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Mechanism and Selectivity of Cinchona Alkaloid Catalyzed [1,3]-Shifts of Allylic Trichloroacetimidates

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Abstract

Density Functional Theory calculations were used to investigate the [3,3]- and [1,3]-shifts of *O*-allylic trichloroacetimidates in the presence of cinchona alkaloids. Thermal [1,3]- and [3,3]-rearrangements proceed through concerted pseudopericyclic transition states to give the corresponding rearranged products. [1,3]-rearrangement is catalyzed via a double S_N2' mechanism in which *syn* addition of the nucleophile is exclusively preferred in both steps. The catalyzed mechanism is favored by a 6.3 kcal/mol free energy difference compared to the alternative [3,3]-rearrangement pathway. The fast-reacting enantiomer is predicted to be determined by the availability of the H-bonding interaction between the catalyst and the substrate.

Keywords

Density functional theory; cinchona alkaloids; sigmatropic rearrangement; stereoselective catalysis; pseudopericyclic rearrangements; S_N2' reaction; nucleophilic catalysis

Introduction

Cinchona alkaloids have found extensive use in organic chemistry as organocatalysts in asymmetric synthesis.^{1–6} The success is also related to the fact that they can be tailored to catalyze specific reactions. Asymmetric primary amine derivatives of cinchona alkaloids are shown to be excellent activators of carbonyl compounds.¹ The 6'-hydroxy², 9-thiourea³ and 6'-thiourea⁴ derivatives have emerged as powerful bifunctional organocatalysts. Dimeric cinchona alkaloids linked with various aromatic linkers provided very high enantioselectivities and are proposed to form enzyme like binding pockets for substrates.⁵

Despite the experimental reports on the use of cinchona alkaloid derivatives as organocatalysts, the origins of their enantioselective catalytic activity still remain unexplored. Elucidating the catalytic mechanisms of cinchona alkaloids is necessary to largely understand their catalytic efficiency.

In this study, we describe in detail the mechanism of the thermal and cinchona catalyzed rearrangements of allylic acetimidates yielding β-amino acid and allyl amine derivatives that are important building blocks found in many bioactive molecules. The experimental work by

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Supporting Information **Available:** Cartesian coordinates, absolute energies, and complete reference 9. This material is available free of charge via the Internet at <http://pubs.acs.org>.

Jorgensen's group is an excellent example of cinchona catalysts;⁶ and here we describe how their reactions occur.

Allylic trichloroacetimidate **1** undergoes either the well-known [3,3]-sigmatropic rearrangement (Overman rearrangement)⁷ or the [1,3]-sigmatropic *O*- to *N*-rearrangement⁸ to give the corresponding trichloroacetamides **2** and **3** (Scheme 1). The symmetry forbidden [1,3]-rearranged product has been exclusively obtained in the presence of cinchona alkaloids, whereas the sterically hindered alkenes gave only the [3,3]-rearranged products.⁶

Computational Methodology

The geometries of reactants, transition states and products were optimized using B3LYP/6-31G(d) with Gaussian 03.⁹ Concerted and stepwise pathways for the thermal [1,3]-rearrangement were explored using UB3LYP/6-31G(d). Frequency calculations were used to verify the stationary points as minima or saddle points. Intrinsic reaction coordinate (IRC) method as implemented in Gaussian 03 was used to follow minimum energy paths from the transition states and to verify the nature of the reactants and products.¹⁰ Single point energies were computed with the M05-2X density functional method¹¹ and the 6-31+G(d,p) basis set. M05-2X density functional method was chosen for its good performance for thermochemical kinetics and noncovalent interactions.^{11,12} Solvent effects were taken into account via single point calculations in a dielectric continuum representing toluene as the solvent. The conductor-like polarizable continuum model (CPCM) was applied using UAHF cavity model to compute the solvation free energies. The free energy (*G*) of a given structure in the solvent was calculated by:

$$G = E_{\text{gas}} + E_{\text{zpe+thermal}} + \Delta G_{\text{sol}} \quad (1)$$

where E_{gas} is the gas phase electronic energy, $E_{\text{zpe+thermal}}$ is the sum of the zero point energy and the thermal and entropic contributions to the gas phase energy at 298.15 K, and the last term ΔG_{sol} is the solvation free energy which can be described as the work required for transferring a system of a given geometry and standard state in vacuum to the solvent and contains both electrostatic and non-electrostatic terms. All energetics reported throughout the text are given in terms of free energies in kcal/mol.

