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6 The controlled shapes of inorganic nanoparticles through diverse mechanisms from solution7 was elucidated based on classical nucleation and growth theory

Shape control of inorganic nanoparticles from solution

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19	
20	Abstract
21	The inorganic materials with controllable shape have been a intensely subject in nanoscience over the
22	past decades. Controlling over novel and anisotropic shape of inorganic nanomaterials differing from
23	bulk materials enables their unique and tunable properties for widespread applications such as
24	biomedicine, catalysis, fuel or solar cell and magnetic data storage. This review presents a
25	comprehensive overview in shape-controlled inorganic nanomaterials through nucleation and growth

28 wet-chemistry synthesis process. Subsequently, typical mechanisms for shape-controlled inorganic 29 nanoparticles and general formed shape of nanoparticles by each mechanism are also expounded. 30 Furthermore, the difference of similar mechanisms for shape controlling of inorganic nanoparticles 31 are also clearly described. The authors envision this review providing valuable guidance on 32 experimental conditions and process control for tunable shape of inorganic nanoparticles in solution 33 state.

theory and experimental conditions controlling (including supersaturation, temperature, surfactants

and secondary nucleation), providing a brief account of shape control of inorganic nanoparticle during

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52 **1 Introduction**

53 Nanomaterials, especially inorganic nanomaterials (such as metal, metal oxide, metal sulfate, quantum 54 dots, et al.) with fundamental properties have attracted considerable interest in developing 55 biomedicine, catalysis, fuel cell, sensors and magnetic data storage.¹⁻⁷ Over last two or three decades, much progress has been pursued for synthesis of diverse inorganic nanomaterials and exploring their 56 57 revolutionary applications. General agreement for synthesis of inorganic nanomaterials have been 58 made that the synthesis can be carried out in two essential approaches, referring as "bottom-up" and "top-down".⁵ The top-down approach is based on physical and lithographic principle of micro- and 59 60 nanotechnology and started from a large material entity, then the produced inorganic nanoparticles 61 (NPs) with size in medium to lower nanometer range but with a relative broad size distribution and 62 uncontrollable shape. Inversely, bottom-up approach, ionic, atomic, or molecular units are assembled 63 through various reaction processes to form structures in nanometer range and provides high structural 64 purity inorganic NPs with diverse shape, size, composition and surface properties. Form the 65 fundamental and functional viewpoints, the bottom-up approach is far more popular in synthesis of 66 inorganic NPs and is considered as promising route to control the constitute, growth, final nano-entity morphology and properties of inorganic NPs.⁸⁻¹⁰ In solution state, the bottom-up synthesis route for 67 68 various shape-controlled inorganic NPs can be facilitated in precipitated methods, preformed-seed-69 mediated growth method (such as noble metal, oxide), polyol approach, template approach, electrochemical synthesis and photochemical synthesis routes.¹¹⁻¹³ 70

Inorganic NPs obtained from bottom-up route in solution state originates from the fact that the tunable novel properties of inorganic NPs could be drastically altered in their dimensional shape. In dimensional range of inorganic NPs, shape can be classified into 0D (isotropic structure), 1D, 2D, and 3D (anisotropic structure). The typical solid and mesoporous/hollow shape of inorganic NPs based on dimensionality, is shown in **Figure 1**. In case of 0D inorganic NPs, typical shapes include spherical, pseudo-spherical, dodecahedral, tetrahedral, octahedral, cubic, and corresponding hollow structure morphologies. 1D morphology of inorganic NPs are nanotubes, nanoneedle, nanorods or nanowires,

nanoshuttles, nanocapsule and hollow structures etc.¹⁴⁻¹⁵ Round disk, hexagonal/ triangular/ 78 79 quadrangular plates or sheets, belts, mesoporous- hollow nanosphere, hollow rings, etc. belong to 2D shape of inorganic NPs.¹⁶ 3D morphology of inorganic NPs is complex one, including nanourchins, 80 81 nanoflowers, nanostar, polygonal nanoframes, multiple hollow shelled NPs, hollow bunches and so on.¹⁷⁻¹⁸ Comparing with the simple isotropic morphology of inorganic NPs, novel anisotropic 82 83 morphologies of inorganic NPs give rise to new features and unique physicochemical properties due 84 to the number of their step edges, kink sites on surface and high surface-area-to volume ratio in nanoscale regime. For instance, polyhedral Au NPs with high-index facets exhibit excellent optical 85 and catalytic properties,^{12, 19} Au rod with different ratios of length and width display different 86 87 transverse and longitudinal plasmon bands for surface-enhanced Raman scattering and biomedicine, ²⁰⁻²¹ and branched Au NPs with multiple tips (such as, stars, flowers) ²²⁻²³ have been attracted 88 increasing interest in catalysis, surface-enhanced Raman scattering, and sensing.²⁴⁻²⁵ A great deal of 89 90 effort has been devoted to control over shape of inorganic NPs, and much progress in synthesis of shape-controlled inorganic NPs and corresponding shape-dependent properties have been made over 91 last decades.²⁶⁻²⁷ Generally, the shape formation of inorganic NPs can be controlled or varied by 92 93 thermodynamically or kinetically controlling manner during solution state. Normorally, thermodynamic controlled morphology of inorganic NPs was produced, when the reaction is driven 94 95 by chemical potential of reaction solution, which is directly related with temperature and 96 supersaturation of solution. Kinetically controlled different dimension morphologies can be obtained 97 by altering the reaction conditions, which happens when freshly produced atoms are in rapid collision 98 with smaller number of embryos in local regions of high supersaturation for the formation of nuclei, 99 according to the nucleation theory. And then the growth of nuclei with kinetic controlled process contributes to the formation of nanoparticles with anisotropic shape.¹¹ Thus, the synergistic effects of 100 thermodynamic and kinetic aspects are considered as critical roles in determining the final shape of 101 inorganic NPs.24 102

Recently, most viewpoints and efforts in the literatures are focused on the effect of adjusting reaction parameters on size and shape evolution in capping molecule-assisted synthesis and other

innovative synthesis approaches.²⁸⁻³⁰ Although, it is worth noting that there are no simple rules to 105 106 determine the final shape of inorganic nanomaterials. The basic principle of nucleation and growth 107 that typically occurs in the bulk solution throughout all the reactions, and corresponding altered 108 reaction parameters including precursor concentration or supersaturation, reaction temperature/aging 109 time and additives still have not been paid attention. Thus, to address a comprehensive understanding 110 of the formation meachanism and shape evolution policies of inorganic nanomaterials, the influences 111 of these reaction parameters during synthesis process of inorganic nanomaterials are studied. Then, 112 the typical mechanisms for shape-controlled inorganic NPs also have been presented for guidance of 113 further studies.

