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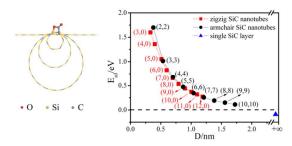
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# Graphical Abstract:



CO<sub>2</sub> adsorption and reduction on SiC nanomaterials display a curvature effect.

# Curvature Effect of SiC Nanotubes and Sheet for CO<sub>2</sub> Capture and Reduction

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#### Abstract

Environmental crisis due to greenhouse gas  $CO_2$  emissions is motivating researchers to discover new materials and efficient technologies for  $CO_2$  capture and conversion. In this work, the density functional theory (DFT) has been employed to investigate the surface curvature dependence of the adsorption and (electro) reduction of  $CO_2$  on SiC nanomaterials, including single layer SiC sheets and nanotubes. The DFT calculations show that both the adsorption energy and reduction free energy decrease with the decrease of the curvature of SiC nanotubes. SiC nanotubes with suitable curvature can capture and reduce  $CO_2$  effectively. However single layer SiC sheet (without curvature) cannot adsorb  $CO_2$  at all. These findings are particularly relevant to generate fuels with a carbon-neutral footprint.

**Keywords:** Curvature effect, SiC nanomaterials, CO<sub>2</sub> capture, CO<sub>2</sub> reduction, Density functional theory

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# Introduction

The global climate change has become a significant challenge due to the magnitude of greenhouse gases emission. CO<sub>2</sub> is believed to be partly responsible due to the combustion of fossil fuels. <sup>1,2</sup> CO<sub>2</sub> chemistry has become a very attractive area of research, not only because of environmental concerns, but also due to the potential use of CO<sub>2</sub> as an alternative and economical feedstock. <sup>3</sup> The recovery of CO<sub>2</sub> for its hydrogenation to formic acid, alcohols or other hydrocarbon compounds is an important approach to recycle the released CO<sub>2</sub>. However, it is a difficult task due to the challenges associated with the chemical inertness of CO<sub>2</sub>.

The combination of CO<sub>2</sub> capture and conversion is an attractive strategy for efficiently reducing CO<sub>2</sub> emissions. One example of CO<sub>2</sub> conversion to a useful hydrocarbon is hydrogenation of CO<sub>2</sub> to formic acid, an important chemical fuel in fuel cells. An ideal CO<sub>2</sub> sequestration material should have large surface area and strong adsorption ability. Several CO<sub>2</sub> adsorbents have been proposed previously including zeolite, carbon, boron nitride, alumina and metal-organic frameworks (MOFs). Recently, it has been shown that CO<sub>2</sub> can be adsorbed strongly on boron antisite in boron-rich boron nitride (BN) nanotubes. In addition, the process of CO<sub>2</sub> capture/release can be simply controlled by switching on/off the charges carried by BN nanomaterials. A lot of attention has also been focused on the hydrogenation of CO<sub>2</sub> on metals, carbides, and metal/oxide catalysts. Ou electrodes, of all experimentally examined metals, have shown a unique ability to produce hydrocarbon products at reasonable currents and efficiencies, but with a still relatively large

over-potential of approximately 1 V.<sup>31,32</sup> Carbon monoxide dehydrogenase (CODH) enzyme has been shown to have better catalytic activity than Cu.<sup>25</sup> With a Pt working electrode in acidic pyridine solutions, CO<sub>2</sub> can be reduced by H atoms bound to the Pt surface that are transferred to CO<sub>2</sub> in a proton-coupled hydride transfer mechanism activated by pyridinium at low over-potentials (–0.58 V vs SCE).<sup>33,34</sup> It is essential that the materials can capture and convert CO<sub>2</sub> at atmospheric pressure and room temperature with only heat from surrounding environments to avoid the generation of new CO<sub>2</sub>.<sup>8</sup> Thus far, few materials can satisfy these requirements.<sup>8</sup>

SiC with the atomic ratio of 1:1 can be potentially provide a lot of active sites for CO<sub>2</sub> adsorption. In this study, CO<sub>2</sub> adsorption and reduction on two types of SiC nanomaterials (single layer sheet and nanotubes) are studied based on density functional theory (DFT). The theoretical investigations show that CO<sub>2</sub> adsorption and reduction on SiC nanomaterials display a curvature effect. SiC nanotubes with suitable curvatures can capture and reduce CO<sub>2</sub> effectively, while single layer SiC sheet cannot.