The topological analysis of the Electron Localization Function (ELF)^{13,14} was used to characterize the pericyclic and pseudopericyclic transition states using the TopMod suite of programs.^{15,16} The characterization was based on the fluctuation analysis of the electron density at the cyclic reaction center.¹⁷ In this procedure, covariance contributions to a bonding basin for the clockwise and counterclockwise directions determine the direction of larger electron fluctuation and are interpreted in terms of delocalization. The poor delocalization in pseudopericyclic reactions is evidenced by discontinuous charge distribution around the ring of forming and breaking bonds.

Potential energy surface (PES) scans were used to explore the conformational space of reactants, transition states and products. An initial systematic conformational search with 3 fold rotation around the single bonds was performed for the reactants and products using semi-empirical PM3 methodology. The conformers within 3 kcal/mol energy range were then optimized using B3LYP/6-31G(d) for a more accurate description of the conformer distribution. A rigid PES scan was performed with B3LYP/6-31G(d) on the transition states using the dihedrals as specified in the results and discussion section. The low energy conformers of the transition states were later optimized using the same level of theory.

Results and Discussion

Conformational Flexibility of the Substrate

The conformational analysis of **1** has revealed the significant flexibility of the substrate with six conformers within 1.1 kcal/mol energy range (Figure 1). The energy differences between the *s-cis* and *s-trans* conformers are small (0.2-0.6 kcal/mol in the gas phase and 0.2-1.1 kcal/mol in toluene). The terminal alkene can either adopt an eclipsed conformation or a perpendicular arrangement with the C–O bond. The lowest energy conformer shows an eclipsed rearrangement of the terminal alkene and the C–O bond, but it is close in energy (0.6-0.8 kcal/mol in the gas phase and 0.8-1.0 kcal/mol in toluene) to the conformers with the perpendicular arrangement.

A thorough conformational search was performed on all transition states, whereas only the lowest energy conformers are discussed in the following sections. Other higher energy transition states are given in the supporting information.

Thermal Sigmatropic Rearrangement Pathways

The Overman rearrangement occurs via transition states **TS-[3,3]-1** and **TS-[3,3]-2**, with activation free energies of 27.3 and 27.7 kcal/mol respectively (Figure 2a). The Overman rearrangement transition states are stabilized by 1.9 kcal/mol in toluene ($\Delta G_{\text{toluene}}^{\ddagger}$ **TS-[3,3]-1** = 25.4 kcal/mol and $\Delta G_{\text{toluene}}^{\ddagger}$ **TS-[3,3]-2** = 25.8 kcal/mol). **TS-[3,3]-1** and **TS-[3,3]-2** are very close in energy ($\Delta\Delta G_{\text{gas}}^{\ddagger} = \Delta\Delta G_{\text{toluene}}^{\ddagger} = 0.4$ kcal/mol) and differ in the *s-cis* and *s-trans* arrangements of the ester substituent. They can be described as pseudopericyclic¹⁸ as evidenced by the disconnections in orbital overlap; orthogonal sets of orbitals meet, but there is no continuous overlap around the ring of forming and breaking bonds. The lack of cyclic ‘orbital’ overlap is also apparent from the noncyclic pattern of electron fluctuations between the populations in the electron localization function (ELF) basins shown in Figure 2b. The ELF picture exhibits high localization over atoms N1, O3 and C5 while there are disconnections around the regions involving C2, C4 and C6. The process is concerted but asynchronous ($d_{\text{C-O}}=1.71$ Å, $d_{\text{C-N}}=1.97$ Å). The charge separation is 0.28e (0.25e in toluene). An equatorial arrangement of the phenyl ring leads to a destabilizing interaction between the ester and the phenyl groups; the transition states with the phenyl ring at an equatorial position are found to be more than 4.5 kcal/mol higher in energy (see the Supporting Information). The process is exothermic by 19.9 kcal/mol ($\Delta G_{\text{toluene}} = -21.5$ kcal/mol).

