

1 REVISION 1: Ab initio investigations of
2 dioctahedral interlayer-deficient mica: Modeling
3 particles of illite found within gas shale

4 Dawn Geatches^{1*}, Douglas McCarty²

and Jennifer Wilcox¹

¹ Energy Resources Engineering, 367 Panama Street, Stanford, CA 94305, USA;

² Chevron ETC, 3901 Briarpark, Houston, TX 77042, USA.

5 **ABSTRACT**

6 The focus of the study presented here is the illite component of the clay mineral
7 components found within gas shale, specifically the creation of robust, atomistic
8 models of illite particles bearing characteristics of the $2M_1$ polytype. The template
9 for the illite models is derived from crystallographic data, which is used together
10 with the general formula, $K_{1.67}(Al_{3.29}Fe_{0.38}Mg_{0.32})[(Si_{6.68}Al_{1.32})O_{20}(OH)_4]$ to create
11 different particles of illite, each containing potassium plus either ammonium (NH_4^+)

*Email: geatches@stanford.edu

12 or hydronium (H_3O^+) ions, or water molecules in two different proportions. These
13 atomistic models are optimized from first principles using plane waves and pseudo
14 potentials within the formalism of density functional theory (DFT). The resulting
15 lattice lengths, lattice dynamics in the form of infrared frequencies, positions of
16 interlayer molecules and simulated X-ray powder diffraction (XRPD) patterns are
17 analyzed with reference to the available experimental data. We conclude that all four
18 illite models display properties that fall within the range of available experimental
19 data, and that therefore these are state-of-the-art atomistic illites, ready for use in
20 further studies. Furthermore, the analytical data from these models will enable the
21 characterization of physical samples of illite with varying interlayer constituents.

22 **Keywords** DFT, shale, ammonium ions, hydronium ions, $2M_1$ -illite, interlayer-
23 deficient mica

24 INTRODUCTION

25 Investigating the atomistic structure of illite particles might appear to be far-
26 removed from energy production and long-term CO_2 storage, but essentially, it is
27 much closer to both these issues than is immediately apparent. The feasibility of
28 using CO_2 for enhanced methane recovery from gas shale beds, and then using these
29 exhausted shale beds as long-term storage for sequestered CO_2 , (Wilcox 2012) de-
30 pends on many factors at multiple length-scales, one of which is how the components
31 of gas shale interact with CO_2 and CH_4 . Such interactions could be chemical in na-
32 ture, hence their investigation requires robust, atomistic models that would allow
33 for the nature of the interactions to be identified. The atomistic structure of clay

34 minerals determines the surfaces experienced by contact molecules, which in turn gov-
35 erns the interactions between them. Illite has a total surface area of approximately
36 $85\text{m}^2/\text{g}$, (Macht et al. 2011) and within gas shales, illite comprises up to 20% of the
37 clay minerals, which themselves constitute up to 50% of the overall shale contents,
38 (Środoń 2009) and hence theoretically there is enormous potential for interactions
39 between the clay mineral surfaces and their environments. However, before the in-
40 vestigation of surface/molecule interactions comes the creation of the illite models
41 themselves, and although there are in-depth DFT studies of the cation distribution
42 in dioctahedral phyllosilicates (Escamilla-Roa et al. 2013), (Hernández-Laguna et
43 al. 2006) for example, a category that includes the illite series, to-date we have not
44 found any DFT studies specifically concerning particles created from $2M_1$ illite with
45 various interlayer molecules.

46 Illite is classed as a ‘...dioctahedral interlayer-deficient mica..’ (Fleet 2003) char-
47 acterized by non-swelling behavior and an interlayer dominated by potassium ions.
48 Each layer consists of tetrahedral-octahedral-tetrahedral (TOT) sheets composed of
49 (mainly) $\text{T}_2^{4+}\text{O}_5$ and $\text{R}_2^{3+}\text{O}_5$, respectively where T^{4+} is usually Si^{4+} and R^{3+} is pre-
50 dominantly Al^{3+} . Substitutions of the T-cations by Al^{3+} and O-cations by $\text{Fe}^{2+}/\text{Fe}^{3+}$
51 and Mg^{2+} produces a negatively charged TOT layer. The negative charge is then bal-
52 anced by positive interlayer cations, which, in the case of illite are mainly K^+ , (well
53 documented) NH_4^+ (Lindgreen et al. 1991a; 1991b) and H_3O^+ (Nieto et al. 2010).
54 A general formula for potassium-interlayer, $2M_1$ illite is $\text{K}_{1.67}(\text{Al}_{3.29}\text{Fe}_{0.38}\text{Mg}_{0.32})[(\text{Si}_{6.68}$
55 $\text{Al}_{1.32})\text{O}_{20}(\text{OH})_4]$ (Zöller and Brockamp 1997). The octahedral layer cations fill two
56 of three possible octahedral sites, hence the description ‘dioctahedral’. Within the

57 mica group of minerals, there are six polytypes formed by the various stacking possi-
58 bilities of the TOT layers with each other, that is, the TOT sheets are all translated
59 or rotated to the same degree, but relative to another TOT layer could be variously
60 translated or rotated (Nespolo 2001). Fortunately, there is experimental data con-
61 cerning the polytypes of illite reporting that it occurs as two main polytypes, $1M$
62 and $2M_1$ (Drits and Zviagina 2009). Zöller and Brockamp, (1997) suggest that these
63 polytypes are different minerals with different compositions but we will refer to them
64 as ‘polytypes’ (of illite) in this study.

65 In the Barnett shale, illite is the end product of diagenesis (Liming et al. 2012)
66 and forms on the transformation or ‘illitization’ of smectites (Lausen et al. 1999;
67 Lindgreen 1991; Eslinger and Pevear 1988). A consideration of the formation of
68 shale reveals the existence of close contacts between organic matter and clay par-
69 ticles (Lash and Blood 2004), at least during its formation, if not also at its matu-
70 ration (Williams and Ferrell 1991; Williams et al. 1992). Organic matter has been
71 proposed as the source of ammonium (Stevenson 1960; Drits et al. 1997) as fixed
72 interlayer molecules in illites, where the NH_4^+ is evidence of hydrocarbon generation.
73 Higashi (1982) described NH_4^+ dominant mica as ‘tobelite’, and Wilson et al.(1992)
74 characterized tobelitic veins in black shale (Utah). A 1966 study by Hower and
75 Mowatt (1966) and references within, state that most illite-bearing materials con-
76 tain the $2M_1$ polytype. A more recent study by Pevear (1999) identifies the illite
77 polytypes within shale as $1M$ (including the disordered $1M$ group known as $1M_d$)
78 and $2M_1$, with the former being the type found within diagenetic shale and the latter
79 in detrital mica. Nieto et al. (2010) in their investigation of the role of H_3O^+ in

80 the crystal structure of illite, found that the main polytypes were $2M_1$ and $1M$. The
81 purpose of their study was to determine the crystal structure of illite depending on
82 whether the interlayer species were water molecules or hydronium ions, as, according
83 to them, ‘In spite of decades of research on the subject, the crystal structure of illite
84 is still poorly understood’. The presence of H_3O^+ was originally proposed by Brown
85 and Norrish (1952) who postulated that oxonium (i.e., hydronium) ions could substi-
86 tute for K^+ ions within the interlayers of illite. Their analysis suggested that water
87 molecules are present between the non-expandable illite layers, both substituting K^+
88 ions and forming ‘..lenses of water’.