114 **2** Nucleation and growth theory

115 **2.1 Classical nucleation**

The definition and classification of nucleation have been described by Mullin since 1961, ³¹ in which 116 117 nucleation is a process whereby second phase generated from one phase. In solution state, that is, 118 solid particles are considered as second phase generated from precursors solution phase by nucleation 119 process. Here, if the solid nuclei generated from homogenous supersaturated bulk solution is referred 120 as primary nucleation. Inversely, if the fresh nuclei generated in a supersaturated bulk solution in 121 presence of other particles or materials with same and different components (such as, container 122 surfaces, impurities, grain boundaries, dislocations), is named as "secondary nucleation" and 123 "heterogeneous nucleation", respectively. Additionally, occurrence of heterogeneous nucleation and 124 secondary nucleation is much easier than primary nucleation due to low energy barrier, since stable nucleating sites already presented in the system. As presented by Mullin, ³¹ and other researches, ^{11,32} 125 126 the formation of homogeneous nuclei is considered as a thermodynamically process driving by the 127 supersaturation of bulk solution and deciding by total free energy (ΔG) of a NPs, defining as the sum 128 of surface free energy and bulk free energy ΔG_{v} , as shown in Eq. 1

129
$$\Delta G = 4\pi r^2 \gamma - \frac{4}{3}\pi r^3 \Delta G_{\nu} \tag{1}$$

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where r and y is radius of particle and the surface energy, respectively. As regards of the free energy

131 of bulk crystal ΔG_{ν} is defined as free energy change of transformation to unit volume of particles, 132 dependent upon temperature T, Boltzmann's constant k_B , its molar volume v, and supersaturation ratio of bulk solution S. That is, $\Delta G_{\nu} = \frac{-2\gamma}{r} = \frac{-2k_BT\ln(S)}{\nu}$. Particularly, S is defined as ratio of monomer 133 134 concentration in solution C to equilibrium monomer concentration C^* in the crystals ($S=C/C^*$). 135 In homogeneous solution, nucleation process is accomplished by costing the increased free energy to 136 form an interface between bulk solution and surface solid nuclei. Nuclei with formed radius are highly 137 with respect to supersaturation level, and rapidly increase and narrow distribution of supersaturation 138 results in small size of particles in terms of the definition of bulk free energy ΔG_{y} . The critical value of ΔG and critical radius of nuclei that existed in the bulk solution is conducted by differentiating ΔG 139 with respect to radius r when ΔG is set to zero, $d(\Delta G_{crit})/dr = 0$, giving a critical free energy in Eq. 140 2. Apparently, $\Delta G_{crit}^{\text{hom}o}$ is required to obtain stable nuclei within solution (Figure 2). ³³⁻³⁵ Then, the 141 142 critical radius corresponds to the minimum size of nuclei surviving in solution without being 143 redissolved, as defined in Eq. 3.

144
$$\Delta G_{crit} = \frac{4}{3} \pi \gamma r_{crit}^{2} = \Delta G_{crit}^{\text{hom}o}$$
(2)

145
$$r_{crit} = \frac{-2\gamma}{\Delta G_{\nu}} = \frac{2\gamma\nu}{k_{B}T\ln S}$$
(3)

A nucleation rate of nuclei *N* formed per unit time per unit volume, were written in a form of Arrhenius reaction velocity equation, which is commonly used for the rate of a thermally activated process:

149
$$\frac{dN}{dt} = A \exp(-\Delta G_{crti} / k_B T) = A \exp(\frac{-16\pi \gamma^3 v^2}{3k_B^3 T^3 (\ln S)^2})$$
(4)

where A is a pre-exponential factor. According to the Eq.4, the nucleation rate can be varied by the experimental parameters involving supersaturation, temperature and surface free energy, and the detail influence will be introduced in the following part. The higher concentration of monomer, high

temperature and lower critical energy barrier favor for rapid nucleation rate, resulting in high population of nuclei with small size, as demonstrated by a large number of synthesis process.³⁶⁻³⁷ Additionally, some non-classical nucleation theories, such as, two-step nucleation for protein crystallization, and cluster aggregation for agglomeration of particles, also were explored for addressing the nucleation process.³⁸⁻³⁹

158 **2.2 Classical growth and dissolution**

159 After nucleation, subsequent growth of nuclei is strongly determined the shape of nanomaterials, 160 which is thermodynamically driven by the decreasing surface free energy of generated particles. 161 Growth process involves deposition of elementary (including atoms, molecules, assemblies or 162 particles) attaching on performed NPs in a growth medium (plasma, melt, solution, gel, etc.). And this 163 attachment occurs at sites of nuclei surface. The density of existed sites on performed nuclei surface 164 together with the kinetics of incorporation into these sites are crucial roles to determine the growth rate of NPs.⁴⁰ In classical growth theory, there are two growth mechanisms including surface reaction 165 and monomer's diffusion to particle surface.⁴¹ 166

167 As described by Fick's first law of diffusion, if the monomers flux passing through a surface of 168 spherical NPs with radius x, the diffusion rate of monomers through its surface can be written as

169
$$\frac{dm}{dt} = JA = -4\pi x^2 D \frac{dC}{dx}$$
(5)

where *J* is monomer flux and *D* is diffusion constant. The diffusion rate of monomers at spherical NPs
surface with radius r at steady state, the above equation can be written as

172
$$\frac{dm}{dt} = 4\pi r D(C_b - C_i) \tag{6}$$

where C_b is concentration of monomers within bulk solution, C_i is concentration of monomers at interface of solid/ liquid. Similarly, equations can be written for the rate of surface reaction,

175
$$\frac{dm}{dt} = 4\pi r^2 k (C_i - C_r)$$
 (7)

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where k is mass transfer coefficient, C_r is the equilibrium concentration of solid NPs. If the diffusion is the limiting factor and particle size changes with time, the diffusion of monomers onto the surface of NPs is given in equation (8). Similarly, if the surface reaction is the limiting factor, the equation (7) can be described in (9).

$$180 \qquad \frac{dr}{dt} = \frac{DV}{r}(C_b - C_r) \tag{8}$$

181
$$\frac{dr}{dt} = k\nu(C_b - C_r) \tag{9}$$

where C_r is the solubility of the NPs, and ν is molar volume of bulk NPs. The growth of nanoparticles is controlled the two limiting factors neither by diffusion nor surface reaction, and then the increase in particles size with time shows in equation (10).

185
$$\frac{dr}{dt} = \frac{Dv}{r + D/k} (C_b - C_r)$$
(10)

186 A scheme of concentration as driving force for diffusion and reaction of crystal growth is shown in 187 Figure 3. Diffusion-limited or reaction-limited process with different concentration of precursor monomer determines the shape of NPs by growth rate. ⁴² Within solution of high concentration of 188 189 precursor monomer solution, growth rate is controlled by the diffusion-limited process. That is, 190 diffusion of precursor monomer is rate-determining step. Then, precursor monomers are precipitated 191 immediately onto the surface of NPs through the bulk reaction medium and solvent. Nevertheless, in 192 the case of reaction-limited growth process, when concentration of precursor monomer is low and 193 growth is greatly limited by surface reaction of monomers, total growth rate is determined by the 194 relative nucleation and growth rate of monomers on surface of NPs.

From equations (8) and (9), both diffusion-limited and reaction-limited growth is driving by precursor monomer concentration. Then, the diffusion-limited growth or reaction-limited growth is decisive factor for shape and size control of NPs. Normally, the diffusion-limited growth is desirable process for production of NPs with monodispersity, but reaction-limited growth determines the final shape of NPs. During the diffusion-limited growth process, organic ligands or surfactants adsorbed on the

surface of performed NPs introducing the diffusion barrier is a flexible and effective approach to getcontrolled shape with monodisperse size.

