



Preparation of 2,5,6-trihydroxy-3-hexenoic acid and 2,5-dihydroxy-3-pentenoic acid and esters thereof from c6 and c5 sugars

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(54) **Title:** PREPARATION OF 2,5,6-TRIHYDROXY-3-HEXENOIC ACID AND 2,5-DIHYDROXY-3-PENTENOIC ACID AND ESTERS THEREOF FROM C6 AND C5 SUGARS

(57) **Abstract:** Preparation of 2,5,6-trihydroxy-3-hexenoic acid and 2,5-dihydroxy-3-pentenoic acid and esters thereof from C6 and C5 sugars in the presence of a Lewis Acid material, wherein the yield of the 2,5,6-trihydroxy-3-hexenoic acid or 2,5-dihydroxy-3-pentenoic acid or esters thereof exceeds 15 %.

Title: Preparation of 2,5,6-trihydroxy-3-hexenoic acid and 2,5-dihydroxy-3-pentenoic acid and esters thereof from C6 and C5 sugars

5 Description:

The present invention relates to the preparation and recovery of 2,5,6-trihydroxy-3-hexenoic acid and 2,5-dihydroxy-3-pentenoic acid and esters thereof from C6 and C5 sugars
10 in the presence of a Lewis acid catalyst.

Background:

Carbohydrates represent the largest fraction of biomass,
15 and various strategies for their efficient use as a feedstock for the preparation of commercial chemicals are being established. Biomass is of particular interest due to its potential as supplementing, and ultimately replacing petroleum as a feedstock for such purposes. Carbohydrates obtainable from biomass comprise C6 and C5 sugars and are of
20 particular industrial interest as they are a potential source of highly functionalised short chain carbon compounds. This is of particular importance for highly functionalised short chain carbon compounds that are commercially unavailable, such as 2,5,6-trihydroxy-3-hexenoic acid and 2,5-dihydroxy-3-pentenoic acid and esters thereof. A
25 general way to denominate these compounds is alpha-hydroxy-beta-ene-acids and esters thereof. The general molecular structure of such compounds is

30 $R' - HC = CH - CHOH - COOR \quad (I)$

Where R' and R represent -H, -alkyl or hydroxyalkyl groups.

Currently, 2,5,6-trihydroxy-3-hexenoic acid and 2,5-dihydroxy-3-pentenoic acid are prepared by alkaline degradation of cellulose: Svensk Papperstidning (1974) 16, p 593-602 and J. Appl. Polymer Sci. (1978) 22, pp 615-623; 5 and mannan: Acta Chem Scan. (1980) 40, pp 9-14. However, the product compositions of these reactions comprise numerous compounds, and therefore the products obtained are in low yields (5 mg per g of product). Additionally, the methods proposed are not industrially feasible due to the variety of reaction products produced in the process. 10

It is known that sugar compositions comprising C6 and/or C5 sugars may be substrates in the preparation of methyl lactate in the presence of Sn-BEA. EP 2 184 270 B1 and Science 15 (2010) 328, pp 602 - 605 report yields of methyl lactate of 64%, 43% and 44% at 160 °C in methanol from sucrose, glucose and fructose, respectively. Numerous by-products are, however, observed in connection with this reaction, and the major by-product reported is methyl vinylglycolate (3-11%). 20

It has been suggested that small amounts of compounds similar to saccharinic acids, including a noticeable amount of highly polar products may be produced during the disclosed reaction. It has been postulated that these highly polar 25 products are methyl esters of C6 saccharinic acids. Such C6 saccharinic acids are described in Carbohydrate Res. (1996) 280, pp 47-57. However, this reference is silent with regard to the identity, the amount in percentage yield and the number of compounds that are components of the highly 30 polar products.

Green Chem. (2012) 14, pp 702-706 discloses similar reaction conditions to Science (2010) 328, pp 602 - 605, wherein the temperature of the reaction is varied. The combined yields of identified products and unconverted sugars are at least 51%.

ChemSusChem (2015) 8, pp 613-617 discloses an increase in methyl lactate yield (from 20-25 % to 66-71%) obtained from sugars in the presence of a heterogeneous stannosilicate catalyst when an alkali ion is added to the reaction process.

Accordingly, it is desirable to provide a Lewis acid based catalytic processes for the preparation of highly functionalized C6 and C5 compounds. Additionally, it is desirable to provide highly functionalized C6 and C5 compounds in high yields by way of industrially applicable, direct, selective processes.

Summary of the Invention

According to the present invention it has been discovered that upon selection of specific reaction conditions, such as concentration of sugar in the sugar composition, amount of catalyst, solvent and alkalinity of the medium, it is possible selectively and in high yields to obtain alpha-hydroxy-beta-ene-acids, such as 2,5,6-trihydroxy-3-hexenoic acid and 2,5-dihydroxy-3-pentenoic acid and esters thereof from sugar compositions comprising one or more sugars selected from the group consisting of C6 and C5 sugars.