89 For the investigation we present here, we have chosen the characteristics of illite
90 pertinent to that found within shale beds, because (in subsequent studies) we intend
91 to address the wider research questions involving enhanced methane recovery from
92 gas shales, and long-term storage of captured CO_2 in exhausted shale beds. It seems
93 highly probable that all of the interlayer environments previously mentioned could be
94 found within illite, and that if theoretical analyses such as lattice parameters, infrared
95 (IR) frequencies and X-ray powder diffraction (XRPD) patterns were available, they
96 could help identify and distinguish between the various types in physical samples.
97 To these ends the study presented here forms the second part of two, concurrent,
98 first-principle investigations of polytypes of illite, and a third may follow focussing
99 on the disordered, $1M_d$ polytype. The first concentrated on various forms of $1M$
100 illite that might be found within gas shale, namely, single layers of illite both trans
101 and cis vacant and double layers or ‘sandwiches’ of illite representing I-I fragments
102 in all-trans, all-cis and mixed trans/cis combinations. The relative optimal positions

103 of the tetrahedral Al^{3+} for Si^{4+} and octahedral Fe^{3+} and Mg^{2+} for Al^{3+} substitutions
104 were calculated, as well as general interatomic measurements including vacancy site
105 dimensions, K-O distances, location of K ion and basal surface corrugations plus
106 XRPD patterns. The study presented here focuses on four different types of illite
107 particles with $2M_1$ characteristics, each with the same structure, but varying in their
108 interlayer molecules, containing either ammonium (NH_4^+) or hydronium (H_3O^+) as
109 well as potassium (K^+) ions, or two different proportions of water as well as K^+ ions.
110 The following Sections describe their construction, computational methodology and
111 analysis of the lattice parameters, together with an examination of the positions of
112 the interlayer molecules, IR frequencies and simulated XRPD patterns.

113

114 MODELS

115 The crystal structure of the $2M_1$ illite identified by Gualtieri (2000) was used as
116 the template structure in our study, from which we built four illite particle models
117 containing different interlayer molecules. The particle model was made by increasing
118 Gualtieri's c -length by half, which enabled the creation of two interlayer spaces, with
119 each layer rotated 120° with respect to one another as shown in Figure 1. If the
120 periodic crystal structure of Gualtieri (containing two clay layers) is representative
121 of a single, $2M_1$, infinitely sized crystal of illite, then the inclusion of a third clay
122 layer plus vacuum space in our models effectively simulates a truncated (1.5 x unit
123 cell) 'particle' of illite bearing characteristics of the parent, $2M_1$ polytype. Within
124 the context of gas shale, where mixed stacks of illite (I and I-I) and smectite (I-S) are

125 found, modeling a 1.5-sized particle of illite is reasonable. From this point onwards
126 the label ‘pfb- $2M_1$ ’ means ‘particles from bulk illite bearing characteristics of $2M_1$ ’
127 to distinguish it from purely crystalline $2M_1$ illite.

128 The inclusion of a third layer also means that the relaxed models are ready for use
129 in further studies concerning interfaces, requiring only the addition of extra vacuum
130 space above the top (or below the bottom) layer. The artificial electrostatics created
131 between the topmost and bottommost basal sheets on addition of vacuum space, are
132 minimal due to the similar electron densities of the basal sheets. We found that
133 increasing the vacuum space from approximately 4 to 20 Å in the models with a
134 bottommost siloxane sheet and topmost siloxane with an Al substitution, i.e., NH_4^+ ,
135 H_3O^+ and 2I- H_2O , produces a maximum energy increase of 8 meV/atom, which
136 suggests a weak dipole interaction, and in the model with an upper and lower silox-
137 ane sheet (I- H_2O) the energy decreases by 0.1 meV/atom, suggesting a negligible
138 Coulomb interaction. The strength of a dipole interaction between periodic images
139 separated by vacuum space, (an artifact of the modeling method) initially increases
140 on increasing the vacuum space, therefore, maintaining a small vacuum space reduces
141 its effect on the results, although the aforementioned energy differences suggest its
142 effect would be minimal. Although the Coulomb interaction is decreased on increas-
143 ing the vacuum space, the difference in energy is negligible and not worth the extra
144 computational expense. Therefore, for all models we chose the smaller vacuum space
145 (of 4 Å) as illustrated in Figure 1.

146 Gualtieri’s original crystal structure did not contain any Fe, Mg atoms and the sub-
147 stitutions of Al^{3+} for Si^{4+} in the tetrahedral sheets were numerous. To create a model

148 that more closely fits the general formula for $2M_1$ illite, two octahedral substitutions
149 were made, Fe and Mg for Al and the Al/Si substitutions were decreased in number.
150 The optimum positions of these substitutions in identical clay layers, are the focus of
151 our concurrent study on $1M$ polytypes, (Geatches and Wilcox, 2013) the results of
152 which have been used in this study to fix the two octahedral and various tetrahedral
153 substitutions. The pfb- $2M_1$ models represent fragments of samples of illite such that
154 each fragment is a neutral unit in its entirety, and the general formula of the models
155 is based on $K_{1.67}(Al_{3.29}Fe_{0.38}Mg_{0.32})[(Si_{6.68}Al_{1.32})O_{20}(OH)_4]$.
156 Four main varieties of pfb- $2M_1$ were made, one labelled ' NH_4^+ ' with two ammonium
157 ions substituted for two K^+ ions in the same interlayer, as reported in Nieto (2002);
158 one labelled ' H_3O^+ ' with a single hydronium ion substituted for a K^+ ion in the
159 same interlayer; one labelled ' $2I-H_2O$ ' with two water molecules inserted, one in each
160 interlayer space as many illite formulae contain about 0.42 molecules of water per
161 unit of $O_{10}(OH)_2$; and the fourth variety labelled ' $I-H_2O$ ' contains only one water
162 molecule substituted for a K^+ ion. These latter two models are based on Hower's
163 and Mowatt's (1966) postulate that interlayer, molecular water exists in illite as well
164 as in the form of water lenses. To compensate for the reduced interlayer charge on
165 the substitution of a K^+ ion by a molecule of water, there is no Al for Si substitution
166 in the tetrahedral sheet of the layer containing the octahedral Mg - see Figure 1. Al-
167 though this produced a lower proportion of K^+ ions in this model, it was necessary
168 in order to balance the layer and interlayer charges. The composition of the three
169 layers of the NH_4^+ , H_3O^+ and $2I-H_2O$ models are identical, and the $I-H_2O$ model
170 differs only in its topmost layer, where there is no tetrahedral substitution of Al^{3+}