202 Here, it worthing to not that the occurrence of growth is on condition of positive concentration 203 gradient between higher bulk concentration of solution and particles equilibrium concentration. 204 Whereas, dissolution of particles occurs in the case of negative concentration gradient between bulk 205 concentration of solution and higher particles equilibrium concentration as driving force. Generally, 206 dissolution of NPs is induced by temperature, pH, polymorph, size. However, the thermodynamic parameter temperature have negative effect on dissolution of inorganic NPs. Thus, the common 207 208 parameters for dissolution of inorganic NPs are polymorphic form, and pH change of solution. 209 Practically, varying of pH of the solution is the most direct and effective route to get dissolution of inorganic NPs (such as, adding H⁺, OH⁻, NH₃), ⁴³⁻⁴⁵ and this principle is based on the combination 210 211 ability between metal ions and hydroxyl, resulting in the increased concentration of solution by 212 dissolving solid particles segment. Recently, intensive studies have been carried out in addressing 213 novel shape controlling through a growth-dissolution-recrystallization process with pH adjusting of bulk solution.⁴⁶ Furthermore, the dissolution-recrystallization process also has been developed for 214 phase transformation of polymorphism of inorganic NPs with different shape, 47 and producing hollow 215 structure. ⁴⁸⁻⁴⁹ For instance, 3D rhombohedral α -Fe₂O₃ have been synthesized by phase transformation 216 217 of initial intermediate β-FeOOH nanowires through such dissolution-recrystallization process, as 218 reported by Lin and co-workers. The polynuclei but unstable β -FeOOH nanowires were hydrolyzed to 219 form two-line ferrihydrite (α -Fe₂O₃) nuclei through dissolution-recrystallization of phase 220 transformation, then the formed small α -Fe₂O₃ nuclei went through mechanisms of aggregation, 221 orientation attachment and recrystallization of Ostwald ripening to form 3D rhombohedral α -Fe₂O₃ NPs. ⁵⁰ 2D or 3D hollow α -Fe₂O₃ nanostructures with tunable shape (nanotubes, nanobeads, and 222 223 nanorings) with dissolution-recrystallization controlling after 48 h in hydrothermal route. The 224 formation of α -Fe₂O₃ NPs with hollow structures were obeyed on the mechanisms of nucleation, 225 aggregation, dissolution and re-crystallization successively. Further, the dissolution process occurred 226 on the (001) plans perpendicular to c-axis due to weak adsorption of phosphate ion, resulting in the

227 coordination effect between Fe^{3+} and phosphate ions to accelerate the dissolution process.⁴⁴ 228 Additionally, Wu and co-workers also found that the sulfate ions also favored the dissolution of α -229 Fe_2O_3 owing to the coordinated effect with ferric ions during synthesis process of 1D magnetic iron 230 oxide short nanotubes.⁵¹

231

2.3 Conventional factors on shape control

232 **2.3.1 Supersaturation**

Supersaturation generally is expressed as concentration difference, $\Delta C = C_h - C_r$. In a typical 233 234 synthesis process of inorganic NPs, although, the reaction solution contains precursor monomers, 235 reductant agents, solvent, or/and stabilizers and other additives. Supersaturation refers as precursor 236 monomer concentration or precursor monomer ratio in single or multiple precursor monomers system, 237 respectively. From the classical nucleation and growth theory, supersaturation plays a major and direct role in determining nucleation and growth rate.^{28, 52} For synthesis inorganic NPs in solution state, 238 LaMer theory is a widespread accepted theory for nucleation and growth of NPs, in which the 239 nucleation and growth theory can be divided into two stages, in Figure 4. ^{53, 54}At initial stage, free 240 241 monomers concentration in bulk solution increases rapidly and cross metastable zone until reach the 242 "burst nucleation" point, consuming the concentration of free monomers significantly in solution and 243 increasing the number of the solid particles rapidly. During this process, the number of nuclei and 244 concentration consuming rate are mainly dependent on nucleation rate. That is, fast nucleation rate is 245 able to decrease monomer concentration shapely and generates a huge number of nuclei rapidly. The 246 formed nuclei under the control of the diffusion of monomers also consumes monomers concentration 247 during growth period, causing the monomer concentration in the solution decrease continuously. 248 Furthermore, the aggregation/agglomeration, or Ostwald Ripening and other mechanisms may occur 249 among the performed nuclei, reducing the number of solid particles until the equilibrium state of the bulk solution.⁵⁵⁻⁵⁷ During the growth process, if the generated nuclei have a tendency to form low-250 251 energy NPs with supplying of sufficient energy at the bulk solution or low concentration of precursor 252 monomer under thermodynamic control, usually cause 0D spherical, pseudo-spherical, or other

isotropic NPs. Otherwise, the growth of nuclei driving by kinetical control forms anisotropic shape at high precursor monomer concentration. In other word, supersaturation increasing rate or consuming rate have strongly influence on nucleation and growth, which can be altered by concentration of precursor monomer directly, coordination of solvent, chelation effect of pH.⁵⁸

257 The concentration of precursor monomer and additives

258 Supersaturation are directly and significantly altered by adding type of precursor monomer (injection or dumping),²⁶ reductant concentration or reductant ratio,⁵⁹ coordination with other ions or agents,⁶⁰⁻ 259 ⁶¹ etc. in one-pot synthesis or seed-mediated route.⁶²⁻⁶³ Particularly, reductant agents, the ratio between 260 261 precursor and reductant also significant parameters to control the depleting rate of precursor monomer 262 for the formation of inorganic NPs. Such as, Teranishi and co-workers have reported that progressive 263 increasing the concentration of reductant agent (ascorbic acid) in growth solution, polyhedral 264 morphologies of Au NPs were evolved from octahedral to truncated octahedral, cuboctahedral, 265 truncated cubic, cubic, and finally trisoctahedral structures as facilitated in a facile seed-mediated 266 route (Figure 5). The shape controlling of Au NPs by the reductant of ascorbic acid was explained in 267 terms of the the effect of exposed surface planes of Au seeds in ascorbic acid with different 268 concentration. That is, with higher concentration of ascorbic acid in growth solution, Au seeds were 269 surrounded by higher lattice planes for a face-centered-cubic structure due to rapid growth of seeds, 270 producing a thermodynamically unstable structure. Conversely, with addition of low concentration of 271 ascorbic acid, the formation of a thermodynamically stable structure was favored by precipitating a small amount of atoms onto the Au seeds. ⁶⁴ Additionally, the amount of seed NPs also have 272 273 tremendous impact on the final shape of inorganic NPs in the seed-mediated process due to surface area for growth. 65 274

275 **pH effect**

Altering pH through addition of acid or alkali (H^+ , OH⁻ or NH₃) results in modulation state of chemical species in solution and coordination bonding with ions in precursor monomer solution to form complex. Eventually, promoting or postponing release rate of ions from the coordination

bonding for supersaturation enables adjusting the initial nucleation rate for shape controlling.⁶⁶⁻⁶⁸ This 279 general trend is obviously observed in synthesis of metal oxide or metal materials.⁶⁹⁻⁷¹ Xue and co-280 worker have used pH-dependent precursor species Cu(OH)₂, Cu₂(OH)₃NO₃, and Cu (OH)₄²⁻ in a 281 282 starch reduction solution to achieve Cu₂O NPs with shape evolving from 1D nanowires to 3D 283 polyhedral. During this process, pH-dependent precursors was available to manipulate reaction 284 kinetics of reduction and complexation reactions for exquisite controlling over shape and composition 285 of Cu₂O NPs. Furthermore, high pH is of benefit to promote the reduction power of starch and complexation ability of OH⁻ facilitated the shape evolution of Cu₂O NPs. ⁷²Additionally, pH also 286 287 adjusts surface properties of preformed NPs and chemical or physical state of surfactants or additives, 288 leading to different adsorption mode or adsorption amount on the surface of performed NPs. As a result, selective growth or aggregation/agglomeration, and self-assembly favour the shape evolution 289 of inorganic NPs.⁷³ For instance, as presented by Wang and co-workers, α -Fe₂O₃ hierarchical 290 291 nanostructures including 3D houseleek-like and 2D snowflake-like dendrites were produced with changing pH and different formation mechanisms, as shown in Figure 6. The pH changing 292 significantly affected the growth rate of α -Fe₂O₃ by adjusting the supply of Fe³⁺. On condition of 293 294 pH \geq 6, 2D snowflake-like α -Fe₂O₃ dendrites were formed by the self-assembly of primary α -Fe₂O₃ NPs preferentially along six crystallographically equivalent $(1\overline{1}00)$. Whereas, in the case of pH \leq 5, 295 296 3D houseleek-like α -Fe₂O₃ NPs were generated by successively aggregation of round flakes with their 297 up and bottom surfaces parallel to (0001) plane, and continuous grew along [0001] for single 298 crystalline spindle-like α -Fe₂O₂, which continuous aggregated at each tips to form 3D houseleek-like α -Fe₂O₃ NPs.⁷⁴ Furthermore, for some inorganic nanomaterials with polymorphism, adjustment of pH 299 also promotes dissolution for phase transformation. 46, 48-49, 75 300