#### **Computational Methods**

All calculations are based on spin-polarized DFT framework as implemented in code.<sup>35,36</sup>  $DMol^3$ The generalized gradient approximation (GGA) with Perdew-Burke-Ernzerhoffunctional (PBE) is employed describe the exchange-correlation potential.<sup>37</sup> All electron relativistic core treatment method is implemented for relativistic effects, which explicitly includes all electrons and introduces some relativistic effects into the core. The double numerical plus

polarization (DNP) basis set is adopted for the spin-polarized DFT calculations.<sup>35</sup> A smearing of 0.005 Ha (1 Ha = 27.21 eV) to the orbital occupation is applied to achieve accurate electronic convergence. To ensure high-quality results, the real-space global orbital cutoff radius is chosen as high as 4.6 Å in the computations. The convergence tolerance of energy is 1.0×10<sup>-5</sup> Ha, maximum force is 0.002 Ha/Å, and maximum displacement is 0.005 Å in the geometry optimization. The k-point is set as 1×1×1. The transition state (TS) for CO<sub>2</sub> adsorption is obtained by LST/QST tools in DMol<sup>3</sup> code. In order to describe the van der Waals (vdW) interaction for CO2 adsorption, the DFT + D method within Grimme scheme is adopted.<sup>38</sup> In calculations, the supercell models include three unit cells for (n, 0) zigzag SiC nanotubes, four unit cells for (n, n) armchair SiC nanotubes, and 5×5 supercell for single SiC layer. The minimal distance between the SiC nanotubes/sheet and their mirror images is set as 15 Å, which is sufficiently large to avoid the interaction between them. The Si-C bond length is 1.79 Å.

The adsorption energies ( $E_{ad}$ ) of adsorbates on SiC are calculated through  $E_{ad}$  =  $E_{ads} + E_{SiC} - E_{ads/SiC}$ , where  $E_{ads}$ ,  $E_{SiC}$ , and  $E_{ads/SiC}$  are the total energies of an isolated adsorbate molecule, the SiC catalysts, and the adsorption systems, respectively. By these definitions, positive  $E_{ad}$  values correspond to stably exothermic adsorption processes. In order to simulate the electrochemistry environment of  $CO_2$  electro reduction, a conductor-like screening model (COSMO) is introduced to simulate a  $H_2O$  solvent environment throughout the whole process. <sup>39-41</sup> Free energies of the intermediates involved in  $CO_2$  hydrogenation are calculated based on a computational

hydrogen electrode (CHE) model suggested by Nørskov *et al.*<sup>21,42,43</sup> The CHE model defines that the chemical potential of a proton/electron in solution is equal to a half of the chemical potential of a gas-phase H<sub>2</sub>. Free energy change ( $\Delta G$ ) of every elemental step is determined by  $\Delta G = \Delta E + \Delta ZPE - T\Delta S$ , where  $\Delta E$  denotes the electronic energy change directly obtained from DFT calculations,  $\Delta ZPE$  is the change of zero point energies, T is the temperature (equals 298.15 K), and  $\Delta S$  is the change in entropy. Zero point energy and entropy of the every intermediate are calculated based on the vibrational frequencies, where all the atoms are included.

#### **Results and Discussion**

The CO<sub>2</sub> adsorption properties of single SiC layer sheet without curvature and several SiC nanotubes with different surface curvatures are summarized in Fig. 1. Two main changes take place during the adsorption of CO<sub>2</sub> on SiC, i.e., the bending of the O=C=O skeleton and the binding to the surface. CO<sub>2</sub> prefers to be adsorbed on SiC with C-O bond attacking the Si-C bond, forming a four-membered ring. CO<sub>2</sub> molecule prefers to be adsorbed perpendicular to the tube axis for armchair SiC nanotubes, while it prefers to be parallel to the tube axis for zigzag SiC nanotubes (Fig. S1 of supporting information). It is found that the  $E_{ad}$  value of CO<sub>2</sub> on SiC nanotubes is a function of curvature. As shown in Fig. 1, the  $E_{ad}$  of CO<sub>2</sub> decreases gradually with decreased surface curvature of nanotube. When the diameter of the SiC nanotubes is larger than 13 Å, CO<sub>2</sub> molecules are physically adsorbed. This is consistent with the variation of bond lengths for Si-O and C-C bonds (Table S1 of supporting information). The bonding distances for both Si-O and C-C bonds become longer as

the diameters of SiC nanotubes increases, indicating the decrease of interactions between  $CO_2$  and SiC nanotubes. Note that the effect of the chirality on the  $CO_2$  adsorption is negligible as displayed in Fig. 1. For comparison,  $CO_2$  adsorption under the consideration of vdW interaction is also calculated, as shown in Fig. 1c. Similar with previously theoretical investigation,  $^{44}$   $CO_2$  adsorption is strengthened after considering the effect of vdW bonding. Note that the  $E_{ad}$  value of  $CO_2$  on single layer SiC sheet is very small even after considering the vdW interaction, indicating that  $CO_2$  cannot be adsorbed on single layer SiC sheet stably.