171 for Si^{4+} . The NH_4^+ illite investigated in our study is distinguished from tobelite by
172 having an equivalent number of NH_4^+ and K^+ ions, (tobelite has more NH_4^+) which
173 falls within the range 30 to 59% found by Nieto (2002) for shales (associated with
174 coal seams). The positioning of both NH_4^+ ions in the same interlayer rather than
175 distributed between interlayers, is based on the previous studies by Drits et al. (1997)
176 and Nieto (2002).

177 Table 1 summarizes the relative proportions of the different atoms in all of the mod-
178 els made in this study and compares them with the general formulae of illite, $2M_1$
179 polytypes. All data in this study are provided without standard deviation values.
180 Generally speaking, quantum chemistry/physics codes do not produce them because
181 in theory, the ground state for a particular structure should always be the same.
182 Analogous computational standard deviation values are contained within the con-
183 vergence criteria, which effectively describe the precision of the calculations, thus
184 enabling reproducibility. These criteria are described in detail in the following sec-
185 tion.

186

187 COMPUTATIONAL DETAILS

188 All calculations were performed using the DFT code, CASTEP (Clark et al. 2005),
189 using a plane wave basis set and pseudo potentials within the DFT formalism
190 (Kohn and Sham 1965a; 1965b; Payne et al. 1992). The valence electron wave func-
191 tions were expanded in a plane wave basis set represented by a kinetic energy cut-off
192 of 500 eV, which gave an energy difference in total energies of less than 0.5 meV per

193 atom for higher cut-offs. The electron-ion interactions were described by PBE ul-
194 trasoft pseudopotentials (Vanderbilt 1990) and for Fe, this included core corrections
195 (Louie et al. 1982). These were consistent with the description of the exchange-
196 correlation effects by the generalized gradient approximation (GGA) density func-
197 tional, specifically Perdew, Burke and Ernzerhof (PBE) (Perdew et al. 1996), which
198 describes molecular bonding to a greater accuracy than does the local density approx-
199 imation (LDA). The (geometry) optimizer was Broyden-Fletcher-Goldfarb-Shanno
200 (BFGS) (Pfrommer et al. 1997) and the electronic method was ensemble density
201 functional theory (EDFT) (Mazari et al. 1997). The Brillouin zone integrations were
202 performed on a Monkhorst Pack, (Monkhorst and Pack 1976) $2 \times 2 \times 1$ grid as this
203 gave convergence to within the error bound just described. Further convergence de-
204 tails per BFGS iteration are as follows:- energy change per ion: $dE/ion \ 2 \times 10^{-5}$ eV;
205 electronic energy tolerance: 10^{-8} eV; maximum force: $|F|_{max} \ 0.05$ eV/Å; change in
206 displacement: $|dR| \ 0.002$ Å. All calculations were spin polarized and all models were
207 created and visualized using Materials Studio (Accelrys 2012). All lattice parame-
208 ters and atomic coordinates were allowed to relax to equilibrium (unless otherwise
209 stated) within the convergence criteria previously stated.

210 The vibrational frequency calculations were carried out on the fully relaxed struc-
211 tures of the ammonium, hydronium and the I-H₂O model, using the method of finite
212 displacement (Frank et al. 1995). This method could not be applied to the 2I-H₂O
213 model, because although it converged to a force tolerance of the order of 10^{-2} eV/Å
214 within the same time interval as the other computations, this value was not suffi-
215 ciently low to obtain reasonable phonon frequencies.

216 Materials containing strongly correlated electrons of the transition metals can prove
217 problematic when addressed with density functional theory and there is no consen-
218 sus on their optimum treatment. Some systems produce results closer to experiment
219 when the d- and f-electrons are not explicitly treated, whereas others produce spu-
220 rious results if they are not. The Hubbard (or ‘ U ’) value is an energy term that
221 is added to the system such that it creates repulsion between, in this case, the
222 d-electrons of Fe, thus reducing their strong correlations and consequently the artifi-
223 cially high electron density on Fe. Theoretical details can be found in Anisimov et al.
224 (1997) and Mosey and Carter (2007), and an example of its implementation in Zhou
225 (2004). In our concurrent study of 1M illites we determined a Hubbard value for the
226 Fe in identical, component clay layers. As there is no experimental band-gap data
227 available to use as a guide to determining the correct Hubbard value, we used other
228 means such as examining the relative shift of the valence band of the p-electrons of
229 the tetrahedral Al; the energy-width separation of d-orbitals of Fe; the change in
230 the band gap of Fe-illite and the location of Fermi level orbitals, all with different
231 U -values. The analysis resulted in an optimum Hubbard parameter of 4.5eV, and
232 it is this value that is used throughout this study for all Fe ions. Further details of
233 this analysis can be found in the Supplementary Material of the concurrent study
234 at, <http://eurjmin.geoscienceworld.org/>.

235 Simulated, X-ray powder diffraction (XRPD) patterns were created using the Reflex
236 module of Materials Studio (Accelrys 2012). The simulated radiation sources were
237 $\text{Cu}\alpha_1$ and $\text{Cu}\alpha_2$; the diffractometer range was 2-theta from 5° to 70° ; the tempera-
238 ture factor was atomic and the line shift Bragg-Brentano. There was no asymmetry

239 correction applied nor any lattice strain. On the resulting simulated XRPD patterns,
240 the major peaks up to 30° have been assigned their corresponding ($h k l$) labels.