301 Solvent

302 Solvents with different functional groups (such as ionic liquid) provide special coordination between 303 precursor monomer, which is of advantageous for the formation process of inorganic NPs under 304 thermodynamic or kinetic controlling due to adjustment of supersaturation increase or depletion rate.³⁶,

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⁷⁶⁻⁷⁷ In addition, mixture of different solvents or solvent with different components enables the shape 305 control of inorganic NPs.⁷⁸⁻⁷⁹ Such as, Zhang and co-worker have selectively prepared magnetic 306 307 greigite nanosheets and NPs by altering the mixed ratio of ethylene glycol and water. That is, 308 magnetic greigite nanosheets were generated in pure ethylene glycol, and irregular NPs were obtained in mixed solvents (EG +H₂O).⁸⁰ Surface-coordinating ligand or selective adsorption from solvent on 309 310 surface of presented NPs also helping define the monodispersity and shape of NPs have been frequently explored in polyol process.⁸¹ For instance, Schaak and co-worker added different 311 precursors including rhodium(II) trifluoroacetate dimer [Rh₂(TFA)₄], rhodium bromide (RhBr₃), and 312 313 rhodium chloride (RhCl₃) into the polyol solvents ethylene glycol (EG), diethylene glycol (DEG), 314 triethylene glycol (TREG), and tetraethylene glycol (TEG) individually to yield different shape of Rh 315 NPs, as shown in Figure 7. Such as, when using precursor RhBr₃, Rh truncated cube was produced in 316 EG, Rh cube with the highest quality was formed in DEG, but produced concave cube, mixed concave 317 and branched morphology were appeared in TEG. The reasonable explanation for shape evolution of 318 Rh NPs by using different solvents is surface-adsorbing species, basing on each polyol solvent with only changed anion. 82 319

320 *2.3.2 Temperature*

321 From classical nucleation and growth theory, temperature is a thermodynamic parameter of reaction 322 solution. High temperature indicating energetic movement of molecules and ions, cause instability of 323 reaction solution due to high Gibbs free energy. In reacted solution for synthesis of inorganic NPs, 324 such increasing temperature of reaction causes supersaturation increase rate or reduction rate of precursor monomer in solution increasing rapidly.⁸³ Subsequently, nucleation and growth process will 325 326 be shorten by accelerating nucleation and growth rate due to thermodynamic control of inorganic NPs. 327 Eventually, inorganic NPs with pseudo-spherical morphology or spherical one are the preferential products.^{65, 84} Thus, it is reasonable to control nucleation and growth process at proper temperature to 328 329 modulate nucleation and growth processes under kinetic controlling for the formation of anisotropic 330 inorganic NPs. Additionally, temperature also affects growth kinetics of inorganic NPs by shifting the 331 established equilibrium between inorganic NPs and participated species in solution state through

332 varying the activity of stabilizers or additives and the chemical state of inorganic NPs. Hence, varying 333 temperature for nucleation and growth process can be prevalent route for control over shape of 334 inorganic NPs in solution state. For instance, as observed by Zhu and co-workers, Au plates with 335 unique and well-defined morphology has been synthesized by alternative temperature in the presence 336 of surfactants PVP through a modifying polyol process. When altering formation and precipitation 337 temperature of Au NPs, the morphology of final shape were evolved from regular of hexagonal, 338 triangle and truncated triangular plates to novel star-like and sniped shield-like Au plates, as shown in Figure 8.⁸⁵ Additionally, controlled heating rate to aimed reaction temperature is also another route 339 for controlling nucleation and growth rate.⁸⁶ 340

Generally, proper reaction temperature is a critical role to yield anisotropic shape by managing the reaction procedure under kinetics control. However, it should be noted that temperature high and low is relative concept, such as for the polyol method, the temperature should be varying over 120 °C. ⁸⁷⁻⁸⁸ Under high temperature condition, aggregation, ⁸⁹⁻⁹⁰ Orientated attachment, ⁹¹ component diffusion (such as metal alloy) and phase transition ⁵⁴ are common phenomena occurring among the existed particles due to minimizing free energy of the reaction system and NPs.

347 2.3.3 Seeds and templates

348 Seeds or templates sever as common and effective mediate for shape control of inorganic NPs. 349 Because its existed surface provides sites for further growth by depleting precursor monomer in bulk 350 solution. Here, it is worth noting that the component of seeds or templates can be as same or different 351 as the final particles, eventually generating final NPs with homogenous structure or heterogeneous structure.⁴ The effective facilitated route of seeds or templates for controllable shape of inorganic NPs 352 353 refers as seed-mediated or template method. Seed-mediated or template growth procedure offers 354 advantage for shape control of inorganic NPs, in which the activation energy barrier for addition of 355 precursor monomers onto preformed seeds or templates is much lower, comparing with the formation of new nuclei from homogenous bulk solution. ⁹²⁻⁹³ However, the shape of final inorganic NPs varied 356 357 by seed-mediated and template route has differences that various shape of inorganic NPs can be

358 obtained by seed-mediated method, but the final shape of inorganic NPs generated by template 359 method is highly dependent on initial shape of template.

360 The size of seeds should be extremely small when seed-mediated method is carried out. Because the 361 final shape of inorganic NPs is barely affected the already formed shape of seeds if the size of initial seed crystals is over the critical size.⁹⁴ Furthermore, seed amount, concentration of precursor 362 monomers, surfactants, temperatures, pH, ^{13,95} etc. are significant factors for final shape of inorganic 363 NPs.⁸⁴ Particularly, in the presence of surfactants generally including CTAB/ CTAC, PVP, SDS, etc. 364 365 is also necessary factor for generating anisotropy shape of inorganic NPs through such seed-mediated process. 96-98 For instance, Liz-Marzán and co-workers have synthesized Au@Ag NPs with diverse 366 367 well-defined morphologies and crystalline structures through kinetic control of slow reduction and 368 stabilization of (100) facets, when employing benzyldimethylhexadecylammonium chloride as 369 stabilizer in seed-mediated method. The adsorption of halide ions Cl⁻ from stabilizer caused 370 significantly change of surface energies of different facets, as confirmed by density functional theory 371 calculations of surface energies. Eventually, single crystalline core-shell Au@Ag cubes enclosed by 372 six (100) facets were evolved from initial single crystalline Au core with octahedra and nanorods 373 shape due to the adsorption of Cl⁻ on (100) facet, while core-shell Au@Ag nanorods with an increased 374 aspect ratio were produced from the originated pentatwinned Au nanorods by adsorbing of AgCl on (100) and (110) facets. 99 375

