

Synthesis and characterization of high molecular weight poly(1,5-dioxepan-2-one) with narrow molecular weight distribution

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Ring-opening polymerization of 1,5-dioxepan-2-one (DXO) initiated with aluminium isopropoxide in tetrahydrofuran (THF) solution and in bulk has been investigated. An improved monomer purification procedure is presented which makes it possible to synthesize high molecular weight poly(DXO) with a narrow molecular weight distribution. The kinetic dependence on parameters such as polymerization temperature, the presence of Lewis bases and water impurities is discussed. The activation energies (E_a) of the solution polymerization with and without 1 molar equivalent of pyridine (relative amount of initiator) were found to be 42.2 and 44.0 kJ mol⁻¹, respectively. The addition of a Lewis base (pyridine) did not influence the polymerization kinetics and transesterification reactions to any great extent. Bulk polymerization proceeds rapidly to full conversion and leads to poly(DXO) with a controlled molecular weight and a narrow molecular weight distribution. The Mark-Houwink relationship in THF at 25°C was determined; values of constants were $K = 1.1 \times 10^{-4} \,\mathrm{dl \, g^{-1}}$ and a = 0.766.

(Keywords: synthesis; poly(1,5-dioxepan-2-one); aluminium tri-isopropoxide)

INTRODUCTION

Aluminium alkoxide compounds are known to be very efficient in initiating the living polymerization of lactones and lactides¹⁻³. A living polymerization behaviour has also been shown with an ether lactone monomer, 1,5dioxepan-2-one (DXO, 1)⁴. The polymerization mechanism (Figure 1) was shown to be analogous to that proven in the case of ϵ -caprolactone (ϵ -CL)² and it was indeed possible to synthesize well defined di- and triblock copolymers of ϵ -CL and DXO⁴.

When aluminium isopropoxide (Al(O¹Pr)₃) is used as initiator in DXO polymerization, only one of the three potentially active alkoxide groups is involved in the initiation and propagation steps⁴. This behaviour has also been reported with ϵ -CL and adipic anhydride as monomers^{2,5}, but this is in contrast to the polymerization of lactide where all three isopropoxide groups of the initiator participate⁶. The reason for this difference in the number of active sites has been thoroughly investigated by Ropson et al. 7-9 and has been found to be dependent on the steric arrangement of the monomer-initiator complex formed in solution.

The monomer, DXO, can be polymerized by a number of initiating systems 10,11 and a high molecular weight poly(DXO) with, for example, a narrow molecular

has been obtained 10. These polymerizations are not, however, always easy to control and reproduce. Side cation, often prevent the production of well defined

weight distribution (MWD) and functional end-groups. Poly(DXO) is an amorphous polymer with a glass transition temperature (T_g) at about $-39^{\circ}C^{11}$. Poly-(DXO) is degraded in aqueous environments¹⁰ and is an important and interesting polymer which could be utilized in the synthesis of new biodegradable materials for use in medical, agricultural or packaging applications. We became interested in the aluminium alkoxides as initiators for the polymerization of DXO since they allow a larger degree of control of the final materials synthesized.

The object of this work was to find a procedure which allowed for the controlled synthesis of poly(DXO) with a high molecular weight and a narrow molecular weight distribution.

EXPERIMENTAL

Materials and methods

Tetrahydrofuran (THF) and toluene were dried by distillation over a Na/K-alloy/benzophenone complex in an inert gas atmosphere. Pyridine was purified by drying over CaH₂ and subsequent distillation. Hexane (Shell) was used as received. Methylene chloride (Shell) was distilled over CaCl₂ before use. Diethylether (Riedel de Haen) was dried over sodium wire and distilled under reduced pressure before use. Aluminium tri-isopropoxide (Aldrich) was purified by distillation under reduced pressure and dissolved in dry toluene. The concentration of this solution was measured by complexometric titration of Al with a standard solution of ethylene diamine tetra-acetic acid.

reactions, such as intra- or intermolecular transesterifi-

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Figure 1 DXO polymerization mechanism in the presence of aluminium isopropoxide