241

242 RESULTS AND DISCUSSION

243 General formula

244 Considering the small size of the illite models created in this study, there is gener-
245 ally good agreement between their formula ratios and those listed from experimental
246 data -see Table 1. Experimentally, the interlayer molecule (I-M) ratios vary from
247 0.56 to 0.84, compared to the simulated ratios of 0.33 to 0.67, and those for the K^+
248 ions vary experimentally from 0.84 to 1.40 compared to the models varying from
249 0.67 to 1.33. The upper limit for the K^+ ions is achieved in the 2I-H₂O models. For
250 the tetrahedral sheet the proportion of Si varies experimentally from 6.68 to 6.88,
251 and in the models from 7.00 to 7.33; the experimental range for Al is from 1.12 to
252 1.32 and the simulated, from 0.67 to 1.00. This suggests that there could be too
253 much Si and insufficient Al in the simulated models, although changing the ratio in
254 favor of increasing Al would require an increase in the number of charged interlayer
255 molecules. There is potential for the insertion of additional, non- K^+ ion interlayer
256 molecules, but all except the K^+ ion ratio of the NH_4^+ model already fall within the
257 experimental range cited. The octahedral sheet cations range experimentally from
258 0.38 to 0.50 for Fe; from 2.94 to 3.29 for Al, and from 0.32 to 0.56 for Mg; whereas
259 the simulated ratios are 0.33, 3.33 and 0.33, respectively. The closest agreement
260 for the ratios in the octahedral sheet between the models and experiment, is in the

261 NH_4^+ illite, but this same model diverges from the experimental ratios in its tetrahe-
262 dral sheet and interlayer species. Conversely, the 2I-H₂O model agrees closest with
263 the experimental data in the interlayer species, and diverges in its tetrahedral and
264 octahedral sheets. The overall conclusion from these simulated model ratios when
265 compared to the selection of experimental data, must be that, given their constrained
266 size, there is no evidence to suggest that they are not representative of physical, $2M_1$
267 illite particles.

268

269 **Lattice parameters**

270 The relaxed configurations of the pfb- $2M_1$ models are shown in Figure 1, and their
271 lattice parameters in Table 2, together with experimental results originating from a
272 different source other than that used to create the parent pfb- $2M_1$ illite. It is diffi-
273 cult to compare the parameters of the NH_4^+ model with experimental data because
274 the ammonium molecule is difficult to detect and could be missed if not specifically
275 looked for. This means that NH_4^+ could exist in any generic specimen of $2M_1$ illite,
276 without recognition. The experimental c -length provided in Table 2 is based on re-
277 fined XRD data, assuming that each interlayer of the specimen contains either NH_4^+
278 or K^+ , and these have corresponding lengths of 10.33 Å and 9.98 Å, respectively. If
279 we assume that the remaining parameters of the experimental sample (in Table 2)
280 are represented by those reported by Nieto et al. (2010), and we compare these with
281 our NH_4^+ model, then we can say that the a - and b -lengths agree with experiment
282 to within the expected 1%, (allowing for the GGA exchange-correlation functional)

283 as does the γ -angle. The c -length varies from experiment by 1.8%, the α -angle by
284 1.3%, and the β -angle by 2.2%.

285 For the H_3O^+ model, the deviation from experimental data for all lattice parame-
286 ters is less than 1%. For the 2I- H_2O model — containing two interlayer molecules
287 of water — the lattice parameters were fixed at Gualtieri's experimentally obtained
288 values given in Figure 1. This was done after a full relaxation was attempted, which
289 resulted in an α -angle of 82° , and a β -angle of 99° , both suggesting an unrealistically
290 large effect on the illite structure produced by two water molecules. Further analysis
291 showed that both water molecules were oriented with their hydrogen atoms bound
292 to both upper and lower clay layers, which enabled the unit cell to shear in both the
293 x - and y - directions and to increase in the z - direction to reduce the internal stresses.
294 Within a fixed lattice, the internal stresses were reduced by the water molecules re-
295 orienting themselves to lie more horizontally within the interlayer space, with one
296 water molecule attached by hydrogen bonds to the upper clay layer only. The the-
297 oretical results for 2I- H_2O agree with the experimental results (of researchers other
298 than Gualtieri) to within 1% for all lattice parameters except the b -length, which
299 differs by 1.8% and the c -length by 4.3%. This latter discrepancy with experiment
300 is of little concern given that the lattice parameters were fixed for this model. For
301 the I- H_2O model — containing a single water molecule substituting a K^+ ion — the
302 agreement is within 1% for all lattice parameters, and this model was allowed to fully
303 relax.

304 The agreement between our models and experimental data is close, deviating little
305 from the minimum 1% expected by using the GGA exchange-correlation functional,

306 which suggests the lack of inclusion of van der Waals forces has had no significant
307 impact on the final structures.

308 Comparing the depths of the layers of the NH_4^+ models, it can be seen that the the-
309 oretical values mirror the experimental data, in that the layers containing only NH_4^+
310 ions are larger than those containing K^+ ions. The simulated layer depth for the for-
311 mer is 2% larger than experiment and that for the latter, 1.5% larger. The average
312 of the simulated depths for these two layers, is 10.33 \AA , which exactly matches the
313 cited depth for NH_4^+ .

314 Experimental data for H_3O^+ , I- H_2O and 2I- H_2O is lacking so it is impossible to com-
315 ment on their layer depth deviations from physical illite samples. However, we can
316 observe from the model results that the difference between the layer depths is less
317 for the H_3O^+ illite, which is not surprising considering it had only one H_3O^+ ion.
318 The layer depth containing a single H_3O^+ ion is about the same as that containing
319 a single water molecule in I- H_2O , an unsurprising observation given the similarity of
320 the two interlayer molecules.

321 The 2I- H_2O model has a single water molecule in each layer and the layer depths
322 are the same. For model I- H_2O , the layer containing the water molecule is larger
323 than the layer containing K^+ ions only. The layer depth of NH_4^+ is 3% larger than
324 that containing a K^+ and H_3O^+ ion, and 3.5% larger than that containing a water
325 molecule and a single K^+ ion, and 0.9% larger than that containing two K^+ ions plus
326 a water molecule. The smaller difference between NH_4^+ illite and 2I- H_2O suggests
327 that, based on layer-depths alone, these two types of illite might be indistinguish-
328 able, whereas the percentage differences between NH_4^+ , H_3O^+ and I- H_2O illite are

329 generally larger than the percentage deviation from experiment, which suggests that
330 the simulated results are representing a trend that could be detectable experimen-
331 tally. If so, then such an experimentally-obtained trend could, when compared to
332 our simulated trend, help identify the interlayer molecules within $2M_1$ illite.