376 Additionally, seed-mediated method also is easily achieved for inorganic NPs with high-index facets, ⁶² core-shell structure, branch or alloy. ⁶³ For instance, colloidal wurtzite crystal structures (wz-CdSe) 377 378 including nanocubes, hexagonal nanoplatelets, nanorod and bullet-shaped particles were yielded 379 through seed-mediated method by using small (2-3 nm) wz-CdSe nanocrystals as seed, as shown in 380 Figure 9. Selective growth of different facets on seed nanocrystals driven the initial shape of wz-381 CdSe to differential one. Radial growth from the (002) face at high concentration of precursor and 382 higher reaction temperature 370 °C lead to wz-CdSe hexagonal platelets, while preferentially adding 383 precursor monomers onto (002) and (00-2) facets of seeds at low precursor concentration and lower

reaction temperature 350 °C formed wz-CdSe nanorods.¹⁰⁰ Additionally, multi-step seed mediated technique also can be applied for controlling over shape of inorganic NPs.¹⁰¹⁻¹⁰² However, concentration of seed and precursors, reaction temperature, pH and growth time are also significant parameters to control anisotropic shape of inorganic NPs during seed-mediated process.¹⁰³

388 2.3.4 Surfactants or additives

389 Most of inorganic NPs have strong tendency to aggregate into bigger particles with irregular and 390 undesirable morphologies during growth procedure in bulk solution due to their high surface free 391 energy of nanoscale size. To address this shortcoming, surfactants and additives are considered as 392 excellent candidates of shape modulator in bulk solution, with expect that surfactants or additives can 393 adsorb onto some facets of growing NPs dynamically to reduce their surface energy and render 394 controllable growth rate of specific facets for desirable morphology of inorganic NPs. Furthermore, 395 stabilized layers formed by surfactants or additives on the surface of NPs also protect particles against aggregation in solution state.¹⁰⁴⁻¹⁰⁵ Generally, surfactants or additives are composed of functional or 396 397 coordinating groups, which is the key role as capping agent to adsorb onto the surface of growing NPs. 398 Thus, the adsorption ability and stability of functional or coordinating groups should be well 399 considered for selection of capping agents. As such, the capping agents commonly used for synthesis 400 of inorganic NPs with tunable shape are small molecules and polymers. The functional or coordinating groups from small molecules and polymers such as hydroxyl group, ¹⁰⁶ amine groups 401 (primary, secondary and tertiary amine group), 107-108 thiol groups, and a long alkyl chain are 402 403 considered as selective adsorbed groups onto special facets of NPs. Common polymers are poly-(vinylpyrollidone) (PVP), ¹⁰⁹⁻¹¹¹ poly(acrylic acid) (PAA) and poly (allylamine hydrochloride) (PAH) 404 ¹¹² polyetherimide (PEI),¹¹³ poly(vinyl alcohol) (PVA),¹¹⁴ poly(ethylene glycol) (PEG) and complexes 405 of PEGylated polymers.¹¹⁵⁻¹¹⁶ Typical small molecules are including cetyltrimethylammonium 406 bromide (CTAB), ¹¹⁷⁻¹¹⁸ cetyltrimethylammonium chloride (CTAC),⁶² oleic acid and/or oleylamine,⁵³, 407 ¹¹⁹ trioctylphosphine oxide (TOPO),⁴ octadecylamine (ODA),⁸⁷ and trioctylphosphine (TOP),¹¹⁶ 408 sodium dodecyl sulfate (SDS).¹²⁰ Additionally, strong interaction between halides (Cl⁻, Br⁻, I⁻) from 409 410 small molecules and surface of NPs is another common controlled role for modulating shape of NPs

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411 by selective growth, particularly for novel metals. ^{45, 98-99, 121-122} Adsorption of functional or 412 coordinating groups onto different crystal planes of NPs is not limited within small molecules and 413 long-chain polymers, ¹²³⁻¹²⁴ some solvents with functional or coordinating groups also provide similar 414 adsorption ability as the small molecules and polymers, ¹¹¹ such as, N, N-dimethylformamide 415 (DMF),^{37, 125} EG.¹²⁶ Here, the relationships of small molecules, polymers and solvents for shape 416 modulation of NPs and typical shape of different materials by adsorption of functional or coordinating 417 groups are clearly summarized in **Figure 10**. ^{119, 127-137}

Besides single surfactant and additive employing as capping agent, a mixture of different surfactants 418 419 together also provides capping ability in controlling nucleation and growth process of NPs due to their 420 synergistic interaction of multiple functional or coordinating groups with metal ions and different facets of NPs.¹³⁸⁻¹³⁹ Binary surfactants of PVP and metal-halides salts (MCl_x, x=1, 2, 3, such as FeCl₃, 421 422 CuCl₂, NaCl) were added to synthesize 2D Au nanosheets with triangular and hexagonal morphology in polyol process. Although, PVP adsorped on (111) facet for producing of Au nanosheet, a mixed 423 424 suspension with nanosheets and spherical particles still was obtained at high concentration of PVP. 425 With the adsorption assistance of metal-halides salts, mass of solely nanosheets was yielded.¹²⁷ 426 Additionally, surfactants are considered as soft templates in emulsion process or some typical reactions.^{105, 140} In the emulsion synthesis process, fluxional structures droplets including vesicles, 427 428 micelles and reverse micelles were postulated to behave as soft reactors or templates. Normally, these 429 soft templates are composed of diverse molecules including block copolymers, liquid crystals, and large biological molecules such as fatty acids. ^{115, 141} Applying PVP, CTAB and SDS as soft templates, 430 431 cobalt nanowires, nanocubes and hollow spheres can be synthesized. As proposed by Yuhua Shen and 432 co-workers, by using Gemini surfactants (double sodium-sulfonic polyethylene glycol laurate (C_{12} -PEG-C₁₂)) as soft template, polyhedrons BaCrO₄ and rod-like PbCrO₄ micro/nanocrystals was 433 prepared. The size and morphology of BaCrO₄ and PbCrO₄ micro/nanocrystals were controlled by 434 435 altering the spacer length of soft template C_{12} -PEG- C_{12} , indicating that the lengths of polyethylene 436 glycol group spacers in Gemini surfactants had different interfacial adsorption on particles surface determining size and shape of MCrO₄ micro/nanoparticles.¹¹⁵ 437

438 **3 The shape-controlled mechanisms**

In the past three decades, a great of efforts have been devoted to control various inorganic NPs with tunable shape, and several different mechanisms also have been explored through their nucleation and growth process at crystallographic level, such as, selective adsorption and growth, underpotential deposition, Orientation attachment, self-assembly, etc. Here, basic principle of each mechanism for shape controlling of inorganic NPs is illustrated, subsequently general shapes of inorganic NPs obtained by different mechanism also are described. Meanwhile, the similarity and difference of some mechanisms also have been expounded.

446 **3.1 Adsorption growth and underpotential deposition**

447 According to the Wulff's rule, surface free energy is determined by surface energy and surface area. 448 Minimizing of these surface free energies for a certain volume results in the formation of anisotropic 449 shape of NPs. Furthermore, based on Wulff construction model, growth rate of NPs is highly depended on surface free energy and surface kinks of NPs.¹⁴² That is, the surface of particles with 450 451 higher surface free energy or surface with more number of kinks grow faster to reduce surface area 452 until achieving equilibrium of NPs surface. But, the eventual morphology of NPs is decided by the 453 slowest growth rate of crystals surface. The sufficient energy supplying to the bulk reaction solution 454 drives the generated nuclei growing fast under thermodynamic control, leading to the formation of 455 spherical NPs rather than anisotropic ones. To overcome this shortcoming, selective binding or 456 growth onto specific facets of NPs by adding surfactants or additives are the prevalent and effective 457 strategy to reduce the surface tension and alter surface properties for desirable shape of inorganic NPs. 458 A acceptable theory of selective bonding between surfactants and surface of NPs is that a particle 459 facet may with different properties (ionic facet with charges, coordinative bond, electively neutral but 460 dipolar, or highly polarizable as well as hydrophobic facet) forms electronic charge, which adsorb or 461 coordinate with opposite charge from surfactants or additives. However, the adsorption or 462 coordination of surfactant or additive onto specific facet of NPs is highly depending on concentration and nature of surfactants or additives. ^{130, 143} 463

