

# *NMR Shielding and Coupling Constants—Derivation*

This appendix is designed for those who want to double-check whether the final formulas for the shielding and coupling constants in the nuclear magnetic resonance (NMR) are indeed valid (Chapter 12).

## *Shielding Constants*

Let us begin from Eq. (12.88).

## *Applying Vector Identities*

We are going to apply some vector identities<sup>1</sup> in the operators  $\hat{B}_3$ ,  $\hat{B}_4$ ,  $\hat{B}_5$ . The first identity is  $\mathbf{u} \cdot (\mathbf{v} \times \mathbf{w}) = \mathbf{v} \cdot (\mathbf{w} \times \mathbf{u}) = \mathbf{w} \cdot (\mathbf{u} \times \mathbf{v})$ , which simply means three equivalent ways of calculating the volume of a parallelepiped (cf., p. 515). This identity, applied to  $\hat{B}_3$  and  $\hat{B}_4$ , gives

$$\hat{B}_3 = \frac{e}{mc} \sum_A \sum_j \gamma_A \frac{\mathbf{I}_A \cdot \hat{\mathbf{L}}_{Aj}}{r_{Aj}^3}, \quad (\text{W.1})$$

$$\hat{B}_4 = \frac{e}{2mc} \sum_j \mathbf{H} \cdot \hat{\mathbf{L}}_{0j}. \quad (\text{W.2})$$

Let us transform the term  $\hat{B}_5$  by using the following identity  $(\mathbf{u} \times \mathbf{v}) \cdot (\mathbf{w} \times \mathbf{s}) = (\mathbf{u} \cdot \mathbf{w})(\mathbf{v} \cdot \mathbf{s}) - (\mathbf{v} \cdot \mathbf{w})(\mathbf{u} \cdot \mathbf{s})$ :

$$\begin{aligned} \hat{B}_5 &= \frac{e^2}{2mc^2} \sum_A \sum_j \gamma_A (\mathbf{H} \times \mathbf{r}_{0j}) \cdot \frac{\mathbf{I}_A \times \mathbf{r}_{Aj}}{r_{Aj}^3} \\ &= \frac{e^2}{2mc^2} \sum_A \sum_j \gamma_A [(\mathbf{H} \cdot \mathbf{I}_A)(\mathbf{r}_{0j} \cdot \mathbf{r}_{Aj}) - (\mathbf{r}_{0j} \cdot \mathbf{I}_A)(\mathbf{H} \cdot \mathbf{r}_{Aj})] \cdot \frac{1}{r_{Aj}^3}. \end{aligned}$$

<sup>1</sup> The reader may easily check each of these identities.

### Putting Things Together

We are now ready to put all this baroque furniture into its destination; i.e., into Eq. (12.88) for  $\Delta E$ :

$$\Delta E = \sum_A \Delta E_A, \quad (\text{W.3})$$

where  $\Delta E_A$  stands for the contribution of nucleus  $A$ :

$$\begin{aligned} \Delta E_A = & -\gamma_A \left\langle \psi_0^{(0)} \left| \mathbf{I}_A \cdot \mathbf{H} \right| \psi_0^{(0)} \right\rangle \\ & + \frac{e^2}{2mc^2} \gamma_A \left\langle \psi_0^{(0)} \left| \sum_j [(\mathbf{H} \cdot \mathbf{I}_A)(\mathbf{r}_{0j} \cdot \mathbf{r}_{Aj}) - (\mathbf{r}_{0j} \cdot \mathbf{I}_A)(\mathbf{H} \cdot \mathbf{r}_{Aj})] \cdot \frac{1}{r_{Aj}^3} \psi_0^{(0)} \right\rangle \right. \\ & + \frac{e^2}{2m^2c^2} \gamma_A \left[ \left\langle \psi_0^{(0)} \left| \left( \sum_j \frac{\mathbf{I}_A \cdot \hat{\mathbf{L}}_{Aj}}{r_{Aj}^3} \right) \hat{R}_0 \left( \sum_j \mathbf{H} \cdot \hat{\mathbf{L}}_{0j} \right) \psi_0^{(0)} \right\rangle \right. \\ & \left. \left. + \left\langle \psi_0^{(0)} \left| \left( \sum_j \mathbf{H} \cdot \hat{\mathbf{L}}_{0j} \right) \hat{R}_0 \left( \sum_j \frac{\mathbf{I}_A \cdot \hat{\mathbf{L}}_{Aj}}{r_{Aj}^3} \right) \psi_0^{(0)} \right\rangle \right] \right], \end{aligned}$$