333

334 **Interlayer molecule location**

335 Figure 2 shows the relative positions of the interlayer molecules with respect to the
336 immediate lower and upper clay layers and the siloxane and Al/siloxane cavities,
337 as well as side views of the interlayer space to illustrate the corrugations. Table 3
338 records the minimum and maximum internal angles of the two distinct siloxane and
339 Al/siloxane rings or cavities for each of the interlayer spaces (top ‘t’ and bottom
340 ‘b’) projected onto the lower (‘l’) and upper (‘u’) clay layers. Throughout this sec-
341 tion the reader is referred to the aforementioned Figure 2 and Table 3.

342 The bottom interlayer environment of NH_4^+ and H_3O^+ as experienced by the two
343 K^+ ions is almost identical, which is confirmed by the angles listed under ‘b-l’ and
344 ‘b-u’ in Table 3, varying between models by an average of less than 1% and falling
345 in the range from 108° to 131° . The agreement between these two types of illite is
346 expected due to the identical bottom interlayer molecules, which suggests that the
347 top interlayer environment experienced by the K^+ ions of the I- H_2O illite, might
348 share the same appearance and angle measurements. This is not the case, however,
349 as the t-l rings show a greater deviation from regular hexagons, with angles varying
350 from 91° to 147° and the t-u rings are closer to hexagonal with internal angles of

351 116° to 123°.

352 The bottom interlayer environment of I-H₂O occupied by a water molecule and K⁺
353 ion, displays rings that deviate from regular hexagonal, with internal angles between
354 99° to 138° in the lower clay layer, and 108° to 132° in the b-u sheet. For the 2I-H₂O
355 illite, the deviation is less, with internal angles from 112° to 127° in the b-l sheet and
356 from 114° to 126° in the b-u sheet. In I-H₂O where a K⁺ ion has been substituted
357 by a water molecule, it is positioned centrally within the cavity, oriented so that
358 both hydrogen atoms are hydrogen-bonded to two alternate oxygens around the Al
359 in the b-l sheet. In the 2I-H₂O illite, the water is additional to the K⁺ ions, which
360 has resulted in a translation of the middle clay layer with respect to the lower clay
361 layer. One of the K⁺ ions in the bottom interlayer lies centrally in the lower cavity,
362 while the second K⁺ ion is displaced off-center with one hydrogen atom of the water
363 molecule hydrogen-bonded to an oxygen close to the Al substitution in the b-l sheet,
364 and the second hydrogen forms two hydrogen bonds with adjacent oxygen atoms
365 in the b-u sheet. The water molecule is thus hydrogen-bonded to both clay layers.
366 Relative to the b-u sheet, the water molecule lies central in the same cavity with
367 a displaced K⁺ ion, and the second K⁺ ion lies in an identical position in its own
368 cavity.

369 An examination of the interlayer environment containing the two NH₄⁺ ions, reveals
370 the internal angles of the hexagonal cavities in the t-l sheet range from 85° to 152°,
371 and those in the t-u sheet from 116° to 124°, with the NH₄⁺ ions lying central to
372 both rings. All four hydrogen atoms of each NH₄⁺ ion are hydrogen-bonded to the
373 clay layers, with three hydrogen atoms bonded to oxygens in the t-u sheet and one

374 to an oxygen atom close to the Al substitution in the t-l sheet. The hydrogen bonds
375 formed are between 1.84 Å and 2.50 Å in length.

376 In the H₃O⁺ illites, the internal angles of the hexagonal cavities in the t-l sheet lie
377 between 86° to 151°, and in the t-u sheet, between 107° to 133°. With respect to
378 the t-l sheet, the H₃O⁺ ions and K⁺ ions are not central, but they are positioned
379 identically within the cavity. With respect to the t-u sheet, they are both central in
380 the cavity, although the cavity itself is skewed. The H₃O⁺ ion is hydrogen-bonded
381 to both clay layers, forming two H-bonds with opposite oxygens of the upper sheet
382 and one H-bond with an oxygen close to the Al substitution of the lower sheet. All
383 three hydrogen bonds are about the same length, 1.66 Å, 1.64 Å and 1.70 Å.

384 In the I-H₂O illite, the internal angles of the cavities in the t-l sheet lie between
385 91° to 147°, and those in the t-u sheet, between 116° and 123°, and the K⁺ ions lie
386 almost centrally in the former case and centrally in the latter. The water molecule
387 has formed two hydrogen bonds of 2.03 Å and 1.95 Å between its hydrogen atoms
388 and the oxygen atoms of the lower clay layer.

389 In the 2I-H₂O illite, the internal angles of the cavities in the t-l sheet lie between 88°
390 to 151°, and those in the t-u sheet, lie between 113° to 127°. Both water molecules
391 have formed hydrogen bonds between their hydrogen atoms and the oxygen atoms
392 of adjacent clay layers ranging in length from 1.65 Å to 2.42 Å. The positions of
393 the interlayer species varies, with K⁺ ions lying central in one cavity of the t-l sheet,
394 and where a K⁺ ion occupies the same cavity as a water molecule, the K⁺ ion is
395 displaced to one corner and the water molecule lies above an SiO₃ ring such that it
396 is oriented towards the edge of an upper SiO₃ ring, to which it is hydrogen-bonded.

397 With respect to the t-u sheet, one K^+ ion lies centrally in the cavity, whereas the
398 occupation of the second by a K^+ ion and water molecule causes a displacement of
399 both from the central position. In the upper interlayer space the distances between
400 the oxygen atom of the water molecule and the K^+ ions is 4.22 \AA and 3.70 \AA , and
401 in the lower layer the comparable distances are 3.87 \AA and 2.46 \AA . This is much
402 shorter than the 5.66 \AA , K^+ - O distance in I- H_2O , which is to be expected given
403 that there are two more molecules in 2I- H_2O than I- H_2O .

404 Considering the b-s and t-s views, there is little difference in the degree of corruga-
405 tion of the interlayer edges; the interlayer species in the bottom interlayer space lies
406 closer to the lower clay layer, apart from the water molecules of 2I- H_2O , which lie
407 closer to the middle clay layer. The positions of the interlayer species is more varied
408 in the top interlayer space, where the NH_4^+ , H_3O^+ and associated K^+ ions lie closer
409 to the top clay layer, and the K^+ ions of I- H_2O lie centrally in the interlayer space,
410 and the positions are mixed in the I- H_2O illite.