According to Woodward-Hoffmann rules, pericyclic transition structures are symmetry forbidden for [1,3]-sigmatropic rearrangements.¹⁹ However, we found that the thermal [1,3]-rearrangement of **1** to **3** can occur via four membered pseudopericyclic transition states **TS-[1,3]-1** and **TS-[1,3]-2** (Figure 3a). The ELF picture (Figure 3b) shows electron depletion around C2 and C5, while the electrons are accumulated around N1 and O3. The electron distribution is not delocalized over the ring unlike a typical pericyclic reaction, but rather shows a localized picture with a non-homogeneous fluctuation scheme. Houk and Danishefsky have recently reported similar pseudopericyclic transition states for symmetry forbidden [1,3]-acyl rearrangements.²⁰

In contrast to the relatively easy thermal [3,3]-sigmatropic rearrangement process, 48.6 kcal/mol (40.8 kcal/mol in toluene) is required for the thermal [1,3]-rearrangement of **1** to **3**. **TS-[1,3]-1** is concerted and synchronous ($d_{\text{C-N}}=2.56$ Å, $d_{\text{C-O}}=2.53$ Å), but, it is highly polar with a charge separation of 0.61e (0.86e in toluene). No evidence of diradical character in the transition state is found ($S^2=0$) even for unrestricted calculations and the wavefunction is found stable. The *s-trans* arrangement of the ester, **TS-[1,3]-2**, is isoenergetic ($\Delta G_{\text{gas}}^{\ddagger} = 48.9$ kcal/mol and $\Delta G_{\text{toluene}}^{\ddagger} = 40.8$ kcal/mol) and also very similar in character to **TS-[1,3]-1**. We were

not able to find any evidence for alternative stepwise pathways involving polar or radical pair intermediates. The homolytic or the heterolytic cleavage of the C–O bond of **1** is highly endothermic by 52.5 kcal/mol and 131.7 kcal/mol in the gas phase and 49.5 kcal/mol and 79.4 kcal/mol in toluene respectively.

Mechanism of the Catalyzed Reaction

The proposed catalytic mechanism for [1,3]-shift of imidates to amides consists of a two step S_N2' mechanism (Scheme 2). The attack of the nucleophilic amine is accompanied by loss of the trichloroacetimidate anion (**TS-S_N2'-1**). This establishes an ion pair intermediate (**INT**). Subsequent attack of the nitrogen nucleophile of the anionic trichloroacetamide proceeds with the release of the catalyst in the second step (**TS-S_N2'-2**).

In order to reduce the computational cost, the mechanism was first investigated by using trimethylamine as the model catalyst. Both *syn* and *anti* attack of trimethylamine with respect to the trichloroacetimidate **1** were considered (Figure 4). Due to the flexibility of the substrate, all transition state conformers obtained by rotation around τ_1 , τ_2 and τ_3 were analyzed.

The lowest energy *syn* and *anti* transition state conformations are shown in Figure 4. **TS-S_N2'-1a** is the lowest energy transition state, with an activation free energy of 21.0 kcal/mol in the gas phase and 20.0 kcal/mol in toluene. The *anti* transition states, **TS-S_N2'-1e** and **TS-S_N2'-1f** are 6.0 kcal/mol and 9.8 kcal/mol higher in energy than **TS-S_N2'-1a** respectively. Although the *anti* transition states **TS-S_N2'-1e** and **TS-S_N2'-1f** are better stabilized than their *syn* counterparts in toluene, their energies remain 4.9 kcal/mol and 7.2 kcal/mol higher than **TS-S_N2'-1a** respectively. All other *anti* transition states have activation free energies above 30.8 kcal/mol. Houk and coworkers have also shown and discussed in detail the preference of the *syn* attack in S_N2' reactions.²¹ **TS-S_N2'-1a** and **TS-S_N2'-1c** differ in τ_3 resulting in 0.7 kcal/mol free energy difference in the gas phase and 2.5 kcal/mol in toluene ($\tau(C-C-O-C)$ **TS-S_N2'-1a** = -130.4° , $\tau(C-C-O-C)$ **TS-S_N2'-1c** = -60.3°). A notable preference for the *s-cis* conformation in the transition state is found, unlike that in the reactant (**TS-S_N2'-1a**/**TS-S_N2'-1b** ($\Delta\Delta G^\ddagger_{\text{gas}} = 3.8$ kcal/mol, $\Delta\Delta G^\ddagger_{\text{toluene}} = 2.7$ kcal/mol), **TS-S_N2'-1c**/**TS-S_N2'-1d** ($\Delta\Delta G^\ddagger_{\text{gas}} = 2.3$ kcal/mol, $\Delta\Delta G^\ddagger_{\text{toluene}} = 1.4$ kcal/mol) and **TS-S_N2'-1e**/**TS-S_N2'-1f** ($\Delta\Delta G^\ddagger_{\text{gas}} = 3.8$ kcal/mol, $\Delta\Delta G^\ddagger_{\text{toluene}} = 2.3$ kcal/mol)). The energy difference between **TS-S_N2'-1a** and the other alternative transition state conformations (see Figure 4) suggests that **TS-S_N2'-1a** controls the subsequent steps of the rearrangement process.