According to the present invention a process is provided for the preparation of alpha-hydroxy-beta-ene-acids or esters thereof of the formula



5 Wherein

R is selected from the group consisting of -H and C₁-C₈-alkyl; and

R' is hydroxymethyl or 1,2-dihydroxyethyl;

the process comprising the steps of:

- 10 a. contacting a saccharide composition comprising one or more C6 and/or C5 saccharide units with a Lewis Acid material; and
- b. recovering 2,5,6-trihydroxy-3-hexenoic acid and/or 2,5-dihydroxy-3-pentenoic acid or the esters thereof.
- 15

An advantage of this process is that the 2,5,6-trihydroxy-3-hexenoic acid or 2,5-dihydroxy-3-pentenoic acid and esters thereof can be recovered in yields above 15%. Preferably, the yield of esters is higher than 20%, 25%, 30%.

20

According to an embodiment of the present invention, the C₁-C₈-alkyl is selected from the group consisting of methyl-, ethyl-, propyl-, iso-propyl-, butyl-, isobutyl-, pentyl-, hexyl-, heptyl-, octyl-.

25

Such alpha-hydroxy-beta-ene-acids or esters thereof are highly functionalized, and as platform molecules (or base chemical/intermediate) they present advantageous characteristics for the chemical industry such as for producing polyesters. They may be polymerized or copolymerized with other monomers such as e.g. lactic acid or ε-caprolactone.

30

The compounds of formula (I) are structurally interesting molecule for which many applications can be envisioned. The structure of the compound resembles the structure of 6-hydroxycaproic acid, and therefore the compound of formula I can be utilized in similar applications. However, unlike 6-hydroxycaproic acid, the compound of the formula (I) allows other functionalities, such as as a double bond and a secondary alcohol, which introduces the possibility of using it as a functionalized polyester monomer.

The esters of 2,5,6-trihydroxy-3-hexenoic acid or 2,5-dihydroxy-3-pentenoic acid are preferably methyl esters. 2,5,6-trihydroxy-3-hexenoic acid methyl ester and 2,5-dihydroxy-3-pentenoic acid methyl ester may also be known as 'THM' and 'DPM'.

Where nothing else is indicated, the yield of the 2,5,6-trihydroxy-3-hexenoic acid or 2,5-dihydroxy-3-pentenoic acid and esters thereof is calculated on a molar basis based on the sugar starting material.

The saccharide composition may also be referred to as a "sugar composition" or "substrate". In the present context, a saccharide composition is meant to refer to a saccharide or sugar dissolved in a solvent. Similarly in the present context, the terms "saccharide", "sugar" and "substrate" are used interchangeably. The saccharide composition comprises preferably one or more C6 and/or C5 saccharide units selected from the group consisting of sucrose, xylose, arabinose, mannose, tagatose, galactose, glucose, fructose, inulin, amylopectin (starch) and sugar syrup. Examples of

the use of various saccharide compositions can be found in Table 6.

5 According to an embodiment of the invention, the concentration of C6 and/or C5 compounds (saccharide units) in the sugar composition (saccharide composition) is higher than 10 g/L, preferably higher than 50 g/L. In the present context, the "concentration of C6 and/or C5 compounds" is meant to refer to the total or combined concentration of
10 the saccharide monomers in the saccharide composition.

Lewis Acid materials act as an electron pair acceptor to increase the reactivity of a substrate. In the present context, the Lewis Acid materials catalyze the conversion of
15 saccharide units (sugars) into e.g. 2,5,6-trihydroxy-3-hexenoic acid and 2,5-dihydroxy-3-pentenoic acid and the esters thereof. The Lewis acid materials include tin salts, such as tin chloride (SnCl_4 and SnCl_2), tin fluoride (SnF_4 and SnF_2), tin bromide (SnBr_4 and SnBr_2), tin iodide
20 (SnI_4 and SnI_2), tin acetylacetonate ($\text{SnC}_{10}\text{H}_{14}\text{O}_4$), tin pyrophosphate ($\text{Sn}_2\text{P}_2\text{O}_7$), tin acetate ($\text{Sn}(\text{CH}_3\text{CO}_2)_4$ and $\text{Sn}(\text{CH}_3\text{CO}_2)_2$), tin oxalate ($\text{Sn}(\text{C}_2\text{O}_4)_2$ and SnC_2O_4), tin triflate ($(\text{CF}_3\text{SO}_3)_2\text{Sn}$ and $\text{CF}_3\text{SO}_3)_4\text{Sn}$) as well as materials presenting a porous structure, such as solid Lewis Acids.
25 In the present context, the Lewis Acid materials may also be referred to as "catalysts".

Solid Lewis Acid materials may be crystalline or non-crystalline. Non-crystalline solid Lewis Acid materials include ordered mesoporous amorphous materials, such as Sn-MCM-41 and Sn-SBA-15, or other mesoporous amorphous forms.
30 Crystalline microporous material includes zeolite materials

and zeotype materials. It can be advantageous to occasionally regenerate the Lewis Acid materials e.g. by calcining the materials at a temperature above 400°C in order to maintain a high selectivity and/or a yield of 2,5,6-trihydroxy-3-hexenoic acid and 2,5-dihydroxy-3-pentenoic acid and the esters thereof.

Zeolite materials are crystalline alumino-silicates of a microporous crystalline structure.

A zeotype material is a material where the aluminum atoms of a zeolite material are partly or fully substituted by a metal (metal atoms), such as zirconium (Zr), titanium (Ti) and tin (Sn).

The present invention relates to a process wherein the Lewis acid material framework structure is selected from the group consisting of BEA, MFI, FAU, MOR, FER, MWW, MCM-41 and SBA-15, or mixtures thereof.