411 The previous analysis leads to the assertion that the shape of the tetrahedral cavities
412 including an Al substitution, is governed principally by the octahedral sheet substi-
413 tutions within the same clay layer, and that the interlayer species has a lesser effect
414 on cavity geometry. We assert this because the consistency of the clay layers between
415 models matches the consistency in the ranges of the internal angles of the hexago-
416 nal cavities, within the b-l, b-u, t-l and t-u groups for NH_4^+ , H_3O^+ and I- H_2O , (the
417 2I- H_2O model was not allowed to relax so has not been included) whereas the type
418 of interlayer molecules within each interlayer space differs. Also, the t-l groups for
419 all three models have the largest range of internal, hexagonal cavity angles and each

420 of the corresponding clay layers (the middle layer) has an all-Al octahedral sheet,
421 whereas the interlayer molecules differ across the models. Our assertion is analo-
422 gous to the findings of Drits et al. (2010) on 1M mica, where they show that the
423 relative Al/Mg/Fe octahedral occupation determines the basal surface corrugation
424 of the tetrahedral sheet, i.e., both their analysis and ours show that the octahedral
425 sheet environment affects the shape of that of the tetrahedral sheet.

426 When considering the all-Si cavities, (the 'Si' column under '5Si-Al/Si' in Table 3)
427 there seems to be a secondary effect on the internal angles of these hexagonal cav-
428 ities, directly related to their relative occupation, i.e., whether they are identically
429 occupied by the same species. The evidence for this comes from the t-u range in
430 H_3O^+ and the b-u range in I- H_2O , which are larger than all other Si-only cavities,
431 and these differ from other occupations by having two different species in the same
432 interlayer space. Although 2I- H_2O also has two different species, the unit cell was
433 not allowed to relax, even so, its all-Si cavities have a slightly larger range than the
434 same-species, (t-u) all-Si cavities of NH_4^+ and I- H_2O and a smaller range than those
435 encasing two K^+ ions (b-u) of NH_4^+ and H_3O^+ . The order in decreasing range of the
436 internal angles of the fully relaxed models is: two different ions $>$ two K^+ ions \geq
437 two NH_4^+ ions. The skewing of the all-Si cavity in the t-u sheet of H_3O^+ appears
438 to be due to the asymmetrical hydrogen bonding, which might have been evident in
439 the 2I- H_2O model also, had the lattice been allowed to relax. Given that the relative
440 strength of a hydrogen bond is inversely proportional to its length, then we can say
441 that the strongest hydrogen bonds were formed by the H_3O^+ ion, followed by the
442 water molecules in 2I- H_2O , and I- H_2O followed by the NH_4^+ ion. This skewing effect

443 might play a role in the process of metamorphism within clay mineral layers, where
444 the presence of interlayer molecules creates strain on the hexagonal cavities, which,
445 under temperature and pressure leads to metamorphic change.

446 In summary, the deviation of the cavities from regular hexagons with internal angles
447 of 120° , is determined for the all-Si cavities by the species occupying neighboring
448 hexagons, i.e., where these species are the same, the all-Si cavities will be more reg-
449 ular than where these neighboring species are different. For the Al/Si cavities, their
450 deviation from regular hexagons is determined by the octahedral sheet substitution,
451 e.g., an Fe-for-Al³⁺ substitution in an otherwise all-Al octahedral sheet has a larger
452 effect on the internal angle range than no substitution. If the shape of these cavities
453 were experimentally accessible, then these theoretical results would enable charac-
454 terization of the type of illite in a physical sample.

455

456 **Vibrational Frequencies**

457 The simulated infrared frequencies of the interlayer molecules of the three pfb-2M₁ il-
458 lites, NH₄⁺, H₃O⁺ and I-H₂O are shown in Table 4, together with descriptions of their
459 motions. The frequencies displayed are those of the interlayer molecules only. There
460 are more frequencies where the interlayer molecules are vibrating in conjunction with
461 the clay mineral, but this type of vibration would be less viable in the physical sample
462 due to the constraints of the bulk of the material. All vibrational frequency calcula-
463 tions produced several imaginary frequencies, which could be interpreted as indicative
464 of mechanical instability, and also an artifact of the spectroscopic method applied to

465 these artificially homogeneous materials. Linear response theory in the form of den-
466 sity functional perturbation theory (DFPT) (Gonze 1997; Refson et al. 2006) would
467 be the preferred method, but unfortunately the content of the models excluded it
468 from this type of calculation. Inaccuracies in calculated frequencies originate from
469 poorly converged relaxations and are most likely to affect lower wave numbers. The
470 relaxations in this study were well-converged, and, given that the measured IR fre-
471 quencies for these illites have wave numbers above 1000 cm^{-1} , we can confidently
472 present the frequencies as being worthy of comparison with experimental data.

473 Considering NH_4^+ illite, the frequencies between 1392 cm^{-1} and 1666 cm^{-1} are all
474 either scissoring, wagging or rocking modes or a combination of any two or all three,
475 whereas the frequencies from 3172 cm^{-1} to 3552 cm^{-1} are all stretching, either sym-
476 metric or antisymmetric or combinations of the two. The work of Juster et al.
477 (1987) concerning tobelites, and NH_4^+ cations being their principle identification fea-
478 ture, proposed IR absorption bands at 1430 cm^{-1} and $3000\text{-}3400\text{ cm}^{-1}$, which is in
479 agreement with the results presented here. Bobos (2012) in agreement with Higashi
480 (1982), found four N-H stretching and bending frequencies in NH_4 -illite at 1430,
481 2834, 3060 and 3326 cm^{-1} , with the characteristic bending and stretching modes
482 at 1430 cm^{-1} and 3330 cm^{-1} respectively, which closely match the simulated wag-
483 ging/bending and stretching at 1427 cm^{-1} and 3338 cm^{-1} respectively.

484 The simulated IR frequencies for the H_3O^+ ion within H_3O^+ illite shown in Table
485 4, record that the vibrations at 1576 cm^{-1} and 1668 cm^{-1} are scissoring motions,
486 2747 cm^{-1} is an anti-symmetric stretch; 2854 cm^{-1} is a symmetric stretch and 3110
487 cm^{-1} is stretching of a single OH group. Yeh et al. (1989) report calculated and