Figure 5 shows the reaction profile predicted from the IRC calculations. The IRC path connects **TS-S_N2'-1a** to the ion pair intermediate, **INT**, and to the reactant complex. **INT** is 7.4 kcal/mol (9.0 kcal/mol in toluene) downhill from **TS-S_N2'-1a**. The charge separation in the intermediate is found to be 0.85e in the gas phase and 0.95e in toluene. **INT** already shows a favorable arrangement for the subsequent attack of the nitrogen nucleophile of the anionic trichloroacetamide to the quaternary ammonium bound substrate. A small energy barrier of 5.2 kcal/mol (5.8 kcal/mol in toluene) to **TS-S_N2'-2** initiates the second S_N2' reaction. The IRC calculations have demonstrated that the addition-elimination process is concerted although very asynchronous with the forming and breaking C–N bond distances of 2.12 Å and 1.58 Å respectively. The total process is exothermic by 17.4 kcal/mol ($\Delta G_{\text{toluene}} = -17.6$ kcal/mol). We were not able to locate any transition state for an *anti* attack of trichloroacetamide anion in the second step.

The 6.3 kcal/mol free energy difference (5.4 kcal/mol in toluene) between the Overman rearrangement transition state **TS-[3,3]-1** and **TS-S_N2'-1a** explains the exclusive formation of the [1,3]-rearranged product in the presence of cinchona alkaloids, whereas high activation free energies rule out the possibility of a thermal [1,3]-rearrangement.

Reactions of Hindered *O*-allylic trichloroacetimidates

In contrast to **1**, the terminal alkene in acetimide **4**, is sterically hindered, and therefore less prone to nucleophilic attack (Figure 6). Accordingly, **4** gave only the Overman rearranged acetamide and provided no evidence on nucleophilic catalysis.⁶

We found that [3,3]-rearrangement occurs via a concerted pseudopericyclic transition state with an activation free energy of 29.1 kcal/mol ($\Delta G^\ddagger_{\text{toluene}} = 27.8$ kcal/mol). The energetic penalty due to steric effects is much more significant for the competing S_N2' addition as expected. A 7.5 kcal/mol higher energy barrier (5.4 kcal/mol in toluene) for the addition of the amine nucleophile shows why the exclusive formation of the Overman product is observed experimentally. Unlike **1**, **4** failed to give the [1,3]-rearranged product upon attempted nucleophilic catalysis.

Selectivity of the Catalyzed Reaction

Scheme 3 summarizes the possible pathways for formation of the (*R*) and (*S*) products starting from a racemic mixture of allylic trichloroacetimidates. Our calculations with the model catalyst (NMe₃) have shown that the *syn* addition-elimination mechanism is highly preferred in both steps (see Figure 4). The formation of *anti* ion pairs and the possibility of a concomitant *anti* attack of another nucleophile are both strongly disfavored. These results suggest that the (*R*) and (*S*) enantiomers will react at different rates with the chiral amine nucleophile to form diastereomeric *syn* ion pairs in the first step. As the intermediate concentrations build up, the diastereomeric *syn* ion pairs will be engaged in a chemical equilibrium via dissociation-recombination process. The selective *syn* addition of the nitrogen nucleophile of the anionic trichloroacetamide in the second step then designates the stereochemical outcome of the reaction. However, due to the high exothermicity of the reaction and the reversibility of the first step (see Figure 5), significant differences in the initial reaction rates may also affect the product distribution and the major product of the rearrangement process.