 $CO_2$  adsorption and desorption under the experimental condition (at 298.15 K and 1 atm) are considered, as shown in Fig. S2 of supporting information. The activation barrier energy ( $E_a$ ) of  $CO_2$  from gas phase to adsorbed is 0.92 eV on single layer SiC sheet, which is much larger than that on (4, 4) SiC nanotube with  $E_a$  of 0.48 eV. Furthermore, the  $CO_2$  desorption on single layer SiC sheet is much easier than that on SiC nanotubes, with  $E_a$  of 0.51 eV compared with 0.95 eV. These suggest that single layer SiC sheet cannot capture  $CO_2$ , while SiC nanotubes with suitable diameter can adsorb  $CO_2$  stably. This is because the curvature of SiC nanotubes walls causes the electron of the SiC layers to shift from the concave inner surface to the convex outer surface resulting in  $CO_2$  adsorption. Adsorption strength is directly proportional to curvature size. The capture capacity of  $CO_2$  on SiC nanotubes is also examined, as shown in Table S2 and Fig. S3 of supporting information. There are 32  $CO_2$  molecules adsorbed on (4, 4) SiC nanotube, corresponding to a coverage of 1 monolayer (ML) (1 ML is defined as one  $CO_2$  molecule per Si-C dimer). As the

diameter increases from 6.833 Å for (4, 4) SiC nanotube to 10.297 Å for (6, 6) SiC nanotube, the adsorption strength decreases from strong physisorption to weak physisorption and the adsorption coverage decreases to 0.5 ML on (6, 6) SiC nanotube, further testifying that the CO<sub>2</sub>-SiC nanotube interaction becomes weaker with the increase of the tube diameter.

CO<sub>2</sub> hydrogenation under electrochemistry environment on single SiC layer and SiC nanotubes are studied. Producing formic acid by direct hydrogenation of CO<sub>2</sub> is mainly performed through a three-step process. Firstly, CO<sub>2</sub> is hydrogenated to a formate or a carboxyl. And then, the formate or the carboxyl is further hydrogenated to form formic acid. At last, the formic acid gets released from SiC nanotubes and sheet. As shown in Fig. 2, there exist four different routes for CO<sub>2</sub> hydrogenation with H<sup>+</sup>: CO<sub>2</sub> can be hydrogenated either at its oxygen atom for carboxyl (COOH) formation (Paths 1 and 2), or at its carbon atom for formate (HCOO) formation with the bidentate (Path 3) or the trans (Path 4) structure adsorbed on SiC nanotubes. Taking the (4, 4) SiC nanotube as an example, the calculated free energy diagrams for the reduction of CO<sub>2</sub> to HCOOH at 0 V vs RHE are shown in Fig. 2. Our calculations suggest that carboxyl pathways (Paths 1 and 2) are disadvantageous compared to formate pathways (Paths 3 and 4). The  $\Delta G$  values of CO<sub>2</sub> hydrogenation to carboxyl via Paths 1 and 2 are 1.33 and 1.57 eV, respectively, which are too large to overcome. However, the  $\Delta G$  values of CO<sub>2</sub> hydrogenation to formate through Paths 3 and 4 are -0.19 and 0.26 eV, respectively. This is consistent with the adsorption of formate and carboxyl on (4, 4) SiC nanotube, where the adsorption of formate is stronger than carboxyl by nearly 2 eV. Moreover, it is also found that  $CO_2$  hydrogenation to formate intermediate is more favorable than carboxyl intermediate on Ni(111).<sup>45</sup> Due to the stronger adsorption of formate in bidentate structure with two O atoms binding to two Si atoms at atop sites compared with that in trans configuration with H pointing toward to the surface, the  $\Delta G$  value for hydrogenation of formate with bidentate structure into formic acid (Path 3) is larger than that in trans configuration (Path 4) by 0.29 eV. In addition, desorption of formic acid in Path 4 on (4,4) SiC nanotube is easier than that in Path 3. Therefore, formate pathway with trans formate as intermediate (Path 4) is the most energy favorable one and will be further investigated for the purposes of this study.