488 theoretical IR frequencies of anti-symmetric and symmetric stretches at 2660 cm^{-1}
489 and 3000 cm^{-1} , respectively, for a H_3O^+ ion within a hydrated hydronium cluster.
490 These values are not particularly close to our simulated anti-symmetric and symmet-
491 ric stretches at 2747 cm^{-1} and 2854 cm^{-1} , respectively, but Yeh et al.'s symmetric
492 stretch is close to that found at 2600 cm^{-1} by Cicero et al. (2008) who carried
493 out a first-principles investigation of water confined in nanotubes. An IR investiga-
494 tion of the interaction between hydronium ions and OH groups in a montmorillonite
495 (Russell and Fraser 1970) showed absorption bands at 1700 cm^{-1} and 2900 cm^{-1} ,
496 which are very close to the simulated 1668 cm^{-1} and 2854 cm^{-1} seen in this study.
497 The absorption bands found in the former IR investigation, agreed with those found
498 much earlier by Falk and Giguère (1957) in the aqueous phase of H_3O^+ , and the
499 frequency at 2900 cm^{-1} has been subsequently explained as "...the stretching vibra-
500 tion of OH groups in hydrogen bridges..." and both frequencies (plus a third at 1200
501 cm^{-1} found by Falk and Giguère 1957) were explained to be due to solvation effects
502 (Grahn 1962). Begemann et al. (1983) and Begemann and Saykally (1985) detected
503 hydronium in the gas phase at IR frequencies of $3513/3519\text{ cm}^{-1}$ and $3530/3536$
504 cm^{-1} for the ν_3 mode or doubly-degenerate asymmetric stretch, and Haese and Oka
505 (1983) found IR frequencies for the ν_2 mode between 1000 to 1200 cm^{-1} , all of which
506 has been confirmed by Colvin et al. (1983) with theoretical calculations of ν_1 , ν_2 and
507 ν_3 frequencies at 3396 , 814 and 3500 cm^{-1} respectively.
508 The simulated IR frequencies of the water molecule in I- H_2O illite, given in Table 4,
509 show that 1640 cm^{-1} is a scissoring mode, 3651 cm^{-1} a symmetric stretch and 3708
510 cm^{-1} an anti-symmetric stretch, all of which relatively closely match the recorded

511 gas-phase vibrations of H₂O (Shimanouchi 1972) at 1595 cm⁻¹ ('bending'), 3657
512 cm⁻¹ ('symmetric stretch') and 3756 cm⁻¹ ('anti-symmetric stretch') respectively.
513 The simulated frequencies for NH₄⁺ illite match the experimental data very well,
514 which is to be expected as the experimental data is from illite-containing NH₄⁺, i.e.,
515 the sources of the IR frequencies are comparable. The relatively close match between
516 the simulated and experimental IR frequencies for the water molecule in I-H₂O illite
517 is also understandable as their sources are similar. The model contains an isolated
518 water molecule, simulating a gas-like phase. The similarity in IR frequencies between
519 simulation and experiment for these two types of pfb-2M₁ illite lends confidence to
520 the robustness of the method, that is, employing DFPT, had it been possible, might
521 have brought these frequencies closer, but the finite difference method employed has
522 produced reasonable results. Therefore, the dissimilarities found in the H₃O⁺ illite
523 between simulation and experiment is originating elsewhere than the methodology.
524 The H₃O⁺ model contains a gas-like phase of a hydronium ion, but its frequencies
525 match those originally believed to be of its aqueous phase, which were subsequently
526 described as not being specifically attributable to hydronium. Perhaps the simu-
527 lated frequencies are affected by the hydrogen-bonding between the hydronium and
528 the clay layers, which is more representative of an aqueous environment, with the hy-
529 dronium behaving like a solvated proton. Perhaps the similarity in frequencies found
530 by Cicero et al. and Yeh et al. when investigating water (in a confined space) and
531 hydronium (hydrated clusters) respectively, illustrates the inherent difficulties in-
532 volved in experimentally distinguishing between these species. Our results and their
533 dissimilarities to available experimental data, infer agreement with Cicero et al.'s

534 assertion that the confining environment affects the rearrangement of the electronic
535 structure of the confined medium. Therefore, without any further IR spectroscopic
536 data of a hydronium ion in a clay-layered environment, it is futile to speculate fur-
537 ther on the origins of the disagreement between the existing experimental data and
538 our simulated frequencies. Such a comparison must be postponed until experimental
539 data from a similar environment has been produced.

540 If we assume that the simulated frequencies are state-of-the-art for these types of
541 heterogeneous materials, then it can be stated that each type of illite has produced
542 unique IR frequencies, which could contribute to the identification of their physical
543 analogues in, for example, samples of gas-bearing shale.

544

545 **X-ray powder diffraction (XRPD) patterns**

546 The XRPD patterns shown in Figure 3 have been simulated from pure crystals and
547 consequently display very well defined reflection peaks. Drits et al. (1997) examined
548 the amount and distribution of ammonium in illite-smectite by using a peak-profile
549 fitting program that, based on the XRD spectra, (d_{002} , d_{005} and full-width at half-
550 height values -FWHH) produced various illite structures containing either mixed
551 K/NH₄ interlayers or separate K and NH₄ interlayers. They produced two sets of ra-
552 tios FWHH(005)/FWHH(002) for these two types of configurations of ammonium in
553 illite-smectite. This ratio (shown in Table 5) scaled for our simulated 3-layer models
554 for separate K and NH₄ interlayers is 1.45, which agrees very well with Drits et al.'s
555 ratio of 1.43 for their separate layered, 50% NH₄ content. Our XRPD data gives a

556 lower value for the average d_{00l} spacing compared to theirs, which could be due to
557 the larger numbers of layers they used, and also that we created a truncated crystal,
558 which would have a slightly smaller average of cations per layer compared to bulk
559 crystal.

560 Nieto (2002) reported that the NH_4 content of micas could be detected by the posi-
561 tion of the (005) peak or d_{005} according to Juster et al. (1987), Sucha et al.(1994)
562 and Higashi (2000), where the (005) reflection informs the mean basal spacing. The
563 equivalent reflection peak for our 3-layer models is (0015) and is recorded on all four
564 simulated XRPD spectra, which may be of some significance in spite of its low inten-
565 sity. Table 5 shows the mean basal d_{003} spacing for all of our four models, together
566 with their corresponding 2θ peaks, and although the differences between the values
567 in each set are small, both sets show the trends predicted by Drits et al. (1997) vis,
568 for interlayer species other than K^+ ions, as the basal spacing increases, the corre-
569 sponding 2θ angles shift to smaller values.