The present invention relates to a process wherein the Lewis acid material comprises an active metal selected from one or more of the groups consisting of Sn, Ti, Pb, Zr, Ge and Hf or mixtures thereof.

The present invention relates to a process wherein the Lewis acid material is selected from the group consisting of Sn-BEA, Sn-MFI, Sn-FAU, Sn-MOR, Sn-MWW, Sn-MCM-41 and Sn-SBA-15, SnCl₄, SnCl₂ or mixtures thereof. Preferably, the material is Sn-BEA or Sn-MCM-41 or SnCl₄.

According to a further embodiment of the invention, the Sn-BEA is prepared by a direct synthesis process using hydrogen fluoride or by a post treatment process as collected in Table 2 and Table 7. Examples of direct synthesis processes are described in EP 1 010 667 B1. The Sn-BEA is prepared by a fluoride direct synthesis process or by a post treatment process in order to avoid the presence of alkaline components in the Sn-BEA, Such alkaline components are, for example: potassium ions as illustrated in WO2015/024875 A1. Preferably, any alkaline material present in the reaction solution is present in a concentration of less than 0.13 mM or in an amount of less than 0.5 wt % of the catalyst composition.

An example of a post treatment process for the preparation of Sn-BEA is illustrated in WO2015/024875 A1 (Catalyst A). The hydrogen fluoride route (also known as the direct synthesis process), is described in EP 1 010 667 B1.

The process according to the present invention may be conducted as a continuous flow process or a batch process. In the present context, a continuous flow process is to be understood as a reaction or process that occurs over a prolonged period of time, and the reactant is fed through a reaction chamber in a solvent. It is an advantage of a continuous flow process that it is suitable for large scale production.

According to a further embodiment of the invention, the process is a continuous process, wherein the weight hourly space velocity is between 0.005 and 10 h⁻¹, such as from 0.01 to 5 h⁻¹, or 0.05 to 1 h⁻¹

According to a further embodiment of the invention, the ratio of the catalyst to substrate is optimized for each saccharide concentration as shown in Table 4 to obtain a yield of 2,5,6-trihydroxy-3-hexenoic acid or 2,5-dihydroxy-3-pentenoic acid and esters thereof is higher than 15%, 20%, 25%, 30%, 35% or even as high as 50%. For example the mass ratio (R_m) of catalyst to substrate is preferably $R_m > 0.1$, such as 0.2, more preferred within the range of from $0.1 < R_m < 0.8$, such as $0.25 < R_m < 0.75$ when the saccharide is xylose.

According to a further aspect of the invention, the process is carried out at a temperature from 110 °C to 200 °C, from 110 °C to 190 °C, from 110 to 180 °C, preferably at a temperature from 140 to 170 °C, as shown in Table 1.

According to another aspect of the invention, the solvent is a polar solvent. A polar solvent is meant to refer to a composition having a dielectric constant exceeding 15 such as DMSO, dimethylformamide, acetonitrile, methanol, ethanol, water or mixtures thereof. An advantage of using polar or slightly polar solvents is that the yields of 2,5,6-trihydroxy-3-hexenoic acid or 2,5-dihydroxy-3-pentenoic acid and esters thereof can be above 20%. Preferably, the yield of esters is higher than 25%, 30%, 35%, 40%, 45% or even as high as 50% based on moles of initial saccharide.

According to an embodiment of the invention, the solvent comprises DMSO. Surprisingly, the yield of 2,5,6-trihydroxy-3-hexenoic acid (THA) and/or 2,5-dihydroxy-3-pentenoic acid (DPA) is above 20%, such as above 25, 30,

35, 40 or 45% as shown in Table 8. Preferably, the solvent comprises DMSO and water, wherein the concentration of water is within the range of from 2 to 50 wt%, such as from 5 to 30%. Preferably, the solvent is a mixture of DMSO and water.

According to the present invention, the concentration of alkali metal ions present in the reaction solution or in the environment of the Lewis Acid material is kept at a concentration of less than 0.13 mM or an amount of less than 0.5 wt % of the catalyst composition.

An advantage of keeping the concentration of ions low is that yields 2,5,6-trihydroxy-3-hexenoic acid or 2,5-dihydroxy-3-pentenoic acid and esters thereof above 15% may be obtained, as shown in Table 5. Preferably the yield of esters is higher than 20%, 25%, 30%, 35%, 40%, 45% or even as high as 50%. When the concentration of alkali metal ion present is less than 0.13 mM, the yield of methyl lactate is kept below 30%, more preferably below 20% or 15% with the result that an increased conversion rate of saccharides into the desired products of Formula I is obtained.

As used herein, an alkali metal ion is to be understood as a metal ion originating from either the element itself or the salt of an alkali metal. More specifically, the salt of the alkali metal comprises at least one metal ion and at least one anion. Examples of metal ion are potassium, sodium, lithium, rubidium and caesium. Examples of a salt of the alkali metal are carbonate, nitrate, acetate, lactate, chloride, bromide and hydroxide. Examples of salts are

K_2CO_3 , KNO_3 , KCl , potassium acetate (CH_3CO_2K), potassium lactate ($CH_3CH(OH)CO_2K$), Na_2CO_3 , Li_2CO_3 , Rb_2CO_3 .