The calculated free energy diagrams of the lowest-energy pathways for  $CO_2$  capture and reduction on single layer SiC sheet and nanotubes are summarized in Fig. 3, shown at 0 V vs RHE. The overall process of  $CO_2$  capture and reduction is almost thermodynamically neutral. As the curvature of SiC nanotubes decreases, the  $\Delta G$  values for  $CO_2$  reduction decrease. The energy needed for the whole reduction process of  $CO_2$  on (2,2) SiC nanotube are 7 times higher compared with (8,8) SiC nanotube.  $CO_2$  capture and reduction on single layer SiC sheet and nanotubes follow the Sabatier principle. He interactions between reactants and catalysts cannot be too strong or too weak. For SiC nanotubes (diameters smaller than 6 Å) that bind  $CO_2$  too strongly, the rate of  $CO_2$  reduction is limited by the removal of adsorbed reduction intermediates. For SiC nanotubes (diameters larger than 13 Å) and single layer SiC sheet that bind  $CO_2$  too weakly, the rate is limited by the activation of  $CO_2$ , or more

likely, the transfer of electrons and protons to adsorbed  $CO_2$ . As seen in Fig. 3, SiC nanotubes with diameters of  $7{\sim}12$  Å bind  $CO_2$  intermediately as compared to other SiC nanotubes and single layer sheets. At (2,2) armchair SiC nanotube, the  $\Delta G$  for  $CO_2$  adsorption is as large as -1.83 eV and the  $\Delta G$  values for the three steps of the  $CO_2$  reduction are 0.60, 0.60 and 0.61 eV, respectively. At (6,6) armchair SiC nanotube, the  $\Delta G$  for  $CO_2$  adsorption increases to -0.47 eV, and the  $E_r$  values for the three steps of  $CO_2$  reduction decrease to 0.15, 0.10 and 0.26 eV, respectively, which are much smaller than that on CODH and similar to that on tin oxide nanoparticles,  $^{25,51}$  suggesting high activities of  $CO_2$  reduction. Upon further increasing the diameter of SiC nanotubes to 13 Å, although the  $\Delta G$  value for  $CO_2$  reduction is very small, SiC nanotubes cannot capture  $CO_2$  efficiently due to the weak adsorption.

Similar with CO<sub>2</sub> adsorption, the effect of chirality on CO<sub>2</sub> reduction is also very small, as shown in Fig. 3. Such a remarkable agreement can be attributed to the localized characteristics of the CO<sub>2</sub>-SiC interaction. This is consistent with the interaction between CO<sub>2</sub> and boron-rich BN nanotubes, which also shows localized characteristics.<sup>17</sup>

In order to gain further insight into the origin of the interaction between  $CO_2$  and SiC, the electronic structures of the above materials are studied. Fig. 4 illustrates the spin-polarized partial density of states (PDOS) projected onto the  $CO_2$  and SiC. In free  $CO_2$  molecule, the highest occupied molecular orbital (HOMO) is the  $1\pi_g$  orbital, while the lowest unoccupied molecular orbital (LUMO) is the  $2\pi_u$  orbital. When the

O=C=O skeleton was bent, the LUMO of  $2\pi_u$  split into  $6a_1$  and  $2b_1$ . 52-54 As a consequence, the 6a<sub>1</sub> orbital becomes the LUMO. The resulting LUMO orbital shows  $\sigma$ -orbital and  $\pi$ -orbital characteristics, and can interact effectively with the p-orbitals for charge transfer from SiC to CO<sub>2</sub>. Since the C-O orbital in 6a<sub>1</sub> has an anti-bonding characteristic, the stronger the electron transfer, the stronger the anti-bonding and therefore the longer the C-O bond is. The renowned electron donation-back-donation mechanism contributes to the interaction between the CO2 and SiC. 17 During the adsorption process of CO<sub>2</sub> on the surface, electrons are transferred from Si-2p states to  $CO_2$ -6a<sub>1</sub> orbital and are back donated from  $CO_2$ -1 $\pi_g$  orbital to C-2p states, which result in the shift of  $CO_2$ -6a<sub>1</sub> to lower energies below the Fermi level  $E_f$  and the degeneration of  $CO_2$ - $1\pi_g$ , as shown in Fig. 4. The electron transfer to the anti-bonding LUMO orbital weakens the C=O bonds in the adsorbed molecule. To mix with surface Si-2p and C-2p orbitals, the 2p states of the adsorbed CO<sub>2</sub> broaden, compared to those of a free CO<sub>2</sub>. This signature is common for molecules interacting with solid surfaces as predicted by the Newns-Anderson model.<sup>55</sup> From electron density difference (Fig. S4 in supporting information), one can therefore conclude that there must be a fairly substantial covalent contribution to the C-C bond and ionic contribution to the Si-O bond between CO<sub>2</sub> and SiC. As shown in Tables S3 and S4 of supporting information, when the curvature of the SiC nanotubes decreases, the positive charge of the Si atoms increases while the charge transfer from Si atom to O-CO2 atom and from C-CO2 to C atom of SiC decrease, resulting in weaker interactions between SiC and  $CO_2$ .