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464 As above mentioned in surfactants and additives part, diverse smaller molecules, polymers and 465 solvents with functional groups are available to adsorb selectively onto specific facets for modulating 466 shape of inorganic NPs, as shown in Figure 10. According to this figure, not only novel anisotropic 467 NPs with single component but also core-shell or other complex architectural NPs with multiple 468 components are enable to yield from selective growth by adding of different surfactants and additives 469 or altering concentration of surfactants and additives. For instance, core-shell Au@Ag nanocrystals 470 with different morphologies were synthesized by adding iodide ions into growth solutions consisting 471 of ascorbic acid, NaOH, and CTAB and of gold hexagonal nanoplates core. A remarkable 472 morphology of core-shell Au@Ag nanocrystals evolution was observed when adding capping agent 473 with I into the growth solution. That is, originated Au hexagonal nanoplates core was transformed to 474 hexagonal bipyramidal core-shell Au@Ag nanocrystals with increasing I amount. While unnoticeable 475 changes in morphology of core-shell Au@Ag hexagonal nanoplates were observed without adding I 476 in growth solution. The reasonable explanation for this morphology evolution is that addition of I ion 477 was of benefit to the selective deposition and growth of Ag onto surface of Au hexagonal nanoplates core with decreasing in surface redox potential of nanocrystals.¹²¹ 478

479 Additionally, another phenomena underpotential deposition (UPD) causing by depositing metal cation 480 at various types of substrates (such as surface of metal or metal oxide particles) with potentials ranges 481 is more positive on shape modulation of inorganic NPs during growth process of NPs. Occurrence of 482 UPD is significantly depending on enhanced interaction between depositing metals and foreign 483 substrates during growth process due to their potential shift. Potential difference between monolayer and bulk deposition causes a partial charge of adatoms.¹⁴⁴⁻¹⁴⁵ Then, chemical bond arising from this 484 partial electron transfer takes advantage for favorable deposition of the first monolayer.¹⁴⁶ Altering 485 486 deposited metal cations with different amount and type during UPD process promotes preferential 487 growth in a directional axis and facets to form diverse anisotropic NPs, even with high-index facets. ¹⁴⁷⁻¹⁴⁹ Such as, Au NPs with different shape were produced when applying two foreign metal ions 488 489 Pd(II) and Ag(I) to deposite on the surface of polyhedral gold nanocrystals in one-pot polyol synthesis. 490 The initial Au nanocrystals were tailored to other anisotropic shapes including truncated

491 tetrahexahedra bounded by (310) and (111) facets, truncated ditetragonal prisms enclosed by 12 492 (310) facets, and multiple-twinned bipyramids by varying concentration ratio of Ag(I) and Pd(II) in a 493 growth solution (Figure 11). It was noted that the morphology of Au nanocrystals were different 494 when Ag(I) and Pd(II) were introduced separately. That is, tetrahexahedra Au bounded with (110) 495 facets was formed only with Ag UPD, while Au truncated octahedra and triangular plates with (100) facets were facilitated with only Pd deposition. ¹² Additionally, as investigated by Mirkin group, Ag 496 497 ions was served as an UPD agent to access a different set of Au NPs with adjustable shapes by 498 controlling growth of the existed Au NPs through surface passivation (more so than kinetic effects). 499 Decreasing stability of the underpotentially deposited Ag layer in the presence of larger halides contributes to the shape evolution due to the relative strengths of the Ag^+/Ag^{0-} halide and 500 Au⁺/Au⁰ halide interactions.¹⁵⁰ 501

502 **3.2 Agglomeration and aggregation**

503 Aggregation is a common and complex phenomenon for collision of NPs, causing difficulty in 504 exploring their properties and applications of nanostructured materials. A common and reasonable 505 explanation for aggregation among NPs is high surface free energy of their tiny nanoscale size. Two 506 key parameters are required for occurrence of aggregation including a Brownian or flow motion that 507 brings particles into proximity of each other, and a net interparticle attractive force. Thus, a direct mutual attraction among particles (such as van der Waals forces or chemical bonding), is bonded for 508 aggregated NPs through such motion and attraction.¹⁵¹ Usually, aggregation takes place in the 509 510 reaction solution with high concentration of small NPs, high temperature and slow agitation speed. 511 However, aggregation always being avoided during the colloid science process due to uncontrollable morphology, undesirable properties and unsatisfied applications in the past decades. ¹⁵² To avoid 512 513 aggregation, coating with foreign capping agents and/or changing the surface charges of performed NPs is the effective and tailored route. ^{151, 153-154} Recently, with assistance of foreign capping agents or 514 surfactants, various anisotropic shape of inorganic NPs, such as wires, ¹⁵⁵ polyhedron, ⁵⁰ coral-like, ¹⁵² 515 etc. ^{38, 90, 156-158} can be obtained by controllable aggregation. For instance, Pt NPs with a variety of 516 517 morphologies including cubes, octahedrons, cuboctahedrons and tetrahedrons by adding of silver

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nitrate and stabilizer of PVP have been prepared through a modified polyol method. The altered shapes of Pt NPs from cube to multiple-branched nanostructures were highly related with the amount of silver nitrate, reaction time and temperature during the aggregation process of initial nuclei. With overgrowth and aggregation of initial Pt nuclei instantly, multiple-branched Pt nanostructures were formed at higher amount of $AgNO_3 0.06$ M within reaction time 30 min. Whereas, due to aggregation of Pt clusters or initial Pt seeds, even small Pt nanocrystals, cubic and octahedral Pt NPs were formed in presence of lower amount of $AgNO_3 0.04$ M within 5-15 min.¹⁵⁹

525 According to Macy and Cournil's report, collision and physical adhesion cause the aggregation among 526 particles, and the binding force between individual NPs in aggregation is rather weak. However, the 527 aggregated NPs becoming a concrete body with addition of molecules onto surface and continuous growth refer as agglomeration.¹⁶⁰ It should be noticed that agglomeration is different mechanism from 528 529 aggregation. However, those two concepts have been mixed up in many literatures. Here, clear 530 definition and difference are conducted, as elaborated in Figure 12. Aggregation of particles is formed 531 through classical nucleation, growth, collision and attachment, thus, aggregated particles form among 532 the generated concrete NPs. While, the route to form agglomerated particles is through clusters 533 aggregation, nucleation and growth. Then, the agglomerated particles generates from atomic cluster of 534 different components, but eventually formed particles with uniformed components, such as spinel ferrites (MFe₂O₄ (M=Mn, Fe, Co, Ni)), ^{161 50} metal carbonate (MCO₃ or MSO₄, M=Ca, Mg, Sr). ¹⁶²⁻¹⁶³ 535 For instance, as reported by Gupta and co-workers, they used thermolysis of Co²⁺Fe₂³⁺oleate complex 536 537 in organic solution to obtain monodisperse magnetic cobalt ferrite (CoFe₂O₄) nanocrystals by 538 agglomeration mechanism. During this process, the growth dynamics of particles dictated shape 539 controlling process of CoFe₂O₄ nanocrystals. Furthermore, the reproducible CoFe₂O₄ nanocrystals 540 evolving from initial spherical, to spherical-to-cubic, cubic, corner-grown cubic, or starlike shapes were controlled by prolonging aging time.⁸⁶ 541

Additionally, the force among particles in aggregation and agglomeration is different that the direct force among particles causing by aggregation is van der Waals force, but the force exists in

agglomerated particles is chemical bonding such as hydrogen bonding, which is much higher than the force in aggregated particles. The final shape of inorganic NPs resulted by aggregation and agglomeration is different that the shape causing by aggregation is undefined one, whereas the shape causing by agglomeration usually is spherical one.¹⁶⁴⁻¹⁶⁶ Furthermore, the general size of particles generated by agglomeration is micro-scale.¹⁶⁷⁻¹⁶⁸

549 **3**.