### Averaging over Rotations

The expression for  $\Delta E_A$  represents a bilinear form with respect to the components of vectors  $\mathbf{I}_A$  and  $\mathbf{H}$ :

$$\Delta E_A = \mathbf{I}_A^T \mathbf{C}_A \mathbf{H},$$

where  $\mathbf{C}_A$  stands for a square matrix<sup>2</sup> of dimension 3, and  $\mathbf{I}_A$  and  $\mathbf{H}$  are vertical three-component vectors.

A contribution to the energy such as  $\Delta E_A$  cannot depend on our choice of coordinate system axes  $x, y, z$ ; i.e., on the components of  $\mathbf{I}_A$  and  $\mathbf{H}$ . We will obtain the same energy if we rotate the axes (orthogonal transformation) in such a way as to diagonalize  $\mathbf{C}_A$ . The resulting diagonalized matrix  $\mathbf{C}_{A,diag}$  has three eigenvalues (composing the diagonal) corresponding to the new axes  $x', y', z'$ . *The very essence of averaging is that none of these axes are to be privileged in any sense.* This is achieved by constructing the averaged matrix

$$\begin{aligned} & \frac{1}{3} \left[ (\mathbf{C}_{A,diag})_{x'x'} + (\mathbf{C}_{A,diag})_{y'y'} + (\mathbf{C}_{A,diag})_{z'z'} \right] \\ & = (\bar{\mathbf{C}}_{A,diag})_{x'x'} = (\bar{\mathbf{C}}_{A,diag})_{y'y'} = (\bar{\mathbf{C}}_{A,diag})_{z'z'} \equiv \mathbf{C}_A, \end{aligned}$$

<sup>2</sup> We could write its elements from the equation for  $\Delta E_A$ , but their general form will turn out to be unnecessary.



with the matrix elements  $(\hat{U})_{kl} = \langle \psi_k^{(0)} | \hat{U} \psi_l^{(0)} \rangle$  of the corresponding operators  $\hat{U} = (\hat{U}_x, \hat{U}_y, \hat{U}_z)$ .

Finally, after comparing the formula with Eq. (12.81), we obtain the shielding constant for nucleus  $A$  (the change of sign in the second part of the formula comes from the change in the denominator) given in Eq. (12.89).

## Coupling Constants

### Averaging over Rotations

In each contribution on pp. 781 and 782, there is a double summation over the nuclear spins, which, after averaging over rotations (similarly as for the shielding constant), gives rise to an energy dependence of the kind  $\sum_{A < B} \gamma_A \gamma_B K_{AB} (\hat{\mathbf{I}}_A \cdot \hat{\mathbf{I}}_B)$ , which is required in the NMR Hamiltonian. Now, let us take the terms  $E_{\text{DSO}}$ ,  $E_{\text{PSO}}$ ,  $E_{\text{SD}}$ ,  $E_{\text{FC}}$  and average them over rotations producing  $\bar{E}_{\text{DSO}}$ ,  $\bar{E}_{\text{PSO}}$ ,  $\bar{E}_{\text{SD}}$ ,  $\bar{E}_{\text{FC}}$ :

$$\begin{aligned} \bar{E}_{\text{DSO}} = & \frac{e^2}{2mc^2} \sum_{A,B} \sum_j \gamma_A \gamma_B \mathbf{I}_A \cdot \mathbf{I}_B \left\langle \psi_0^{(0)} \left| \frac{\mathbf{r}_{Aj} \cdot \mathbf{r}_{Bj}}{r_{Aj}^3 r_{Bj}^3} \psi_0^{(0)} \right. \right\rangle \\ & - \frac{e^2}{2mc^2} \sum_{A,B} \sum_j \gamma_A \gamma_B \frac{1}{3} \mathbf{I}_A \cdot \mathbf{I}_B \left\{ \left\langle \psi_0^{(0)} \left| \frac{x_{Aj} x_{Bj}}{r_{Aj}^3 r_{Bj}^3} \psi_0^{(0)} \right. \right\rangle \right. \\ & \left. + \left\langle \psi_0^{(0)} \left| \frac{y_{Aj} y_{Bj}}{r_{Aj}^3 r_{Bj}^3} \psi_0^{(0)} \right. \right\rangle + \left\langle \psi_0^{(0)} \left| \frac{z_{Aj} z_{Bj}}{r_{Aj}^3 r_{Bj}^3} \psi_0^{(0)} \right. \right\rangle \right\}, \end{aligned}$$