Cinchona Catalyzed Reactions

Kobbelgaard et al.⁶ have screened different cinchona alkaloids and have shown that the choice of the cinchona alkaloid has a remarkable impact on the enantioselectivity of the reactions, with enantiomeric excess values ranging from 0% to 83% (Scheme 4). The selectivity of quinine (QN) is found to be very poor, whereas quinidine (QD) gave more promising enantioselectivities and favored the opposite enantiomer, as expected. The best results are obtained with the dimeric cinchona alkaloid (DHQD)₂PHAL, which resulted in enantiomeric excess values higher than 80%. However, a reversal of enantioselectivity occurred between quinidine and (DHQD)₂PHAL, although these two catalysts have identical stereochemistries of the binding site. More interestingly, dimeric cinchona alkaloids with different linkers such as (DHQD)₂PYR yielded a racemic mixture in toluene in contrast to the high enantioselectivities obtained with (DHQD)₂PHAL.

Quinidine and quinine catalyzed rearrangements of the racemic *O*-allyl trichloroacetimide **1** were investigated here in order to elucidate the factors affecting the stereoselectivity of the real system. Previous experimental and computational studies have shown that cinchona alkaloids exist in solution as a mixture of rapidly interconverting conformers, and their conformational preferences have been extensively investigated.²² These reports have shown that open-(3) and closed-(1) conformations, defined by the rotation around τ_4 and τ_5 , dominate in most of the solvents usually favoring the open-(3) conformer (Figure 7). We, therefore, used open-(3) conformer of the catalyst in our calculations. We have chosen TS-S_N2'-**1a** and its enantiomer to serve as transition state templates. The dimensions of the conformational space are, thus, reduced with the help of the preceding knowledge on τ_1 - τ_5 .

Transition states **(R)-TS-QD-I**, **(R)-TS-QD-II** (Figure 8a) and **(S)-TS-QD** (Figure 8b), were located by substituting the model catalyst with **QD-open-(3)** in the transition state templates. The critical distances in all transition states are in close agreement with the model transition state **TS-S_N2'-1a**. **(R)-TS-QD-II** is 2.2 kcal/mol stabilized compared to **(R)-TS-QD-I** due to H-bonding interaction between the hydroxyl proton of the catalyst and the carbonyl oxygen on the substrate (1.81 Å). **(R)-TS-QD-II** is also 0.9 kcal/mol lower in energy than **(S)-TS-QD**. This clearly contrasts to the stability of **(S)-TS-QD** compared to **(R)-TS-QD-I** and suggests the importance of H-bonding interactions in determining the fast-reacting enantiomer. The lowest energy transition state **(R)-TS-QD-II** reveals the selective transformation of the *R* enantiomer in the first step.

The rigid PES scan on the transition state geometries around the dihedrals τ_6 , τ_7 and τ_8 (Figure 8c) showed that there are no other low energy transition state alternatives. All geometries obtained from the rotation around τ_6 are found to be higher in energy. The energy contour plots for the scan of τ_7 versus τ_8 are displayed in Figure 8d. The PES obtained for **(S)-TS-QD** has verified the existence of a single minimum corresponding to the located transition state geometry for the transformation of the *S* enantiomer. Two alternative transition states for the *R* enantiomer are disclosed by two minima (**I** and **II**) on the PES corresponding to **(R)-TS-QD-I** and **(R)-TS-QD-II**.

Next, the reaction catalyzed by quinine was considered. In this case, **(S)-TS-QN** profits from the H-bonding interaction and only slightly favors the transformation of the *S* enantiomer by 0.2 kcal/mol compared to **(R)-TS-QN** (Figure 9). The relay of stereochemical information from the vinyl group seems negligible; quinine and quinidine catalyzed reactions have very similar activation energies.

