431	0.404	0.835	0.028	0.165
H ₃	0.386	0.420	0.805	-0.034	0.195
H ₅	0.385	0.419	0.804	-0.034	0.196
H ₆	0.429	0.402	0.830	0.027	0.170
H _{α}	0.429	0.400	0.829	0.029	0.171
H _{β}	0.400	0.435	0.834	-0.035	0.166
H _{γ}	0.436	0.413	0.849	0.023	0.151
H _{γ'}	0.456	0.443	0.898	0.013	0.102
H _O	0.365	0.365	0.731	0.000	0.269
Total	29.000	28.000	57.000	1.000	0.000

Electron density: sum of α -spin and β -spin.; spin density: excess of α -spin over β -spin

**Fig. 3.** Distribution of unpaired electron in *p*-coumaryl alcohol radical. The values indicate the relative ratios predicted from the spin densities at C₁, C₃, C₅, C _{β} , and O₄

Conformations and intermolecular interactions between radical monomers at the transition state

In the low energy conformations of the transition state (**TS1-8**) shown in Table 3, the positions of O₄ are similar; the C _{β} -O₄ distances were about 1.93 Å, and the O₄-C _{β} -C _{α} bond angles were about 100° for all transition states. These similarities would be governed quantum mechanically by the sp³ orbital of C _{β} and O₄. In these transition states, the positions of C₄ of the second monomer were similar, and restricted to be anti to C _{γ} . The structural difference between these transition states and coupled intermediates may be due to the strong hydrogen bonding of the γ -hydroxyl group to O₄ of the first monomer, and the small interaction with π -electrons in the second monomer's incomplete aromatic ring.

For the lowest energy conformation (**TS1**), only one imaginary vibrational frequency was obtained at -649.88 cm⁻¹ in the direction of approach of C _{β} and O₄. This conformation was verified as the transition state because

Table 3. The major conformers extracted from 96 initial structures of quinonemethide intermediate of (*S*-) β -O' linked *p*-coumaryl alcohols (**QM1-8**) and transition states toward quinonemethide intermediate (**TS1-8**)

No.	Conformation				<i>H</i> _t (kcal/mol)	<i>p</i>	
	C ₄ ^a	C ₃ ^b	O _{γ} H _{γ'} ^c	O _{γ} H _{γ'} ^c <i>d</i> ^d			
QM1	H _{β}	73.3	a	a'	1.414	-89.33	1
QM2	H _{β}	73.5	a	a	1.414	-89.33	0.993
QM3	H _{β}	-112.0	a	a'	1.414	-89.27	0.905
QM4	H _{β}	-112.1	a	a	1.414	-89.27	0.901
QM5	H _{β}	88.9	b	a	1.416	-88.89	0.479
QM6	H _{β}	89.3	b	a'	1.416	-88.88	0.465
QM7	H _{β}	-97.0	b	a	1.416	-88.85	0.442
QM8	H _{β}	-96.8	b	a'	1.416	-88.84	0.438
TS1	C _{γ}	-88.1	a	a'	1.931	-63.76	1
TS2	C _{γ}	-90.3	a	a	1.935	-63.76	0.995
TS3	C _{γ}	92.6	a	a	1.930	-63.63	0.800
TS4	C _{γ}	-93.1	b	a	1.936	-63.40	0.537
TS5	C _{γ}	-93.0	b	a'	1.933	-63.34	0.491
TS6	C _{γ}	-87.6	a	b'	1.931	-63.33	0.484
TS7	C _{γ}	89.9	a	a'	1.934	-63.32	0.473
TS8	C _{γ}	87.0	b	a	1.931	-63.21	0.391

^a Anti-atom of C₄ with C _{β} -O₄ bond

^b Torsion angle of C₃-C₄-O₄-C _{β}

^c Corresponding to the conformation name of monomer shown in Table 1

^d Distance between C _{β} and O₄ in angstroms

only one imaginary frequency was obtained. Also, with the direction indicating the approach of C _{β} and O₄, this transition state was verified to be reactive toward the β -O' linkage. The activation enthalpy (*H*_a) was calculated as 9.76 kcal/mol by using the equation *H*_a = *H*_t(**TS1**) - 73.52. This value corresponds to the activation energies of radical polymerization of common vinyl polymers, e.g.,