because the first part of the formula does not need any averaging (it is already in the appropriate form), the second part is averaged according to Eq. (W.4). Therefore,

$$\begin{aligned} \bar{E}_{\text{DSO}} = & \frac{e^2}{3mc^2} \sum_{A,B} \sum_j \gamma_A \gamma_B \mathbf{I}_A \cdot \mathbf{I}_B \left\langle \psi_0^{(0)} \left| \frac{\mathbf{r}_{Aj} \cdot \mathbf{r}_{Bj}}{r_{Aj}^3 r_{Bj}^3} \psi_0^{(0)} \right. \right\rangle. \\ \bar{E}_{\text{PSO}} = & \left\langle \psi_0^{(0)} \left| \hat{B}_3 \hat{R}_0 \hat{B}_3 \psi_0^{(0)} \right. \right\rangle_{\text{aver}} \\ = & \left( \frac{i\hbar e}{mc} \right)^2 \sum_{A,B} \sum_{j,l} \gamma_A \gamma_B \left\langle \psi_0^{(0)} \left| \nabla_j \cdot \frac{\mathbf{I}_A \times \mathbf{r}_{Aj}}{r_{Aj}^3} \hat{R}_0 \nabla_l \cdot \frac{\mathbf{I}_B \times \mathbf{r}_{Bl}}{r_{Bl}^3} \psi_0^{(0)} \right. \right\rangle_{\text{aver}} \\ = & \left( \frac{i\hbar e}{mc} \right)^2 \sum_{A,B} \sum_{j,l} \gamma_A \gamma_B \left\langle \psi_0^{(0)} \left| \nabla_j \cdot \frac{\mathbf{r}_{Aj} \times \mathbf{I}_A}{r_{Aj}^3} \hat{R}_0 \nabla_l \cdot \frac{\mathbf{r}_{Bl} \times \mathbf{I}_B}{r_{Bl}^3} \psi_0^{(0)} \right. \right\rangle_{\text{aver}} \\ = & - \left( \frac{\hbar e}{mc} \right)^2 \sum_{A,B} \sum_{j,l} \gamma_A \gamma_B \left\langle \psi_0^{(0)} \left| \mathbf{I}_A \cdot \left( \nabla_j \times \frac{\mathbf{r}_{Aj}}{r_{Aj}^3} \right) \hat{R}_0 \mathbf{I}_B \cdot \left( \nabla_l \times \frac{\mathbf{r}_{Bl}}{r_{Bl}^3} \right) \psi_0^{(0)} \right. \right\rangle_{\text{aver}}, \end{aligned}$$

where the subscript *aver* means the averaging of Eq. (W.4) and the identity  $\mathbf{A} \cdot (\mathbf{B} \times \mathbf{C}) = (\mathbf{A} \times \mathbf{B}) \cdot \mathbf{C}$  has been used. We have the following chain of equalities (involving<sup>4</sup> the electronic momenta  $\hat{\mathbf{p}}_j$  and angular momenta  $\mathbf{L}_{Aj}$  with respect to the nucleus  $A$ , where  $j$  means electron number  $j$ ):