Also according to the present invention, the concentration
5 of the compounds of formula I, such as 2,5,6-trihydroxy-3-hexenoic acid or 2,5-dihydroxy-3-pentenoic acid and/or esters thereof in the reaction medium is higher than 10 g/L, with a yield exceeding 15%, 20%, 25%, 30%, 35% or even as high as 50%. Also according to the present invention, the
10 concentration of saccharide in the reaction composition is higher than 5 wt%, as shown in Table 3.

Examples:

15 Preparation of Sn-BEA:

A. Process for the preparation of Sn-BEA via a direct synthesis method (HF route).

20 Sn-Beta zeolites were synthesized by modifying the route described by Valencia et al.[US6306364 B1] In a typical synthesis procedure, 30.6 g of tetraethyl orthosilicate (TEOS, Aldrich, 98%) was added to 33.1 g of tetraethylammonium hydroxide (TEAOH, Sigma-Aldrich, 35% in water) under
25 careful stirring and forming a two-phase solution. After stirring for ~60 min, one phase is obtained and tin(IV) chloride pentahydrate ($SnCl_4 \cdot 5H_2O$, Aldrich, 98%) dissolved in 2.0 mL of demineralized water was added drop wise. Stirring was maintained for several hours to allow
30 ethanol formed from the hydrolysis of TEOS to evaporate. Finally, 3.1 g hydrofluoric acid (HF, Fluka, 47-51%) in 1.6 g of demineralized water was added to the gel, yielding a

solid with the molar composition; 1.0Si:0.005Sn:0.02Cl⁻
:0.55TEA⁺:0.55F⁻:7.5H₂O. All samples were then homogenized
and transferred to a Teflon-container placed in a stainless
steel autoclave and subsequently placed at 140°C for 14
5 days. The solid was recovered by filtration and washed with
demineralized water, followed by drying overnight at 80°C
in air. The organic template contained within the material
was removed by heating the sample at 2°C/min to 550°C in
static air, and this temperature was maintained for 6 h.

10

B. Process of preparing Sn-BEA via a post-treatment method.

Sn/Beta (Si/Sn = 125) was prepared according to the procedure described in ChemSusChem 2015, 8, 613-617. Commercial zeolite Beta, viz. (Zeolyst, Si/Al 12.5, NH₄⁺ form) is calcined at 550°C for 6 h to obtain the H⁺ form and treated with 10 g of concentrated nitric acid (HNO₃, Sigma-Aldrich, ≥65%) per gram of zeolite Beta powder for 12 h at
15 80°C. The resulting solid is filtered, washed with ample
water and calcined at 550°C for 6 h using a ramp of 2°C/min
to obtain the dealuminated Beta. This solid is impregnated
by incipient wetness methodology with a Si/Sn ratio of 125.
For this purpose, tin(II) chloride (0.128 g, Sigma-Aldrich,
25 98%) is dissolved in 5.75 mL water and added to the dealuminated 5 g of Beta. After the impregnation process, the samples are dried 12 h at 110°C and calcined again at 550°C for 6 h.

30

C. Process of preparing Sn-MCM-41

The ordered mesoporous stannosilicate, Sn-MCM-41, was prepared according to the route described in Green Chemistry, 2011, 13, 1175-1181. In a typical synthesis, 26.4 g of tetraethylammonium silicate (TMAS, Aldrich, 15-20 wt% in water, $\geq 99.99\%$) was slowly added to a solution of 13.0 g of hexadecyltrimethylammonium bromide (CTABr, Sigma, $\geq 99.0\%$) dissolved in 38.0 g of water, and the mixture was allowed to stir for approx. 1 hour. At this point, $\text{SnCl}_4 \cdot 5\text{H}_2\text{O}$ and hydrochloric acid (HCl, Sigma-Aldrich, min. 37%) in 2.1 g of water were added dropwise to the solution and allowed to stir for 1.5 h. To this solution 12.2 g of TEOS was added and stirred for 3 h, leading to a gel composition of 1.0Si:0.005Sn:0.44CTABr:0.27TMA:0.08Cl⁻:46H₂O. The samples were then transferred to a Teflon-lined container placed in a stainless steel autoclave and placed in a pre-heated oven at 140°C for 15 h. The solid was recovered by filtration, washed with ample water and then dried overnight at 80°C. The material was finalized by calcination, where the sample was heated to 550°C at 2°C/min in static air and maintaining this temperature for 6 h.

Example 1:

a. In a typical reaction, 0.150 g of alkali-free Sn-Beta zeolite (Si/Sn = 150), 0.45 g of sugar and 15.0 g of anhydrous methanol (15.0 g, Sigma-Aldrich, $>99.8\%$) is added to a stainless steel pressure vessel (40 cc, Swagelok). The reactor is closed and placed in a pre-heated oil bath at 160°C under stirring at 700 rpm and allowed to react for 20 hours. After reaction the vessel is rapidly cooled by submerging the reactor in cold water. The sugar derivative was identified by GC-

MS (Agilent 6890 with a Phenomenex Zebron ZB-5 column equipped with an Agilent 5973 mass selective detector).

5 b. Alternatively, 4.0 g of anhydrous methanol (Sigma-Aldrich, >99.8%), 0.36 g sugar (Sigma-Aldrich, >99%) and the desired amount of alkali-free Sn-Beta were added to a 5 mL glass microwave vial (Biotage). The reaction vessel was heated to 160°C while stirred at
10 600 rpm for 2 hours in a Biotage Initiator+ microwave synthesiser. After cooling, samples were filtered and subsequently analysed. In relevant reactions, alkali salt was added by replacing the appropriate portion of the methanol solvent with a 1mM standard solution of
15 K₂CO₃ (Sigma-Aldrich, ≥ 99.0%) in methanol to obtain the required concentration.