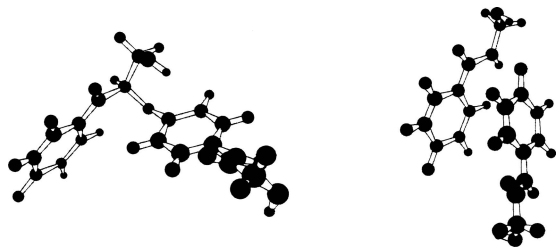


Fig. 4. Typical examples for geometries of the quinonemethide intermediate of (*S*)- β -*O'*-linked *p*-coumaryl alcohols (left, **QM1**) and the transition states during radical coupling reaction (right, **TS1**)

Table 4. The major intermolecular interactions between radical monomers at **TS1**

Atoms		J (eV)	K (eV)	C (eV)	$J + K + C$ (eV)
C_β	$O_{4'}$	-2.7221	-0.9262	1.4445	-2.2038
H_O	$O_{4'}$	-0.0424	-0.0045	-0.5444	-0.5914
C_4	$O_{\gamma'}$	0.0000	0.0000	-0.3496	-0.3496
C_4	$O_{4'}$	0.0000	-0.0006	-0.3344	-0.3351
O_4	$H_{O'}$	0.0000	0.0000	-0.3198	-0.3198
H_α	$O_{4'}$	-0.0058	-0.0010	-0.2905	-0.2973
O_7	$C_{4'}$	-0.0004	-0.0011	-0.2891	-0.2906
C_3	$O_{\gamma'}$	0.0000	0.0000	0.2509	0.2509
O_4	C_β	0.0000	-0.0001	0.2574	0.2574
C_4	$H_{O'}$	0.0000	0.0000	0.2655	0.2655
C_3	$O_{4'}$	-0.0001	-0.0016	0.2674	0.2657
O_4	$O_{4'}$	0.0000	-0.0008	0.2895	0.2887
C_α	$O_{4'}$	0.0301	-0.0461	0.3894	0.3734
O_4	$O_{\gamma'}$	0.0000	0.0000	0.4034	0.4034
O_7	$O_{4'}$	0.0044	-0.0033	0.6922	0.6933

Negative and positive values mean attractive and repulsive interactions, respectively

J , Resonance energy; K , exchange energy; C , coulombic interaction

7–8kcal/mol for the propagation of polystyrene,¹⁶ and is much lower than the activation energies of the decomposition of common initiators, e.g., 26–34kcal/mol for 2,2'-azo-bis-isobutyronitrile and benzoyl peroxide. The entropy term may be assumed to be negligible, in which case the radical coupling reaction of lignin will be as fast as the propagation of vinyl polymers.

The major intermolecular atomic interactions in **TS1** were calculated and the results are shown in Table 4. The largest total interaction was, of course, that at C_β - $O_{4'}$ with -2.2038eV of attraction. This atomic interaction contained large coulombic repulsion component caused by the negative charges of both C_β and $O_{4'}$. The excess attraction of resonance and exchange energies were caused by the approach of the two atoms having high spin densities. For other atomic pairs, the total interactions were lower than 1/3 of that of C_β - $O_{4'}$, and mostly due to coulombic interaction including hydrogen bonding. Additionally, this analysis revealed that the alcohol hydroxyl group contributes considerably to the optimum conformation of the transition state. In other words, the kind of substituent at C_γ of monomers may affect the coupling reaction, e.g., carboxyl or aldehyde groups.

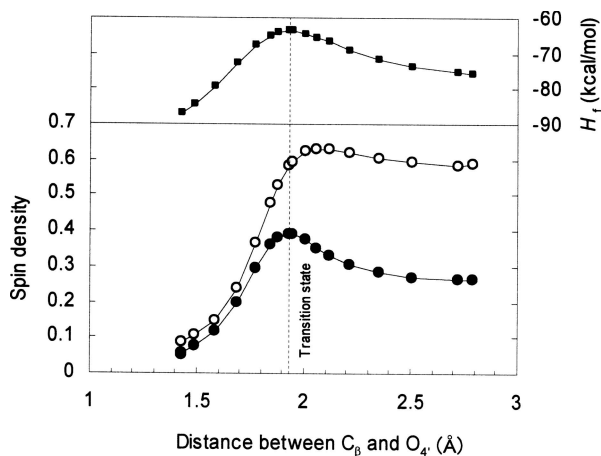


Fig. 5. The heat of formation (filled squares) and the spin densities at C_β (open circles) and $O_{4'}$ (filled circles) during radical coupling reaction of *p*-coumaryl alcohols as a function of the C_β - $C_{4'}$ distance