$$\begin{aligned}
 & \left( \frac{i\hbar e}{mc} \right)^2 \sum_{A,B} \sum_{j,l} \gamma_A \gamma_B \left\langle \psi_0^{(0)} \left| \mathbf{I}_A \cdot \frac{1}{i\hbar} (\mathbf{r}_{Aj} \times \hat{\mathbf{p}}_j) \hat{\mathbf{R}}_0 \mathbf{I}_B \cdot \frac{1}{i\hbar} (\mathbf{r}_{Bl} \times \hat{\mathbf{p}}_l) \psi_0^{(0)} \right. \right\rangle_{\text{aver}} \\
 &= \left( \frac{e}{mc} \right)^2 \sum_{A,B} \sum_{j,l} \gamma_A \gamma_B \left\langle \psi_0^{(0)} \left| \mathbf{I}_A \cdot (\mathbf{r}_{Aj} \times \hat{\mathbf{p}}_j) \hat{\mathbf{R}}_0 \mathbf{I}_B \cdot (\mathbf{r}_{Bl} \times \hat{\mathbf{p}}_l) \psi_0^{(0)} \right. \right\rangle_{\text{aver}} \\
 &= \left( \frac{e}{mc} \right)^2 \sum_{A,B} \sum_{j,l} \gamma_A \gamma_B \left\langle \psi_0^{(0)} \left| \mathbf{I}_A \cdot \hat{\mathbf{L}}_{Aj} \hat{\mathbf{R}}_0 \mathbf{I}_B \cdot \hat{\mathbf{L}}_{Bl} \psi_0^{(0)} \right. \right\rangle_{\text{aver}} \\
 &= \left( \frac{e}{mc} \right)^2 \sum_{A,B} \sum_{j,l} \gamma_A \gamma_B \mathbf{I}_A \cdot \mathbf{I}_B \frac{1}{3} \left\{ \left\langle \psi_0^{(0)} \left| \hat{\mathbf{L}}_{Aj,x} \hat{\mathbf{R}}_0 \hat{\mathbf{L}}_{Bl,x} \psi_0^{(0)} \right. \right\rangle + \left\langle \psi_0^{(0)} \left| \hat{\mathbf{L}}_{Aj,y} \hat{\mathbf{R}}_0 \hat{\mathbf{L}}_{Bl,y} \psi_0^{(0)} \right. \right\rangle \right. \\
 & \quad \left. + \left\langle \psi_0^{(0)} \left| \hat{\mathbf{L}}_{Aj,z} \hat{\mathbf{R}}_0 \hat{\mathbf{L}}_{Bl,z} \psi_0^{(0)} \right. \right\rangle \right\}.
 \end{aligned}$$

Thus, finally,

$$\bar{E}_{\text{PSO}} = \frac{1}{3} \left( \frac{e}{mc} \right)^2 \sum_{A,B} \sum_{j,l} \gamma_A \gamma_B \mathbf{I}_A \cdot \mathbf{I}_B \left\langle \psi_0^{(0)} \left| \hat{\mathbf{L}}_{Aj} \hat{\mathbf{R}}_0 \hat{\mathbf{L}}_{Bl} \psi_0^{(0)} \right. \right\rangle.$$

<sup>4</sup> Let us take a closer look at the operator  $\left( \nabla_j \times \frac{\mathbf{r}_{Aj}}{r_{Aj}^3} \right)$  acting on a function  $f$  (it is necessary to remember that  $\nabla_j$  in  $\nabla_j \times \frac{\mathbf{r}_{Aj}}{r_{Aj}^3}$  is not acting on the components of  $\frac{\mathbf{r}_{Aj}}{r_{Aj}^3}$  alone, but in fact on  $\frac{\mathbf{r}_{Aj}}{r_{Aj}^3}$  times a wave function). Let us see:

$$\begin{aligned}
 & \left( \nabla_j \times \frac{\mathbf{r}_{Aj}}{r_{Aj}^3} \right) f = \mathbf{i} \left( \nabla_j \times \frac{\mathbf{r}_{Aj}}{r_{Aj}^3} \right)_x f + \mathbf{j} \left( \nabla_j \times \frac{\mathbf{r}_{Aj}}{r_{Aj}^3} \right)_y f + \mathbf{k} \left( \nabla_j \times \frac{\mathbf{r}_{Aj}}{r_{Aj}^3} \right)_z f \\
 &= \mathbf{i} \left( \frac{\partial}{\partial y_j} \frac{z_{Aj}}{r_{Aj}^3} - \frac{\partial}{\partial z_j} \frac{y_{Aj}}{r_{Aj}^3} \right)_x f + \text{similarly with } y \text{ and } z \\
 &= \mathbf{i} \left( -3 \frac{y_{Aj} z_{Aj}}{r_{Aj}^4} + \frac{z_{Aj}}{r_{Aj}^3} \frac{\partial}{\partial y_j} + 3 \frac{y_{Aj} z_{Aj}}{r_{Aj}^4} - \frac{y_{Aj}}{r_{Aj}^3} \frac{\partial}{\partial z_j} \right)_x f + \text{similarly with } y \text{ and } z \\
 &= \mathbf{i} \left( \frac{z_{Aj}}{r_{Aj}^3} \frac{\partial}{\partial y_j} - \frac{y_{Aj}}{r_{Aj}^3} \frac{\partial}{\partial z_j} \right)_x f + \text{similarly with } y \text{ and } z = \mathbf{i} \left( \frac{z_{Aj}}{r_{Aj}^3} \frac{\partial}{\partial y_j} - \frac{y_{Aj}}{r_{Aj}^3} \frac{\partial}{\partial z_j} \right)_x f \\
 & \quad + \text{similarly with } y \text{ and } z = -\frac{1}{i\hbar} (-\mathbf{r}_{Aj} \times \hat{\mathbf{p}}_j) f = \frac{1}{i\hbar} (\mathbf{r}_{Aj} \times \hat{\mathbf{p}}_j) f.
 \end{aligned}$$

$$\begin{aligned}
 \bullet \quad \bar{E}_{SD} &= \left\langle \psi_0^{(0)} \mid \hat{B}_6 \hat{R}_0 \hat{B}_6 \psi_0^{(0)} \right\rangle_{\text{aver}} \\
 &= \gamma_{el}^2 \sum_{j,l=1}^N \sum_{A,B} \gamma_A \gamma_B \left\langle \psi_0^{(0)} \mid \left[ \frac{\hat{\mathbf{s}}_j \cdot \mathbf{I}_A}{r_{Aj}^3} - 3 \frac{(\hat{\mathbf{s}}_j \cdot \mathbf{r}_{Aj}) (\mathbf{I}_A \cdot \mathbf{r}_{Aj})}{r_{Aj}^5} \right] \right. \\
 &\quad \times \hat{R}_0 \left[ \frac{\hat{\mathbf{s}}_l \cdot \mathbf{I}_B}{r_{Bl}^3} - 3 \frac{(\hat{\mathbf{s}}_l \cdot \mathbf{r}_{Bl}) (\mathbf{I}_B \cdot \mathbf{r}_{Bl})}{r_{Bl}^5} \right] \psi_0^{(0)} \left. \right\rangle_{\text{aver}} \\
 &= \gamma_{el}^2 \sum_{j,l=1}^N \sum_{A,B} \gamma_A \gamma_B \mathbf{I}_A \cdot \mathbf{I}_B \frac{1}{3} \left\{ \left\langle \psi_0^{(0)} \mid \left[ \frac{\hat{\mathbf{s}}_{j,x}}{r_{Aj}^3} - 3 \frac{(\hat{\mathbf{s}}_j \cdot \mathbf{r}_{Aj}) x_{Aj}}{r_{Aj}^5} \right] \right. \right. \\
 &\quad \times \hat{R}_0 \left[ \frac{\hat{\mathbf{s}}_{l,x}}{r_{Bl}^3} - 3 \frac{(\hat{\mathbf{s}}_l \cdot \mathbf{r}_{Bl}) (x_{Bl})}{r_{Bl}^5} \right] \psi_0^{(0)} \left. \right\rangle \\
 &\quad + \left\langle \psi_0^{(0)} \mid \left[ \frac{\hat{\mathbf{s}}_{j,y}}{r_{Aj}^3} - 3 \frac{(\hat{\mathbf{s}}_j \cdot \mathbf{r}_{Aj}) y_{Aj}}{r_{Aj}^5} \right] \hat{R}_0 \left[ \frac{\hat{\mathbf{s}}_{l,y}}{r_{Bl}^3} - 3 \frac{(\hat{\mathbf{s}}_l \cdot \mathbf{r}_{Bl}) (y_{Bl})}{r_{Bl}^5} \right] \psi_0^{(0)} \right\rangle \\
 &\quad \left. + \left\langle \psi_0^{(0)} \mid \left[ \frac{\hat{\mathbf{s}}_{j,z}}{r_{Aj}^3} - 3 \frac{(\hat{\mathbf{s}}_j \cdot \mathbf{r}_{Aj}) z_{Aj}}{r_{Aj}^5} \right] \hat{R}_0 \left[ \frac{\hat{\mathbf{s}}_{l,z}}{r_{Bl}^3} - 3 \frac{(\hat{\mathbf{s}}_l \cdot \mathbf{r}_{Bl}) (z_{Bl})}{r_{Bl}^5} \right] \psi_0^{(0)} \right\rangle \right\}.
 \end{aligned}$$