Anhydrous tin(IV) chloride (Sigma Aldrich, St. Louis, MO, USA) was dissolved in d₆-DMSO (Sigma Aldrich) to a final
20 concentration of 10% (w/v). Carbohydrates including glucose, fructose, ribose, arabinose, inulin, xylan and amylopectin (starch) (all from Sigma Aldrich, Megazymes (Bray, Ireland) Carbosynth (Compton, UK)) were dissolved in d₆-DMSO at concentrations corresponding to 0.3-1 M saccharide
25 monomer (30-100 mg/500 µl final volume) in 1.5 ml Eppendorf safelock tubes. Water (D₂O) was added to a final volume ratio (v/v) of 0, 5, 10, 15 or 20%. Anhydrous tin(IV) chloride was added from the stock solution, typically to a final carbohydrate:catalyst molar ratio of 10:1. Reaction mix-
30 tures containing carbohydrate in d₆-DMSO with 10-vol% catalyst and defined water fraction were incubated while shaking at 600 rpm at 99°C for 20 hours in a Eppendorf Thermo-

mixer. Samples were transferred to 5 mm NMR sample tubes after the reaction and immediately analysed at 30°C by ¹H and ¹³C NMR spectroscopy. The samples had some miscoloring due to humin formation, but remained transparent (albeit slightly colored) throughout the experiments with the best
5
THA yields. Yields were estimated by comparing the ¹³C NMR signal integrals of a substrate solution with the signal integrals of the product mixture (both normalized to the d6-DMSO signal) and by integrating the signals not overlapping the hydroxyl-region of an ¹H NMR spectrum, which includes lactate and lactate oligomer methyl groups, 3-deoxy compound methylene groups and THA olefin as well as HMF furan hydrogen signals. Lactate molar fractions were divided by a factor of two when deriving the yields as %molC
10
from C6 sugars. In situ experiments were performed by transferring the reaction mixtures from the 1.5 ml Eppendorf safelock tubes directly to NMR tubes followed by heating the NMR tubes in the spectrometer to the desired temperature. The reaction progress was then followed by pseudo-2D spectra containing series of ¹H or ¹³C NMR spectra.
20
For signal identification, homo- and heteronuclear assignment spectra were recorded for glucose- and xylose derived reaction mixtures. All spectra were recorded on a Bruker (Fällanden, Switzerland) Avance II 800 MHz spectrometer
25
equipped with a TCI Z-gradient CryoProbe and an 18.7 T magnet (Oxford Magnet Technology, Oxford, U.K.) or on a Bruker Avance III 600 MHz spectrometer equipped with a room temperature smart probe. NMR spectra were recorded, processed and analysed with Bruker Topspin 2.1 or Bruker Topspin 3.0.

30

Examples 2 - 3: Example 1b was followed where the temperature of the process was increased to 170 °C and decreased

to 14 °C. respectively. The catalyst used is Sn-Beta (Si/Sn = 150) according to method A.

5 Table 1: Yield of 2,5,6-trihydroxy-3-hexenoic acid methyl ester (THM) from a C6 sugar (glucose) at varying process temperatures.

Example	Temperature (°C)	Yield (%)
1	140	12
2	160	14.5
3	170	17.3

10 As seen in Table 1, increasing the temperature provides increasing yields.

Examples 4 - 6: Example 1a was followed where the starting material was xylose instead of glucose at 160 °C, and different catalysts were used.

15 Table 2: Yield of 2,5-dihydroxy-3-pentenoic acid methyl ester (DPM) from a C5 sugar (xylose) with different catalysts.

20

Example	Catalyst	Yield (%)
4	Method A (Si/Sn = 200)	27.5
5	Method A (Si/Sn = 150)	24.5
6	Method B (Si/Sn = 125)	18.1

As seen in Table 2, method A for the preparation of the catalyst provides increased yields under the conditions given.

Examples 7-10: Example 1b was followed where the starting material was xylose at 160 °C and different initial concentrations in wt% of xylose in the reaction composition.

5 Table 3: Yield of 2,5-dihydroxy-3-pentenoic acid methyl ester (DPM) at 160 °C. Catalyst used is Sn-Beta (Si/Sn = 150) according to method A.

Example	Xylose concentration wt%	Yield DPM(%)
7	4.3	26
8	8.3	32
9	15	30
10	23	30

10 As observed in Table 3, it seems that at a higher xylose concentration results in increased yields of DPM until a threshold yield of DPM is achieved at a xylose concentration of around 7 wt% and possibly with a little peak around 8-9 wt%. This fact is surprising since sugar experiments
15 are typically conducted in concentrations below 5 g/L. It is especially interesting to note that a concentration as high as 30 g/L produces DPM in a comparable yield as the lower concentrations. It is unusual to obtain high yields of products when using high concentrations of saccharides.

20

Examples 11-16: Example 1b was followed where the starting material was xylose at 160 °C, and different amounts of catalyst leading to different catalyst to substrate ratios were used.

25

Table 4: Yield of 2,5-dihydroxy-3-pentenoic acid methyl ester (DPM) and methyl lactate (ML), xylose concentration 9 wt%. Catalyst used is Sn-Beta (Si/Sn = 150) according to method A.