Table 1 Polymerization of DXO in THF with Al(OⁱPr)₃ as initiator

Entry	[M]/[I]	Polymerization temperature (°C)	Polymerization time (h)	Pyridine ^a (eqv.)	Conversion (%)	$M_{n, th.}^{b}$ $(g mol^{-1})$	$M_{\text{n, exp.}}^{c}$ (g mol ⁻¹)	$M_{n,LS}^{d}$ (g mol ⁻¹)	MWD	$k_{\rm app} \times 10^3$ (min ⁻¹)
1^e	130	0	2.5	0	98	15 000	22 700	_	1.10	45
2^e	470	0	18	0	85	47 000	43 600	_	1.10	_
3^e	430	0	19.5	0	16	8 000	8 700	_	1.10	_
4^e	630	0	18	0	32	22 200	16900	***	1.10	_
5^e	173	0	3	1	60	12 000	14 700		1.10	5.6
6^e	173	0	3	2	67	13 400	17 400	_	1.10	7.8
7	517	0	42	0	95	57 000	69 000	59 000	1.15	2.2
8	600	0	42	1	85	59 200	73 800	63 000	1.10	2.6
9	517	25	24	0	72	43 200	54 000	47 000	1.10	_
10	430	25	16.5	1	>99	50 000	44 500	-	1.20	_
11	517	25	69.5	0	>99	60 000	60 500	55 500	1.30	13
12	517	25	67	1	>99	60 000	59 700	56 500	1.30	17
13	861	25	21.5	1	97	97 000	126 600	118 600	1.15	2.6
14	517	40	17	0	98	59 000	66 500	60 500	1.30	24
15	517	40	17	1	99	60 000	62 000	61 000	1.30	30

^a Equivalents compared to a molar amount of A1

Synthesis of 1,5-dioxepan-2-one (DXO)

A typical synthesis was carried out as follows. A 67 g portion of 3-chloroperbenzoic acid (70%) (Aldrich) was dissolved in 400 ml of methylene chloride and the organic phase was separated and dried with MgSO₄ (anhydrous) (Merck). After filtration, the methylene chloride solution was cooled to 0°C in an ice/water bath. A 20 g portion of tetrahydro-4H-pyran-4-one (Fluka) was immersed in the peracid solution which was allowed to attain room

temperature under stirring during a period of 15 h. After filtration, the methylene chloride phase was washed with sodium bisulfite and sodium bicarbonate to eliminate any remaining peracid and most of the 3-chlorobenzoic acid. The methylene chloride phase was then evaporated to give a slightly yellow oil. This was distilled under reduced pressure (10⁻² mbar), and gave 80% yield of DXO (55°C). The DXO monomer was recrystallized twice in anhydrous diethylether to remove any residual

^b Theoretical molecular weight = ([M]/[I])MMx, where [M]/[I] = initial monomer/initiator molar ratio, MM = molecular weight of the monomer and x = monomer conversion

^c Molecular weight measured by s.e.c. (universal calibration with PS standard)

 $^{^{}d}M_{n,LS} = M_{w,LS}/MWD$, where $M_{w,LS}$ is the absolute weight-average molecular weight determined by light scattering e Old monomer purification method

3-chlorobenzoic acid. The 'old' monomer purification method involves drying by dissolving the DXO in dry toluene and removal of the toluene/ H_2O azeotrope twice, whereas in the new method drying is carried out over CaH_2 at $40^{\circ}C$ with subsequent vacuum distillation.

Polymerization procedure

The recrystallized DXO was dried over CaH₂ under stirring at 40°C during a period of at least 12 h and was subsequently distilled under reduced pressure (10⁻² mbar) just before use. The monomer was charged into a dry (flamed under vacuum, nitrogen purged) round-bottomed flask equipped with a magnetic stirring bar in a glove box (MBraun MB 150B-G-I, Germany) under strictly anhydrous conditions. THF and initiator solution were introduced into the polymerization vessel through rubber septums by stainless steel capillaries or glass syringes. The reaction vessel was, at all times, kept under a positive pressure of dry nitrogen. The polymer was precipitated and washed in hexane and dried under vacuum at ambient temperature to constant mass.

The same procedure was used in the bulk polymerization but the THF solvent was omitted. Before the addition of initiator solution, the monomer was melted at 40°C and then left to attain ambient temperature. After complete polymerization, a small amount of THF was introduced to remove any residual monomer droplets stuck on the wall of the round-bottomed flask. After removal of this fraction, THF with an excess of 1 M HCl (compared to the initiator) was added to solubilize and terminate the polymerization.

Size exclusion chromatography (s.e.c.)