Therefore,

$$\begin{aligned}
 \bar{E}_{SD} &= \frac{1}{3} \gamma_{el}^2 \sum_{j,l=1}^N \sum_{A,B} \gamma_A \gamma_B \mathbf{I}_A \cdot \mathbf{I}_B \left\langle \psi_0^{(0)} \mid \left[ \frac{\hat{\mathbf{s}}_j}{r_{Aj}^3} - 3 \frac{(\hat{\mathbf{s}}_j \cdot \mathbf{r}_{Aj}) \mathbf{r}_{Aj}}{r_{Aj}^5} \right] \right. \\
 &\quad \times \hat{R}_0 \left[ \frac{\hat{\mathbf{s}}_l}{r_{Bl}^3} - 3 \frac{(\hat{\mathbf{s}}_l \cdot \mathbf{r}_{Bl}) (\mathbf{r}_{Bl})}{r_{Bl}^5} \right] \psi_0^{(0)} \left. \right\rangle.
 \end{aligned}$$

$$\begin{aligned}
 \bullet \quad \bar{E}_{FC} &= \left\langle \psi_0^{(0)} \mid \hat{B}_7 \hat{R}_0 \hat{B}_7 \psi_0^{(0)} \right\rangle \\
 &= \gamma_{el}^2 \sum_{j,l=1}^N \sum_{A,B} \gamma_A \gamma_B \left\langle \psi_0^{(0)} \mid \delta(\mathbf{r}_{Aj}) \hat{\mathbf{s}}_j \cdot \mathbf{I}_A \hat{R}_0 \delta(\mathbf{r}_{Bl}) \hat{\mathbf{s}}_l \cdot \mathbf{I}_B \psi_0^{(0)} \right\rangle_{\text{aver}} \\
 &= \gamma_{el}^2 \sum_{j,l=1}^N \sum_{A,B} \gamma_A \gamma_B \mathbf{I}_A \cdot \mathbf{I}_B \frac{1}{3} \left\{ \left\langle \psi_0^{(0)} \mid \delta(\mathbf{r}_{Aj}) \hat{\mathbf{s}}_{j,x} \hat{R}_0 \delta(\mathbf{r}_{Bl}) \hat{\mathbf{s}}_{l,x} \psi_0^{(0)} \right\rangle \right. \\
 &\quad \left. + \left\langle \psi_0^{(0)} \mid \delta(\mathbf{r}_{Aj}) \hat{\mathbf{s}}_{j,y} \hat{R}_0 \delta(\mathbf{r}_{Bl}) \hat{\mathbf{s}}_{l,y} \psi_0^{(0)} \right\rangle + \left\langle \psi_0^{(0)} \mid \delta(\mathbf{r}_{Aj}) \hat{\mathbf{s}}_{j,z} \hat{R}_0 \delta(\mathbf{r}_{Bl}) \hat{\mathbf{s}}_{l,z} \psi_0^{(0)} \right\rangle \right\}.
 \end{aligned}$$

Hence,

$$\bar{E}_{FC} = \frac{1}{3} \left( \frac{8\pi}{3} \right)^2 \gamma_{el}^2 \sum_{j,l=1}^N \sum_{A,B} \gamma_A \gamma_B \mathbf{I}_A \cdot \mathbf{I}_B \left\langle \psi_0^{(0)} \mid \delta(\mathbf{r}_{Aj}) \hat{\mathbf{s}}_j \hat{R}_0 \delta(\mathbf{r}_{Bl}) \hat{\mathbf{s}}_l \psi_0^{(0)} \right\rangle.$$

The results mean that the coupling constants  $J$  are as reported on p. 783.