# **Conclusions**

In conclusion, theoretical DFT calculations were performed on single layer SiC sheet and nanotubes to ascertain the catalytic activity toward CO<sub>2</sub> adsorption and reduction. It is found that CO<sub>2</sub> adsorption and reduction significantly depend on the surface curvature of SiC nanomaterials. CO<sub>2</sub> cannot be adsorbed on single layer SiC sheet, while SiC nanotubes with diameter smaller than 13 Å can catch it stably. As the curvature of SiC nanotubes decreases, both the adsorption energy and reduction free energy values of CO<sub>2</sub> decrease. These findings give insight into the unique structure-property relationship following Sabatier principle, which are particularly valuable for the design and development of new materials that would generate fuels with a carbon-neutral footprint using aqueous solutions of electrocatalysts for CO<sub>2</sub> reduction at low over-potentials.

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# **Captions:**

- Fig. 1. (a) Schematic profile of CO<sub>2</sub> adsorbed on single SiC layer and SiC nanotubes. Gray, gold and red colors denote C, Si and O atoms, respectively. Adsorption energies of CO<sub>2</sub> on single layer SiC sheet and nanotubes without (b) and with (c) the consideration of van der Waals interaction.
- Fig. 2. (a-d) Free energy diagrams of four pathways for CO<sub>2</sub> hydrogenation on (4, 4) SiC nanotube. Gray, gold and red colors denote C, Si and O atoms, respectively.
- Fig. 3. Free energy diagrams of CO<sub>2</sub> hydrogenation on single SiC layer and armchair (a) and zigzag (b) SiC nanotubes.
- Fig. 4. Partial density of states (PDOS) for CO<sub>2</sub> adsorbed on (4, 4) armchair SiC nanotubes.

Fig. 1.

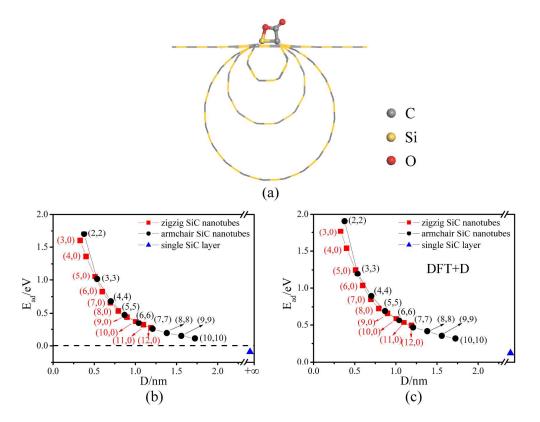


Fig. 2.

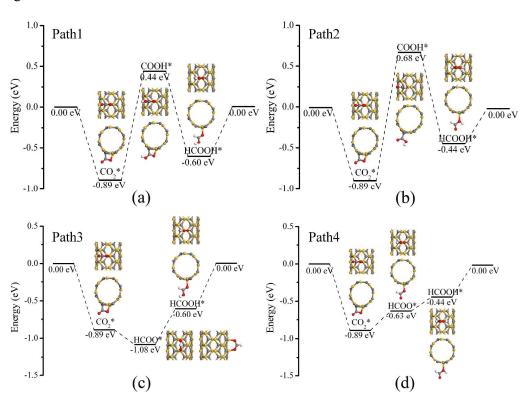


Fig. 3.

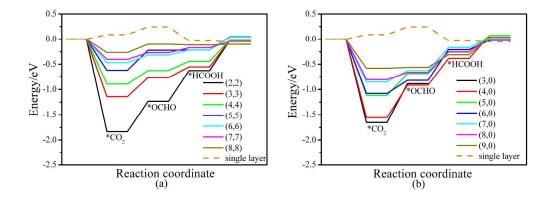


Fig. 4.