S.e.c. measurements were made at 25°C with three PLgel columns (5 μ m, mixed C). A Waters model 510 apparatus was used with a differential refractometer (Waters 410) as detector and a WISP 712. THF was used as solvent, with a flow rate of 0.5 ml min⁻¹. A Copam PC-501 Turbo unit was used to record the data and make the calculations. A universal calibration¹² was made according to the relationship $[\eta]_1 M_1 = [\eta]_2 M_2$, where $[\eta]_x$ corresponds to the measured limiting viscosity number and M_x to the absolute weight-average molecular weight of poly(DXO) (subscript 1) and polystyrene (subscript 2).

Light-scattering measurements

Molecular weight data estimated from light scattering were obtained by a Wyatt Technology Dawn-F laser photometer operating at a wavelength of 632.8 nm and connected to the s.e.c. apparatus. Wyatt Technology data acquisition and processing software (ASTRA 2.11) was used to calculate the molecular weights. The differential refractive index increment (dn/dC) of poly(DXO) in THF (25°C) was determined to be $0.065\,\mathrm{ml\,g^{-1}}$.

Viscosity measurements

The intrinsic viscosity of dilute poly(DXO) solutions in THF was determined with an Ubbelohde viscometer

immersed in a water bath held at $+25^{\circ}$ C. Flow times varied between 99 and 110 s. At least four or five readings were made at each of the four concentrations of each sample until variations in flow time were kept within 0.2% of the mean value. Limiting viscosity numbers were estimated by the simultaneous extrapolation of $\eta_{\rm sp}/c$ and $(1/c) \ln \eta_{\rm rel}$ versus concentration plots to infinite dilution 13.

Differential scanning calorimetry (d.s.c.)

D.s.c. analysis was performed with a Perkin Elmer DSC-7. The samples were heated to 80°C and then cooled at 20°C min⁻¹ to -100°C. After 2 min equilibration, the heating scan was recorded at 10°C min⁻¹ to 80°C. Perkin Elmer 7 series standard software was used for processing and calculation of the glass transition temperatures.

RESULTS AND DISCUSSION

The versatility of poly(DXO) as it is, in a crosslinked state or as a part of a copolymer or blend makes it a very useful component in the family of degradable polymers. This led us to investigate further the ring-opening polymerization of this ether lactone initiated by Al(O¹Pr)₃. The results and conditions of the polymerizations are presented in *Table 1*.

To obtain more correct values of the true molecular weights, a universal calibration was performed based on light-scattering and viscosity measurements¹² of poly(DXO) with narrow MWD. The log-log plot of intrinsic viscosity *versus* molecular weight can be seen in *Figure 2*. The Mark-Houwink constants of poly(DXO) in THF solution at 25°C were determined to be $K = 1.1 \times 10^{-4}$ and a = 0.766.

Influence of water impurities

In earlier work⁴, the monomer purification procedure used involved drying by azeotropic distillation of toluene under reduced pressure (10⁻² mmHg) and then recrystallizing twice from dry diethylether. This method gave homopolymers of low to moderate molecular weight with a narrow MWD. However, when attempts were made to synthesize poly(DXO) of higher molecular weights $(M_n > 35\,000\,\mathrm{g\,mol^{-1}})$ problems were encountered: either the polymerization was not initiated at all or it reached only a limited conversion. The reason for this behaviour was believed to be the presence of impurities in the system, which led to termination of the active sites. In cases where a limited conversion was observed, the molecular weights were lower or in reasonable accordance with the expected values, taking the degree of conversion into consideration. The conversion seemed to be very slow in these cases, but the MWDs were always narrow (entries 2-4, Table 1).

Termination of some of the active sites would indeed lead to a lower apparent rate constant $(k_{\rm app})$ but it would also result in a higher molecular weight than expected. Since this was not the case, it was suspected that water was present and reacted with the $Al(O^{i}Pr)_{3}$ to form the corresponding hydroxide salt and isopropanol according

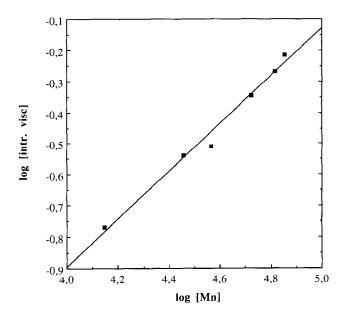


Figure 2 Universal calibration plot for poly(DXO) in THF, 25°C

to the equation:

The isopropanol can participate in exchange reactions with the remaining Al(O¹Pr)₃ molecules. The effect of deliberate addition of isopropanol to the ϵ -CL and lactide polymerization initiated with $Al(O^{i}Pr)_{3}$ has been investigated by Jacobs *et al.*¹. They found that the alcohol had the effect of a dissociating agent, increasing the number of active sites according to the equation:

$$n_{\rm th} = \frac{n^{\rm i} \text{PrOH} + 3\text{nAl}(\text{O}^{\rm i}\text{Pr})_3}{n\text{Al}(\text{O}^{\rm i}\text{Pr})_3}$$
 (3)

This would effectively lead to a lower molecular weight than expected in the case of only one active site, as earlier studies have shown for both ϵ -CL² and DXO⁴. In addition to the lower molecular weight, a decrease in polymerization kinetics was observed.

Experiments were carried out with the deliberate addition of 0.5 and 1 molar equivalent (eq.) (with respect to Al(OⁱPr)₃) of water, as shown in Table 2.

The results were very slow polymerizations which, in the 0.5 eq. case, reached almost full conversion after a

The Al(OⁱPr)₂OH formed might react further according to the equation:

polymerization time of 6 days. The polymer was precipitated in hexane which, after evaporation,

OH
$$Al(O^{i}Pr)_{3}$$

$$Al(O^{i}Pr)_{4}$$

$$Al(O^{i}Pr)_{3}$$

$$Al(O^{i}Pr)_{4}$$

$$Al(O^{i}Pr)_{3}$$

$$Al(O^{i}Pr)_{4}$$

$$Al(O^{i}Pr)_{5}$$

$$Al(O^{i$$

 $R = OCH(CH_3)_2$, O-AlR₂

Table 2 Polymerization of DXO with and without the addition of water $(Al(O^iPr)_3, 25^{\circ}C, THF \text{ solution } [M]_0 = 1.0 \text{ M})$

Entry	[M]/[I]	Equivalent a H ₂ O	$\frac{k_{\mathrm{app}}}{(\times 10^3 \mathrm{min}^{-1})}$	Polymerization time (h)	Conversion ^b (%)	$M_{\rm n, th}$ $(g \text{mol}^{-1})$	$M_{ m n, LS}$ (g mol ⁻¹)	MWD
1	517	0	13	21	99	60 000	58 500	1.15
2	345	0.5	0.35	145	98	40 000	25 800	1.30
3	345	1.0	0.045	441	22	8 800	2000^{c}	1.35

Compared to amount of Al

^c Determined from s.e.c.

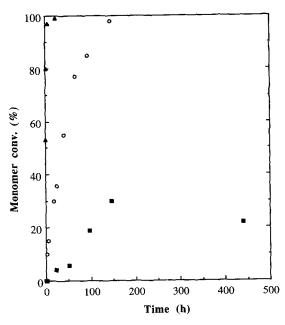


Figure 3 Influence of added water in the polymerization of DXO initiated by Al(O'Pr)₃ in THF, 25°C. ▲, 0 eq. of added water; ○, 0.5 eq. of added water; , 1.0 eq. of added water

showed a small amount (1-2%) of oligomers as detected by s.e.c. The MWD had a value of 1.2 at the beginning of the polymerization, later increasing to a final value of 1.3. When 1 eq. of water was added, the polymerization proceeded even more slowly, never reaching high conversions even after 18 days. S.e.c. of the crude final product showed oligomers with a bimodal distribution. H n.m.r. of the precipitated product showed fewer endgroups than could be expected from linear oligomers. It is thus probable that a mixture of cyclic and linear chains are formed. An illustration of the profound effect of added water on the polymerization rate can be seen in Figure 3.

It is difficult to state what influence the different species of aluminium alkoxides will have on the polymerization, and a more detailed investigation is needed to study further the influence of water impurities in polymerizations initiated by Al(O¹Pr)₃.