5

Example	Mass ratio catalyst/substrate	DPM Yield (%)	ML Yield (%)
11	0	0	1
12	0.125	15	25
13	0.25	23	24
14	0.5	32	15
15	0.75	30	15
16	1	30	14

As shown in Table 4, when the ratio of catalyst/substrate is 0.5 then the highest yield of DPM was obtained. Accordingly, the yield of DPM can be optimized by adjusting the ratio of catalyst/substrate. It is very interesting to note that the yield of ML decreased concomitantly with the increase in DPM. This change in selectivity of the catalyst when different amounts of catalyst were used is very surprising and has not been reported earlier. In order to obtain a high yield of DPM, the ratio of catalyst/substrate should be above 0.25.

Examples 17-24: Example 1b was followed where the starting material was xylose at 160 °C, and different concentrations of alkali metal ion (K₂CO₃) in methanol were used.

Table 5: Yield of 2,5-dihydroxy-3-pentenoic acid methyl ester (DPM) and methyl lactate (ML), xylose concentration 9

wt%. Catalyst used is Sn-Beta (Si/Sn = 150) according to method A.

Example	Concentration of K ₂ CO ₃ in methanol (mM)	DPM Yield (%)	ML Yield (%)
17	0	32	13
18	0.05	21	27
19	0.1	14	34
20	0.15	11	34
21	0.25	8	35
22	0.5	4	29
23	0.75	2	23
24	1	2	16

5

As seen in Table 5, the concentration of alkali metal ion has an effect on the yield of DPM. As exemplified here for the case of K₂CO₃, a concentration of alkali metal ion below 0.1 mM led to DPM yields above 20%. ML yield must be kept below 30%. Therefore DPM is the main product found in the reaction mixture.

10

Examples 25- 30: Example 1a was followed where the starting materials were other sugars (instead of glucose) at 160°C. Catalyst used is Sn-Beta (Si/Sn = 125) according to method B.

15

Table 6: Yield of 2,5,6-trihydroxy-3-hexenoic acid methyl ester (THM) from different sugars. Catalyst used is Sn-Beta (Si/Sn = 125) according to method B.

20

Example	Sugar	Yield (%)
25	Fructose	17.8
26	Mannose	14.7
27	Sorbose	17.3
28	Galactose	11.5
29	Tagatose	9.0
30	Sucrose	15.3

As seen in Table 6, all the tested C6 monosaccharides and disaccharides produce THM.

5

Examples 31 - 33: Example 1 was followed at 160°C and different catalysts were used, said catalysts being prepared according to examples B and C.

10

Table 7: Yield of 2,5,6-trihydroxy-3-hexenoic acid methyl ester (THM) from different catalysts

Example	Catalyst	Yield (%)
31	Method A (Si/Sn = 125)	16.1
32	Method B (Si/Sn = 125)	13.8
33	Method C (Si/Sn = 125)	17.7

5 As seen in Table 7, method C for the preparation of the catalyst is preferred.

Examples 34 - 38: Example 1c was followed at 90°C and different amounts of water were added in DMSO.

10

Table 8: Yield of 2,5,6-trihydroxy-3-hexenoic acid (THA) with different amounts of water

Example	Water (wt%)	THA Yield (%)	HMF Yield (%)
34	0	20	42
35	5	47	32
36	10	49	25
37	15	48	22
38	20	43	20

15 As seen in Table 8, the presence of 5-15 wt% of water in the solvent mixture is preferred.

Examples 39 - 44: Example 1c was followed at 90°C and 2,5-dihydroxy-3-pentenoic acid from different sugars in DMSO.

Table 9: Yield of 2,5,6-trihydroxy-3-hexenoic acid (THA) and 2,5-dihydroxy-3-pentenoic acid (DPA) from different sugars

Example	Sugar	THA Yield (%)	DPA Yield (%)
39	Glucose	49	-
40	Sucrose	44	-
41	Fructose	44	-
42	Xylose	-	49
43	Arabinose	-	48
44	Inulin	42	-

Example 45: Production, purification and identification of 2,5,6-trihydroxy-3-hexenoic acid methyl ester (THM) and 2,5-dihydroxy-3-pentenoic acid methyl ester (DPM)

Production and purification of 2,5,6-trihydroxy-3-hexenoic acid methyl ester (THM)

Post-treated Sn-Beta (3 g), Glucose (12 g, Sigma-Aldrich, >99.0%) and methanol (200 g, Sigma-Aldrich, >99.8%) were added to the Teflon liner of a 1 L autoclave reactor (Autoclave Engineers). The reactor was sealed and heated to 160°C while stirred at 450 rpm for 16 hours. The reaction mixture was then cooled and filtered and resulted in the crude reaction mixture. The crude reaction mixture was concentrated under reduced pressure at 40 °C. 2.1 g of the concentrate was dissolved in methanol, evaporated onto

Celite and purified by flash column chromatography (silica gel 15 40 Mesh, CH₂Cl₂ -> 20:1 CH₂Cl₂:MeOH) affording 0.30 g of pure THM.