3.3 Orientation attachment and self-assembly

550 In 1998, Penn and Banfield discovered an important crystal growth mechanism named "oriented attachment" (OA), ¹⁶⁹ involving spontaneous self-organization of adjacent particles and continuous 551 552 growth of the self-organized particles at intial step. Then, the self-organized particles share a common crystallographic orientation and join at a planar interface. ¹⁷⁰ During this process, fusion among the 553 554 previous formed NPs is driving force for sharing a common crystallographic orientation. However, 555 this fusion caused crystallographic orientation also can affect by other factors in the reaction solution, 556 resulting in different pathways yielding of iso-oriented hybrid crystals, mesocrystals, and single crystals.¹⁷¹ 557

558 The acceptable explanation for occurrence of OA is that particles attach with each other at their high-559 energy facets to eliminate surface energy. After such attachment, eliminating these high-energy facets 560 and fusing in crystallographically form a secondary complete anisotropic particle. During this process 561 of OA, the intermediate steps may relate with effect collision or agglomeration and realignment 562 processes. Current researches have been suggested that OA may occur by collisions of aligned 563 nanocrystals in suspension or rotation of misaligned NPs in contacting toward low-energy interface configurations.¹⁷² Thus, a successive collisions or direct contact is the key factor for formation of 564 565 anisotropic particles by OA during dispersed or agglomerated conditions. Until recently, this 566 speculation of OA process has been demonstrated through direct observation of iron oxyhydroxide 567 NPs under high-resolution transmission electron microscopy (HRTEM) using a fluid cell (as shown in 568 Figure 13). According to their observation, particles undergo continuous rotation and interaction to 569 each other until some particles find a perfect lattice match. Within a distance less than 1 nanometer, a

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570 sudden jump of one particle to another one and contact together, lateral atom-by-atom addition initiate 571 at the contact point of attached particles subsequently, as observed in Figure 10 (f) to Figure 10 (g). 572 This interface elimination proceeds at a rate consistent with the curvature dependence of Gibbs free 573 energy. Based on measured translational and rotational accelerations, strong and highly directionspecific interaction is the direct driving force for particles growth via OA.¹⁷³ Additionally, OA also has 574 been found to be a significant mechanism in controlling growth to obtain various anisotropic 575 576 nanostructures, including 3D complex-shaped nanostructures by "building blocks" (architecture structure), core-shell. 174-176 577

578 Self-assembly is another common route throughout nature and technology to reconfigure shape of 579 inorganic NPs, in which autonomous organization of components into patterns or structures take place 580 without factitious intervention. The self-assembly approach includes static and dynamic self-assembly. ¹⁷⁷ Here, the discussed self-assembly is static self-assembly, which is common and general occurrence 581 582 in atomic, ionic, and molecular or colloidal crystals system with a global or local equilibrium but without energy dissipation as described by Whitesides and Grzybowski.¹⁷⁷ During this process, non-583 584 covalent or weak covalent interactions (electrostatic, van der Waals, hydrophobic interactions, 585 hydrogen and coordination bonds) are the significant impacts on formation of self-assembly. Thus, 586 various surfactants and ligands are facilitated to reconfigure different ordered structure during selfassembly process.¹⁷⁸⁻¹⁸³ Sun and co-workers have been synthesized successfully Pd nanowire 587 588 networks with lengths of a few tens of nanometers with addition of sodium citrate though an inherent 589 self-assembly process, in which strong electrostatic absorption between Pd NPs and citrate groups were formed.¹⁸⁴ Additionally, coating layer also induces self-assembly among performed particles to 590 591 reconfigure anisotropic shape of NPs. Kooij and co-workers have demonstrated that a novel 3D core-592 shell nanoring superstructures consisting of non-dipolar Au nanorods core and magnetic Ni shells 593 have been synthesized successfully by self-assembly. Initially, magnetic dipole was induced by 594 selective reduction of Ni onto Au nanorods as coating layer, then ring-assembly to solid Ni rings with Au nanorods core were closured in flux for 3D core-shell nanoring.¹⁸⁵ 595

However, self-assembly of inorganic NPs on 2D substrate is largely determined by multiple factors including monodispersity, shape and surface-adsorption feature of performed NPs, type of substrate and reaction conditions (concentration of NPs, ambient temperature and humidity, etc.). ¹⁸⁶⁻¹⁸⁸ Although, it is worth noting that there is difference between OA and self-assembly for shape control of inorganic NPs that self-assembly is controllable process by managing the ligands or bonds among particles, rather than the uncontrollable process of OA which is highly depending on the reaction process and conditions.

603 3.4 Ostwald ripening

604 Ostwald ripening process, also known as coarsening, is a common mechanism for growth of various nanomaterials, which is first proposed by Ostwald in 1900.¹⁸⁹ This mechanism is driven by chemical 605 606 potential of NPs increases on basis of a process of particles dissolution and ion re-precipitation, 607 resulting in increase of particles size but decrease of particles number. As described by the Gibbs-608 Thomson relation, the local equilibrium state of solute concentration at surface of larger particles is 609 lower than that of smaller ones, resulting in solute ions flow from surface of small particles to larger 610 ones due to concentration gradient. That is, larger particles grow up at expense of smaller particles until the equilibrium state of bulk solution as shown in Figure 14.¹⁹⁰ This growth process is often 611 612 under diffusion-controlled, but usually produce NPs with spherical or pseudo-spherical morphologies, which are considered as more thermodynamically stable morphology.⁴² The classical kinetic model for 613 614 the Ostwald ripening mechanism is known as Lifshitz-Slyozov-Wagner model, basing on the Gibbs-615 Thomson equation.

616
$$D^n - D_0^n = k(t - t_0)$$
 (11)

where \overline{D} and \overline{D}_0 are the mean size of particles at time t and t₀, respectively. k is with respect to a temperature-dependent materials constant, and n is an exponent relevant to Ostwald ripening. Apparently, Ostwald ripening is time-dependent process, ¹⁹¹ as direct observed 3D star Au nanocrystals under the real time transmission electron microscopy (TEM) in situ two-photo scattering

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process. The results showed that the Ostwald ripening and ripening process took place during a successive formation process of nanoflower and star Au NPs, respectively. In addition, during this process, the number density of initial Au nanoseeds and nanoflowers continuously decrease with time for favoring another shape formation, as referenced of Ostwald ripening.¹⁹²

625 Ostwald ripening has been used widely to describe and explain particle growth with a relatively large size in solution.¹²⁴ Additionally, Ostwald ripening process involves dissolution of smaller particles and 626 growth of bigger particles, which can be used to reconfigure complex shape.^{50, 193} Furthermore, 627 628 Ostwald ripening also can be used to explain the formation of various inorganic NPs with hollow/ mesoporous structure.^{50, 104, 194-195} Lou and co-workers have synthesized uniform SnO₂ hollow 629 630 nanospheres with large void space through a modified facile method. The void space can be varied 631 easily by reaction time, as shown in **Figure 15**. The formation of interior void space is based on an 632 inside-out Ostwald ripening mechanism, because internal unstable crystals will dissolve firstly and 633 transform to external forming a stable structure by multiple mesoporous at an early stage. More 634 importantly, this facile one-pot process with Ostwald ripening also was extended to fabricate 3D rattle-type hollow structures as using α -Fe₂O₃@SnO₂ as an example, as shown in Figure 15. (b).¹⁹⁶ 635