Figure 5 shows the changes of H_f and spin densities at C_β and $C_{4'}$ as functions of the atomic distance between them; this diagram was drawn by replotting the geometrical and orbital data on the reaction coordinate computed by IRC for the structure of **TS1**. In the coupling reaction, H_f values increased as the two monomers approached each other, and reached a maximum at the transition state. During the approach of the two monomers, both spin densities increased, especially at $O_{4'}$, indicating that the localization of both unpaired electrons changed due to the resonance of C_β and $O_{4'}$. The variation of spin densities during the reaction means that the radical coupling reaction cannot be expressed by only the spin density in the isolated monomer given in Table 2. After passing the transition state, H_f decreased and reached the value of the quinonemethide coupled form (**QM_{TS1}**), -89.33kcal/mol. Because H_f of **QM_{TS1}** is lower than that of the uncoupled state, it is obvious that this reaction can proceed. Simultaneously, the spin densities suddenly decreased and finally disappeared in the coupled state. Consequently, it was found that the two monomers formed the coupled state, **QM_{TS1}**, by IRC analysis.

Transition from **QM_{TS1}** to **QM1**

The coupled state, **QM_{TS1}**, is metastable and different from the lowest energy conformer of quinonemethide, **QM1**. **QM_{TS1}** and **QM1** were structurally different at the $C_{4'}$ position, but not at C_3 . Thus, the energy barrier in transition from **QM_{TS1}** to **QM1** with rotation of the aromatic ring of the second monomer at the C_β - $O_{4'}$ bond was analyzed. Because the analysis could not be achieved by UHF protocol, it was performed by the restricted Hartree-Fock protocol in this study. Estimated values of H_f were -87.27kcal/mol (-88.01kcal/mol by UHF) for **QM_{TS1}**, -88.49kcal/mol (-89.33kcal/mol by UHF) for **QM1**, and -86.69kcal/mol for the transition state between them. Therefore, H_a for the transition from **QM_{TS1}** to **QM1** was estimated as

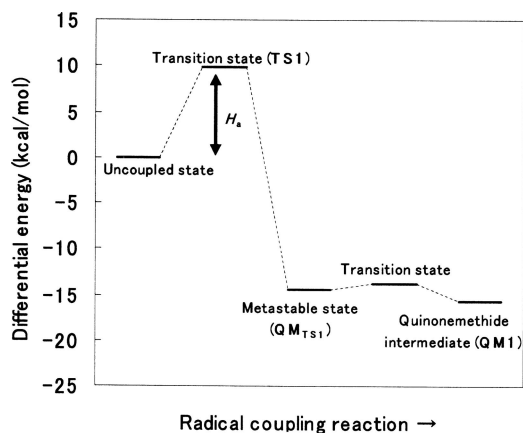


Fig. 6. Overall energy change in radical coupling reaction of two *p*-coumaryl alcohols toward β -*O'* quinonemethide intermediate. The vertical axis is the energy difference from the heat of formation of two uncoupled monomers

0.58 kcal/mol. The extremely small energy barrier indicates that this transition easily progresses.

The existence of different conformations between estimates from the transition state and the optimized quinonemethide is important for analysis of the overall reaction. This means that the thermodynamic and kinetic estimations may lead to different results. In other words, the prediction of the reactivity based on only the conformation of products is insufficient.

The overall radical coupling reaction of *p*-coumaryl alcohol leading to β -*O'*-quinonemethide intermediate

Figure 6 shows the overall radical coupling reaction of *p*-coumaryl alcohol. The energy level based on the two uncoupled monomers (twice the value of conformer **a**) decreased to -15.81 kcal/mol at **QM1**. During this process, two transition states were detected by the molecular orbital calculation. One was the transition state in coupling the two monomers with $H_a = 9.76$ kcal/mol. The other transition state was the conformation change from the metastable quinonemethide to the optimum state. However, the energy barrier of the second transition was extremely low. Thus, the rate-determining step in the radical coupling reaction was considered to be the first reaction, i.e., bond formation between C_β and C_4 . It is concluded that the radical coupling reaction occurs by kinetic control.

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