5 Production and purification of 2,5-dihydroxy-3-pentenoic acid methyl ester (DPM)

Post-treated Sn-Beta (7.5 g), Xylose (30 g, Sigma-Aldrich, >99%), demineralized water (3 g) and methanol (300 g, Sigma-Aldrich, >99.8%) were added to the Teflon liner of a 1 L autoclave reactor (Autoclave Engineers). The reactor was sealed and heated to 160°C while stirred at 450 rpm for 16 hours. The reaction mixture was then cooled and filtered and resulted in a crude reaction mixture including 15-20% DPM. The crude reaction mixture was concentrated under reduced pressure. The concentrate was dissolved in methanol, evaporated onto Celite and purified by dry column vacuum chromatography (silica gel 60 (15-40 µm), heptane -> ethyl acetate), affording DPM of >94% purity (GC-MS).

20

Analysis and Identification

NMR experiments were recorded on a Bruker Ascend 400 spectrometer, ¹H -NMR was recorded at 400 MHz and ¹³C-NMR was recorded at 100 MHz. The chemical shifts are given in ppm relative to the residual solvent signals, and the chemical shifts are reported downfield to TMS. HRMS was recorded on an LC-TOF (ES).

30

2,5,6-trihydroxy-3-hexenoic acid methyl ester (THM)

1H-NMR (400 MHz, CD₃OD): δ (ppm) 5.93 (dd, $J = 15.3, 4.3$ Hz, 1H), 5.88 (dd, $J = 15.3, 4.1$ Hz, 1H), 4.69 (d, $J = 4.1$ Hz, 1H), 4.14 (ddd, $J = 6.7, 4.7, 4.1$ Hz, 1H), 3.73 (s, 3H), 3.51 (dd, $J = 10.9, 4.7$ Hz, 1H) 3.45 (dd, $J = 10.9, 6,7$ Hz, 1H). ¹³C-NMR (100 MHz, CD₃OD) : δ (ppm) 174.6, 133.8, 129.4, 73.4, 72.2, 67.0, 52.6. HRMS (ESI+) m/z calculated for C₇H₁₂O₅ [M + Na]⁺: 199.0577; found: 199.0572.

10

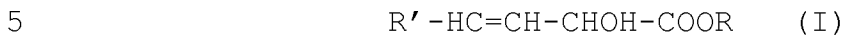
2,5-dihydroxy-3-pentenoic acid methyl ester (DPM)

¹H NMR (400 MHz, CD₃OD) δ 5.89 (dtd, $J = 15.5, 5.0, 1.4$ Hz, 1H), 5.72 (ddt, $J = 15.5, 5.7, 1.7$ Hz, 1H), 4.76 (s, 4H), 4.58 (ddt, $J = 5.7, 1.4, 1.4$ Hz, 1H), 3.99 (ddd, $J = 5.0, 1.6, 1.4$ Hz, 2H), 3.63 (s, 3H), 3.21 (p, $J = 3.3, 1.6$ Hz, 1H). ¹³C NMR (101 MHz, CD₃OD) δ 173.2, 132.2, 126.8, 70.9, 61.3, 51.2

20

Claims:

1. A process for the preparation of alpha-hydroxy-beta-ene-acids or esters thereof of the formula



wherein

R is selected from the group consisting of -H and C₁-C₈-alkyl; and

R' is hydroxymethyl or 1,2-dihydroxyethyl;

10 the process comprising the steps of:

a. contacting a saccharide composition comprising one or more C₆ and/or C₅ saccharide units with a Lewis Acid material; and

15 b. recovering 2,5,6-trihydroxy-3-hexenoic acid and/or 2,5-dihydroxy-3-pentenoic acid or the esters thereof.

20 2. The process according to claim 1, wherein the esters of 2,5,6-trihydroxy-3-hexenoic acid or 2,5-dihydroxy-3-pentenoic acid are 2,5,6-trihydroxy-3-hexenoic acid methyl ester and 2,5-dihydroxy-3-pentenoic acid methyl ester.

25 3. The process according to any one of claims 1 or 2, wherein the saccharide composition comprises one or more C₆ and/or C₅ saccharide units selected from the group consisting of sucrose, xylose, mannose, tagatose, galactose, glucose, fructose, arabinose, inulin, amylopectin and sugar syrup.

30

4. The process according to any one of claims 1 to 3 wherein the saccharide composition contains at least 10% by weight of saccharide units.
- 5 5. The process according to any one of claims 1-4, wherein the saccharide composition comprises a polar solvent.
6. The process according to claim 5, wherein the saccharide composition comprises one or more solvents selected from the group consisting methanol, ethanol, DMSO and water.
10
7. The process according to any one of claims 1 to 6, wherein any alkali metal ion present in the saccharide composition is present in a concentration of less than 0.3 mM.
15
8. The process according to any one of claims 1 to 6, wherein the concentration of alkali metal ion in the saccharide composition is less than 0.3 mM.
20
9. The process according to any one of claims 1 to 8, wherein the Lewis acid material contains less than 0.5 wt% of alkali metal ion.
25
10. The process according to any one of claims 1 to 9, wherein the Lewis Acid material is Sn-BEA.
- 30 11. The process according to any one of claims 1 to 10, wherein the Lewis Acid material is Sn-MCM-41.