Influence of temperature and Lewis base addition

When higher molecular weights are desired, the polymerization time must also be increased according to the first-order kinetics with respect to both monomer and initiator, which were determined in the earlier work⁴. A longer polymerization time makes transesterification reactions more probable, sometimes resulting in, for example, a broader MWD. An increase in the

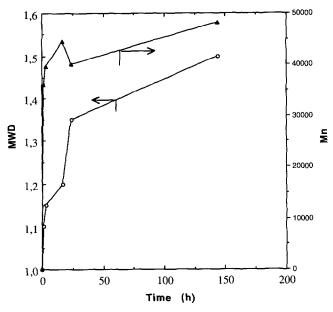


Figure 4 Dependence of number-average molecular weight (M_n) and molecular weight distribution (\widetilde{MWD}) on polymerization time. $[M]_0 = 1 \text{ M}$, $Al(O^iPr)_3$ in THF, [M]/[I] = 430 polymerization temperature = 25° C

polymerization temperature might have the same effect, but can be beneficial if the increase in propagation rate is higher than the increase in transesterification rate. Polymerizations were therefore carried out at three different temperatures: 0, 25 and 40°C (entries 7, 11 and 14 in Table 1). As expected, the MWD increased slightly at the highest temperature (the MWD of entry 11 when full conversion had been obtained after 21 h was 1.15). To maintain the narrow MWD it is essential to terminate the polymerization after complete monomer conversion. If the living polymer solution is left standing, inter- and intramolecular transesterification reactions broaden the MWD and eventually oligomers are formed, especially at and above room temperature (see Figure 4).

As expected, the rates of polymerization are increased with increasing temperature, as seen in Table 1. The polymerization time to reach full conversion is lowered from c. 30 h at 0°C to c. 3 h at 40°C ([M]/[I] = 517).

Pyridine, a well known Lewis base, has shown some interesting effects when added to polymerizations promoted by aluminium alkoxides^{4,17}. The higher polymerization rate and the reduction in transesterification reactions reported could possibly improve conditions in the poly(DXO) polymerization with Al(O'Pr)₃ as well. In Table 1 (entries 5, 6, 8, 10, 12, 13, 15), the results of polymerizations with added pyridine reported. The effect on the kinetics was less than

Determined by ¹H n.m.r. of crude polymer

expected and no significant change in MWD could be detected.

The absolute rate constant (k) can be derived from the first-order relationship:

$$k = \frac{k_{\text{app}}}{|I|} = -\frac{\ln([M]/[M]_0)/t}{|I|}$$

In the case of low to moderate molecular weight polymerizations of DXO in THF at 0°C, the absolute rate constant was found⁴ to be 5.71min⁻¹ mol⁻¹. The absolute rate constant (k) was found to be lower at higher molecular weights. For example, the k value of a polymerization at 0°C with a monomer/initiator ratio of 517 ($M_{\rm n,th} = 60\,000\,{\rm g\,mol}^{-1}$) was estimated to be $k = 1.11\,{\rm min}^{-1}\,{\rm mol}^{-1}$. This could be attributed either to impurities or to some sort of coordinative interaction of the living chain end. An intra- or intermolecular interaction of the Al-alkoxide chain end to either the ester or ether linkage of the poly(DXO), leading to a more sluggish kinetic situation, can be imagined. The possibility of breaking this interaction by adding pyridine, which specifically coordinates to the Al atom and therefore might influence the situation by steric hindrance, was considered. Pyridine was therefore added to some of the polymerizations performed at 0, 25 and 40°C (entries 8, 10, 12, 13, 15 in *Table 1*) and the kinetics were evaluated and compared with those of corresponding cases without added pyridine (entries 7, 9, 11, 14 in

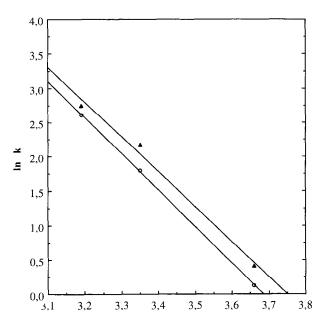


Figure 5 Linear relationship between logarithm of absolute rate constant $(\ln k)$ and inverse absolute polymerization temperature (1/T). The slopes yield values of activation energies for the solution polymerization of DXO with (\triangle) and without (\bigcirc) addition of 1 eq. of pyridine

Table 1). A slightly faster polymerization was observed in the case of added pyridine. Using data at different polymerization temperatures, it was also possible to derive the activation energy (E_a) of this polymerization, according to the Arrhenius equation. The activation energy is given by the slope of the straight line in a plot of $\ln k = f(1/T)$ (Figure 5).