The free energies for the complete processes are given in Figure 10. The geometries of ion pair intermediates and transition states are very similar to **INT** and **TS-S_N2'-1a**. The fast-reacting enantiomer is determined by the H-bonding interaction between the catalyst and the substrate. Indeed, from the activation barriers of the first and the second S_N2' steps, the major product is predicted as the *R* enantiomer with quinidine and the *S* enantiomer with quinine, quinine giving lower enantioselectivity in agreement with the experimental results.⁶

The switch in the fast-reacting enantiomer due to hydrogen bonding has prompted us to verify our results by substituting the hydroxyl proton by a methyl group. Our results have demonstrated the preferential transformation of the *S* enantiomer in the first step as expected (Figure 11). These results qualitatively explain the experimentally observed change in the enantioselectivity of the reaction as the hydroxyl group on quinidine is modified by an aromatic linker to connect two dihydroquinidine units. However, the selectivity seems to rely on many other factors depending on the nature of the linkage and the solvent that are still to be explored.

Conclusion

The catalyzed [1,3]-rearrangement proceeds via a double S_N2' addition that is favored energetically compared to the competing pseudopericyclic Overman rearrangement pathway. Calculations with a model catalyst have suggested that *syn* addition-elimination is highly favored in both steps. Inclusion of the cinchona alkaloid catalysts has additionally revealed the importance of the H-bonding in accelerating the reaction. These results provide an initial but important understanding of the factors affecting the enantioselective catalytic activity of cinchona alkaloids as nucleophilic catalysts. However, the conformational space of the substrate and cinchona alkaloids is large and the selectivity seems to depend on many factors that are still to be explored.

Supplementary Material

Refer to Web version on PubMed Central for supplementary material.

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Scheme 1.

[3,3]- and [1,3]-sigmatropic rearrangements of *O*-allylic trichloroacetimidates.

Figure 1.
Low energy conformers of **1** and their relative free energies, ΔG_{gas} ($\Delta G_{\text{toluene}}$).

Figure 2.

(a) Lowest energy transition states and their activation free energies, $\Delta G_{\text{gas}}^{\ddagger}$ ($\Delta G_{\text{toluene}}^{\ddagger}$), for the [3,3]-rearrangement and (b) the topology of the electron localization domain, represented by ELF=0.65 and ELF=0.85 isosurfaces for the [3,3]-rearrangement transition structures.

Figure 3.

(a) Lowest energy transition states and their activation free energies, $\Delta G^\ddagger_{\text{gas}}$ ($\Delta G^\ddagger_{\text{toluene}}$), for the [1,3]-rearrangement and (b) the topology of the electron localization domain, represented by ELF=0.65 and ELF=0.85 isosurfaces for the [1,3]-rearrangement transition structures.

Scheme 2.

Proposed mechanism for the cinchona catalyzed [1,3]-shifts.

Figure 4. Lowest energy *syn* and *anti* transition states and their activation free energies, $\Delta G^\ddagger_{\text{gas}}$ ($\Delta G^\ddagger_{\text{toluene}}$), for the S_N2' reaction.

Figure 5. Free energy profile, ΔG_{gas} ($\Delta G_{\text{toluene}}$), for the trimethylamine catalyzed [1,3]-shift of allylic trichloroacetimidate **1**.

Figure 6.
[3,3]- and [1,3]-rearrangements of hindered *O*-allylic trichloroacetimidates.

Scheme 3.

Possible pathways of cinchona catalyzed [1,3]-shifts of allylic trichloroacetimidates.

Scheme 4.
Stereoselectivities of Cinchona Catalyzed [1,3]-Rearrangements.

Figure 7. Open-(3) and closed-(1) conformations of quinidine, defined by the rotation around τ_4 and τ_5 .

Figure 8.

(a) Transition state geometries and the activation free energies ($\Delta G^\ddagger_{\text{gas}}$) of the first S_N2' step for the quinidine (QD) catalyzed transformations of **1**-(R) and (b) **1**-(S). (c) Dihedrals used for the rigid potential energy surface scan. (d) Energy contour plots for the scan of τ_7 versus τ_8 .

Figure 9. Transition state geometries and the activation free energies ($\Delta G_{\text{gas}}^\ddagger$) of the first S_N2' step for the quinine (QN) catalyzed transformations of **1**-(*S*) and **1**-(*R*).

Figure 10. Energetics (ΔG_{gas}) of quinine (QN) and quinidine (QD) catalyzed [1,3]-rearrangements.

Figure 11. Transition state geometries and the activation free energies ($\Delta G_{\text{gas}}^\ddagger$) of the first S_N2' step for transformations of **1**-(*S*) and **1**-(*R*) catalyzed by the quinidine methyl ether catalyst.