12. The process according to any one of claims 1 to 11,
wherein the Lewis Acid material is tin salt, such as
tin chloride (SnCl_4 and SnCl_2), tin fluoride (SnF_4 and
 SnF_2), tin bromide (SnBr_4 and SnBr_2), tin iodide (SnI_4
5 and SnI_2), tin acetylacetonate ($\text{SnCl}_{10}\text{H}_{14}\text{O}_4$), tin pyro-
phosphate ($\text{Sn}_2\text{P}_2\text{O}_7$), tin acetate ($\text{Sn}(\text{CH}_3\text{CO}_2)_4$ and
 $\text{Sn}(\text{CH}_3\text{CO}_2)_2$), tin oxalate ($\text{Sn}(\text{C}_2\text{O}_4)_2$ and SnC_2O_4), tin
triflate ($(\text{CF}_3\text{SO}_3)_2\text{Sn}$ and $(\text{CF}_3\text{SO}_3)_4\text{Sn}$).
13. The process according to any one of claims 1 to 12,
wherein the saccharide composition is contacted with
the Lewis Acid material at a temperature of from 30 to
190 °C.
14. The process according to claim 13, wherein the tem-
perature is from 80 to 170 °C.
15. The process according to any one of claims 1 to 14,
wherein the saccharide composition is contacted with
20 the Lewis Acid material for a period of at least 10
seconds.
16. The process according to any one of claims 1 to 15,
wherein the process is conducted under continuous con-
25 ditions.
17. The process according to claim 16, wherein the weight
hourly space velocity is between 0.005 and 10 h^{-1} .
18. The process according to any one of claims 1 to 17,
wherein the alpha-hydroxy-beta-ene-acids or esters
thereof are subjected to a derivatization selected

from acylation, silylation, alkylation, hydrolysis, hydrogenation, amidation.

19. The process according to any one of claims 1 to 18,
5 wherein step b) includes a purification of the alpha-hydroxy-beta-ene-acids or esters or derivatives thereof.
20. The process according to claim 19 wherein the purification
10 includes evaporating the solvent under reduced pressure.
21. The process according to any one of claims 19 or 20,
15 wherein the purification includes purifying the alpha-hydroxy-beta-ene-acids or esters or derivatives thereof by column chromatography.
22. The process according to any one of claims 19 or 20,
20 wherein the purification includes purifying the alpha-hydroxy-beta-ene-acids or esters or derivatives thereof by distillation.
23. The process according to any one of claims 19 or 20,
25 wherein the purification includes purifying the alpha-hydroxy-beta-ene-acids or esters or derivatives thereof by crystallization.

INTERNATIONAL SEARCH REPORT

International application No
PCT/EP2016/064186

A. CLASSIFICATION OF SUBJECT MATTER
INV. C07C67/00 C07C69/732
ADD.
According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED
Minimum documentation searched (classification system followed by classification symbols)
C07C
Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)
EPO-Internal, WPI Data, CHEM ABS Data

C. DOCUMENTS CONSIDERED TO BE RELEVANT		
Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	M. S. HOLM ET AL: "Conversion of Sugars to Lactic Acid Derivatives Using Heterogeneous Zeotype Catalysts", SCIENCE, vol. 328, no. 5978, 30 April 2010 (2010-04-30), pages 602-605, XP055003736, ISSN: 0036-8075, DOI: 10.1126/science.1183990 table 1	1-23
X	WO 2015/024875 A1 (HALDOR TOPSÖE AS [DK]) 26 February 2015 (2015-02-26) cited in the application examples 1-28	1-23
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Further documents are listed in the continuation of Box C.

See patent family annex.

* Special categories of cited documents :

<p>"A" document defining the general state of the art which is not considered to be of particular relevance</p> <p>"E" earlier application or patent but published on or after the international filing date</p> <p>"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)</p> <p>"O" document referring to an oral disclosure, use, exhibition or other means</p> <p>"P" document published prior to the international filing date but later than the priority date claimed</p>	<p>"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention</p> <p>"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone</p> <p>"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art</p> <p>"&" document member of the same patent family</p>
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Date of the actual completion of the international search 11 August 2016	Date of mailing of the international search report 19/08/2016
Name and mailing address of the ISA/ European Patent Office, P.B. 5818 Patentlaan 2 NL - 2280 HV Rijswijk Tel. (+31-70) 340-2040, Fax: (+31-70) 340-3016	Authorized officer Matés Valdivielso, J

INTERNATIONAL SEARCH REPORT

International application No
PCT/EP2016/064186

C(Continuation). DOCUMENTS CONSIDERED TO BE RELEVANT		
Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	US 2015/045576 A1 (BENECKE HERMAN P [US] ET AL) 12 February 2015 (2015-02-12) claim 1; table 3 -----	1-23
X	MARTIN S. HOLM ET AL: "Sn-Beta catalysed conversion of hemicellulosic sugars", GREEN CHEMISTRY, vol. 14, no. 3, 1 January 2012 (2012-01-01), page 702, XP055116566, ISSN: 1463-9262, DOI: 10.1039/c2gc16202d table 1 -----	1-23
X	LARS LÖWENDAHL ET AL: "Nonoxidative and oxidative alkaline degradation of mannan", ACTE CHEMICA SCANDINAVICA B, vol. 34, no. 1980, 1 January 1980 (1980-01-01), pages 623-628, XP055230159, cited in the application table 2 -----	1-23

INTERNATIONAL SEARCH REPORT

Information on patent family members

International application No

PCT/EP2016/064186

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		EP 3036040 A1	29-06-2016
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US 2015045576	A1	12-02-2015	NONE