636 4 The prospects and outlook

637 Significant efforts have been devoted to synthesizing of a larger number of inorganic nanomaterials 638 with uniform and tunable shape. The controlled shape of inorganic NPs could not only determine their 639 intrinsic physicochemical properties, but also offer new nanotechnologies applications in biomedicine, 640 catalysis, electronics, optical, etc. This review provides a brief account of classical theory of 641 nucleation and growth and affected factors, and general plausible mechanisms for shape control of 642 inorganic NPs toward the classical nucleation and growth theory has been described. Initially, 643 essential concepts of classical crystallization theory and general factors of nucleation and growth on 644 shape control were described to elaborate on the description of shape evolution, providing basic and 645 clear knowledge to help readers clearly figure out the correlations of experiments results with synthetic conditions. ^{156, 197} Despite, the general effect parameters are listed, reaction process is 646

complicate and easily affected by various factors, resulting diversity and unknown factors in shape control of inorganic NPs. Thus, the reaction process and parameters should be well controlled. Additionally, shape evolution of inorganic NPs from one experiment process may not be controlled by one growth mechanism because of the complex reaction process. Such as, the orientated attachment together with Ostwald ripening were used to explain the final shape of α -Fe₂O₃ NPs.⁵⁰

652 The process of nucleation and growth of crystals is an area of interest and well developed filed during 653 the cooling and antisolvent crystallization process, which can be confirmed by simulation process according to population balance equation.¹⁹⁸⁻¹⁹⁹ However, the reacted crystallization process for shape 654 655 control of inorganic NPs is still far beyond predicted control because the prediction can not be made 656 as small changes within reaction conditions causing unforeseen changes within reaction mixture. Thus, 657 the shape control of inorganic NPs is still limited within empirical stage. Recently, the in situ HRTEM 658 provides a direct observation for shape evolution of particles, further analysis of these mechanisms 659 will develop the possibility to predict shape evolvement and control within solution state. Therefore, 660 obtaining controllable shape of inorganic NPs from such strategies is much faster and effective than 661 current methods of trial and error synthesis. Furthermore, the further within this shape control field of 662 inorganic NPs is relative simple and accurate as the analytical technique improving and well 663 understanding the formation mechanisms of particles on basis of nucleation and growth.

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1225	Figures
1226	Figure 1. Typical morphology of solid and mesoporous/hollow inorganic nanoparticles with the
1228	shapes of 0D, 1D, 2D and other 3D complex structure.
1229	Figure 2. Schematic illustration of Free energy diagram for nucleation.
1230	Figure 3. Diffusion-reaction model for crystals growth with concentration driving in solution state.
1231	Figure 4. Scheme of LaMer theory for nucleation and growth and the variation of particles number
1232	during the nucleation and growth process.
1233	Figure 5. Schematic illustration of well-facted polyhedral Au nanoparticles changing with
1234	concentration of reductant by SEM images. (Reprinted from ref. 64, Copyright (2012) with
1235	permission from the American Chemical Society.)
1236	Figure 6. Schematic illustration for the self-assembly of two kinds of α -Fe ₂ O ₃ dendrites by altering
1237	pH of bulk solution and their corresponding TEM images. (Reprinted from ref. 74, Copyright (2006)
1238	with permission from the Elsevier B.V.)
1239	Figure 7. Representative TEM images of Rh nanoparticles synthesized using ethylene glycol,
1240	diethylene glycol, triethylene glycol, and tetraethylene glycol solvents with the reagents (a-d)
1241	Rh ₂ (TFA) ₄ , (e-h) RhBr ₃ , and (i-l) RhCl ₃ (TFA = trifluoroacetate). Outlined images indicate the set of
1242	reaction conditions which results in the most monodisperse yield of Rh icosahedra (red), cubes
1243	(green), and triangular plates (blue). Scale bars are 20 nm. (Reprinted from ref. 82, Copyright (2011)
1244	with permission from the American Chemical Society.)
1245	Figure 8. Schematic illustration of temperature variation process for evolution of Au plates and SEM
1246	images. (Reprinted from ref. 85, Copyright (2011) with permission from the Elsevier B.V.)
1247	Figure 9. (a) Schematic illustrating the relationship between the geometry and bounding crystal facets
1248	(colorized) of the wurtzite CdSe nanocrystal seeds and the nanocrystals produced in the seed-
1249	mediated synthesis. Typical TEM images of wz-CdSe nanocrystals with shapes of (b) hexagonal
1250	platelets, (c) cubes, and (d) rods. (e) TEM image from a similar synthesis conducted without using the

1251 CdSe nanocrystal seeds, resulting in elongated and misshapen particles. The scale bars each 1252 correspond to 50 nm. (Reprinted from ref. 100, Copyright (2013) with permission from the American 1253 Chemical Society.) 1254 Figure 10. Schematic of additive/surfactants for the shape control of inorganic nanoparticles with 1255 selective adsorption. 1256 Figure 11. (a)-(e) Morphology evolution of Au nanocrystals synthesized in the presence of Ag(I) and 1257 Pd(II) foreign Ions in a mediated polyol process. (Reprinted from ref. 12, Copyright (2011) with 1258 permission from the American Chemical Society.) 1259 Figure 12. Schematic illustration of mechanism difference in (a) aggregation, and (b) agglomeration. 1260 Figure 13. Sequence of images showing typical dynamics of the attachment process (A to G). The 1261 surfaces of particles I and II made transient contact at many points and orientations (points 1-1, 1-2, 2-1262 3, and 3-4) before finally attaching and growing together (points 3-5). (H) High-resolution image of 1263 interface in (G) showing twin structure (an inclined twin plane). The yellow dashed line in (G) shows 1264 the original boundary of the attached particle. (I and J) High-resolution in situ TEM image (I) and fast 1265 Fourier transform (FFT) (J) of an interface from another OA event demonstrating formation of a (101) 1266 twin interface after attachment. The grain boundary is delineated by a dashed line in (I). Scale bars are 1267 5 nm for (A) to (G) (Reprinted from ref. 173, Copyright (2012) with permission from the American 1268 Association for the Advancement of Science.)

- 1269 **Figure 14**. Schematic illustration of Ostwald ripening process.
- 1270 Figure 15. (a) Schematic illustration of the formation of SnO₂ hollow nanospheres, (b) Schematic
- 1271 illustration of the formation of α -Fe₂O₃@SnO₂ nano-rattles, and the TEM images with time.
- 1272 (Reprinted from ref. 196, Copyright (2009) with permission from the Royal Society of Chemistry.)

1274 **Figure 1**.



1275

1277 Figure 2.



1279



1283 **Figure 4.**



1284

1286 Figure 5.





1292 **Figure 7.**



1293

1295	Figure 8.			
	Forming Temperature	30 °C	20 °C	20 °C
	Precipitating Temperature	30 °C	30 °C	50 °C
1296 1297	Corresponding SEM Image	sun à		

1298 **Figure 9.**



1299

1301 Figure 10.



1304 **Figure 11**.

	Foreign ions	Pd(II) only	Ag(II) only	Low ratio of Ag(I)/Pd(II)	High ratio of Ag(I)/Pd(II)	Very high ratio of Ag(I)/Pd(II)
	Shape of Au NPs & corresponding SEM images		(b)	(C)	(d)	(e) 10 m
1305	Main facets	{111}+{100}	{111}+{110}	{111}+{310}	{310}	
1306						



1310 **Figure 13.**



1311

1313 **Figure 14**.

1314



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1317 Figure 15.



1318