A small difference was observed and the values were calculated to be $E_a = 42.2$ and $44.0 \,\mathrm{kJ} \,\mathrm{mol}^{-1}$ with and without 1 eq. of pyridine, respectively.

The effect on MWD was not significant at any of the temperatures investigated. It was thus concluded that the slow propagation observed at large [M]/[I] ratios could be attributed to impurities such as water. It should be pointed out that the observed effect of pyridine in the case of ϵ -CL was achieved with dialkylaluminium monoalkoxide as initiator and toluene as solvent¹⁷. If $Al(O^iPr)_3$ and Et_2AlOR are compared, it is realized that the Al-O bond in $Al(O^iPr)_3$ should be of a more ionic character than in Et_2AlOR . This, together with the fact that toluene is a less polar solvent than THF, could explain the difference in the effect of addition of pyridine. Indeed, results obtained from the copolymerization of ϵ -CL and DXO with $Al(O^iPr)_3$ in toluene confirm a small accelerating effect of pyridine in this solvent¹⁸.

Bulk polymerization

Polymerization of DXO in bulk initiated with Al(OⁱPr)₃ was carried out at 25°C with the addition of 1 eq. of pyridine. Although no detailed kinetic measurements were made, it was clear that the bulk polymerization proceeded very quickly to full conversion. Only two attempts were made in this preliminary study, with the results shown in *Table 3*.

After less than 5 min the polymerization had reached a point where no further stirring with the magnetic stirring bar was possible. As can be seen in *Table 3*, full conversion was obtained in less than 1.5 h and the experimental molecular weights are in good agreement with the theoretical values. If the reaction medium is left for a prolonged time after full conversion has been obtained, transesterification reactions occur, as shown by the broad *MWD* at 12 h (entry 1, *Table 3*).

Thermal analysis

The glass transition temperature $(T_{\rm g})$ of a polymer depends on a number of factors, such as molecular weight, MWD and thermal history of the sample. D.s.c. studies of the synthesized poly(DXO) with narrow MWD were therefore made to look for any changes in the thermal behaviour compared to that of poly(DXO) synthesized by a non-living polymerization mechanism¹⁰. Results in *Table 4* indicate that although the

Table 3 Bulk polymerization of DXO initiated with Al(OⁱPr)₃ at 25°C in the presence of 1 eq. of pyridine

Entry	Polymerization time (h)	Conversion (%)	$M_{n, th}$ $(g \text{mol}^{-1})$	$M_{\text{n.LS}}$ (g mol^{-1})	$M_{\mathrm{n,exp}} \ (\mathrm{gmol}^{-1})$	MWD
1	12	>99	20 000	18 400	19 400	1.55
2	1.5	>99	30 000	36 000	30 200	1.17

Table 4 Thermal data of poly(DXO), measured by d.s.c. (second heating)

Entry	$M_{n,LS}$ (g mol ⁻¹)	MWD	<i>T</i> _g (°C) _	
1	112 100 ^a	1.40	-39.2	
2	25 000	1.20	-39.7	
3	51 400	1.10	-38.9	
4	118 600	1.15	-37.6	

^a Poly(DXO) made in bulk at 112°C with stannous-2-ethylhexanoate as catalyst

molecular weights were similar, the broader MWD of the poly(DXO) resulting from a stannous-2-ethylhexanoatecatalysed polymerization (entry 1, Table 4), gave a lower T_g than the narrow MWD poly(DXO) made in this work (entry 4, Table 4). As expected, a reduction in the molecular weight leads to a lower T_g (entries 2-4, *Table 4*).

CONCLUSIONS

Aluminium isopropoxide is an effective initiator in the living polymerization of 1,5-dioxepan-2-one, and is capable of producing high molecular weight polymers with a narrow MWD, both in THF solution and in

Kinetics of the polymerization are highly dependent on water impurities, which also alter the molecular weight and broaden the MWD obtained.

Pyridine affects the polymerization kinetics and molecular weight distribution to a minor extent under the conditions used. An increase in the temperature of polymerization from 0 to 25°C or even to 40°C accelerates the polymerization but also leads to a slight broadening of the MWD.

Thermal analysis shows only small differences in T_g values, but generally the narrow MWD resulting from the living polymerization initiated by Al(O¹Pr)₃ yields polymers with a higher T_g than polymers with a broader MWD resulting from, for example, stannous-2-ethylhexanoate-catalysed polymerizations.

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