570 Liang and Hawthorne (1996) used XRPD spectra and Rietveld refinement techniques
571 of an illite sample consisting largely of $2M_1$, $1M$ and minor quartz to determine
572 whether hydronium ions do exist as K^+ ion substitutes. One of their refined spectra
573 shows observed peaks with relative intensities at 2θ of the order $35 < 19 < 27$ as does
574 the simulated spectra for H_3O^+ illite shown in Figure 3. This trend also appears in
575 the simulated NH_4^+ illite spectrum, but not in those of I- H_2O nor 2 I- H_2O , which
576 could be a feature that helps distinguish between hydronium- and water- bearing
577 illites, although the reality is that the former will almost certainly contain the latter.
578 Comparisons between spectra show there are a few peak intensity differences be-

579 tween NH_4^+ and H_3O^+ illites, which may be identifiable in the XRPD patterns of
580 physical samples. The two models containing water, I- H_2O and 2I- H_2O , show a
581 slightly increased intensity peak for the (002) reflection, compared to the two models
582 without water, and there are some differences in peak intensities between the two
583 water-bearing models. The XRPD pattern for all four models has essentially the
584 same structure, which is to be expected as their clay mineral layers are identical,
585 apart from the topmost tetrahedral sheet of I- H_2O , which is all-Si, i.e., the Al sub-
586 stitution is absent. In Figure 4 the XRD patterns calculated from the molecular
587 modeled structures are compared with an XRD pattern calculated for a trans va-
588 cant $2M_1$ mica having an iron free composition of $\text{K}_{0.8}(\text{Al}_{0.8}\text{Si}_{3.2})(\text{Al}_2)\text{O}_{10}(\text{OH})_2$, and
589 orthogonal unit cell parameters of $a = 5.21\text{\AA}$, $b = 9.03\text{\AA}$, $c = 9.99\text{\AA}$, $\gamma = 90^\circ$ and
590 an intralayer X translation of -0.4022 (Drits and Tchoubar, 1990). The hkl indices
591 shown are based on a monoclinic $C2/c$ unit cell.

592 Combining the aforementioned analyses of lattice parameters, positions of interlayer
593 molecules and shapes of hexagonal, siloxane-based cavities, together with the in-
594 frared frequencies and XRPD data, could in theory help distinguish between $2M_1$
595 illites with varying interlayer molecules. For example, a sample exhibiting an average
596 layer depth of between 10.30 to 10.50 \AA , together with an absence of IR frequencies
597 at 1430 cm^{-1} and $3000\text{-}3400\text{ cm}^{-1}$, and exhibiting an XRPD pattern without the 2θ
598 ratio of the order $35 < 19 < 27$ is probably, based on the analysis within this study, an
599 illite containing K^+ ions and water molecules within its interlayers, resembling the
600 2I- H_2O model. Distinguishing an ammonium illite is simpler due to the marked IR
601 frequencies of NH_4 , whereas a hydronium illite requires further evidence, which, if

602 the shape of the siloxane cavities could be identified, would reveal a unique, (within
603 the context of this study) skewed shape.

604

605 IMPLICATIONS

606 We have shown that the four varieties of illite particles with $2M_1$ characteristics and
607 interlayer ions of K^+ and either, NH_4^+ , H_3O^+ , or two different concentrations of H_2O ,
608 are all feasible models of illite particles within gas shale, based on the available ex-
609 perimental and crystallographic data, and each have characteristics that suggest they
610 would be distinguishable in a physical sample. The creation and validation of these
611 illite structures is the first step on the research path to understanding how these va-
612 rieties of illite might influence the extraction and enhanced recovery of CH_4 from gas
613 shale, and the long-term storage of sequestered CO_2 within the exhausted shale beds.
614 For example, in shale, CH_4 and CO_2 could occupy the external surfaces of one or all
615 of these varieties of illite. The models we have created could be used as templates
616 from which to build basal surfaces, (by the addition of extra vacuum space) as well
617 as the potentially more reactive edges (by cleaving along [010] and [110] planes). Ab
618 initio investigations involving such surfaces would determine whether CH_4 and CO_2
619 reacted with these surfaces chemically, or electrostatically, or perhaps both. This
620 information and these models could be used to feed into larger scale modeling such
621 as molecular dynamics, as well as to support and inform experimental results. Such a
622 synergistic relationship between modeling and experiment, will contribute to a thor-

623 ough and rigorous atomistic-scale investigation of illite and its interactions with CH₄
624 and CO₂, leading to a deeper understanding of the nature of these interactions within
625 a shale environment. In the hope of accelerating this process, we have provided the
626 four varieties of the relaxed illite structures as .cif files in the Supplementary Material.

627

628 **ACKNOWLEDGEMENTS**

629 We would like to acknowledge the high performance computing (HPC) facilities in
630 the Center for Computational Earth and Environmental Science (CEES) at Stanford
631 University, and the Texas Advanced Computing Center (TACC), at the University of
632 Texas at Austin for providing HPC resources that have contributed to the research
633 results reported within this paper: URL: <http://www.tacc.utexas.edu>. Our appre-
634 ciation is also extended to the developers of the CASTEP code for their support,
635 to Cindy Ross and Gordon Brown for their helpful input, to BP for their financial
636 support during the course of this research, and finally to the anonymous reviewers
637 whose helpful comments improved the presentation of our work.

638 **References**

639 Accelrys (2012) Materials Studio. Modeling and Simulation Software.

640 Anisimov, V.I., Aryasetiawan, F., and Lichtenstein, A.I. (1997) First-principles

- 641 calculations of the electronic structure and spectra of strongly correlated sys-
642 tems: The LDA+ U method. *Journal of Physics-Condensed Matter*, 9, 767-808.
- 643 Begemann, M.H. and Saykally, J.R. (1985) A study of the structure and dy-
644 namics of the hydronium ion by high resolution infrared laser spectroscopy. I.
645 The ν_3 band of $\text{H}_3^{16}\text{O}^+$. *Journal of Chemical Physics*, 82, 3570-3579.
- 646 Begemann, M.H., and Gudeman, C.S., Pfaff, J., and Saykally, J.R. (1983)
647 Detection of the hydronium ion (H_3O^+) by high-resolution infrared spectroscopy.
648 *Physical Review Letters*, 51, 554-557.
- 649 Bobos, I. (2012) Characterization of smectite to NH_4 -illite conversion series
650 in the fossil hydrothermal system of Harghita Băi, East Carpathian, Romania.
651 *American Mineralogist*, 97, 962-982.
- 652 Brown, G. and Norrish, K. (1952) Hydrous micas. *Mineralogical Magazine*, 29,
653 929-932.
- 654 Cicero, G., Grossman, J.C., Schwegler, E., Gygi, F., and Galli, G. (2008) Water
655 confined in nanotubes and between graphene sheets: A first principles study.
656 *American Chemical Society*, 130, 1871-1878.
- 657 Clark, S.J., Segall, M.D., Pickard, C.J., Hasnip, P.J., Probert, M.I.J., Refson,
658 K., and Payne, M.C. (2005) First principles methods using CASTEP. *Zeitschrift
659 für Kristallographie*. 220, 567-570.
- 660 Colvin, M.E., Raine, G.P., and Schaefer, H.F. III (1983) Infrared intensities of
661 H_3O^+ , H_2DO^+ , and D_3O^+ . *Chemical Physics*, 79, 1551-1552.

662 Drits, V. A., and Tchoubar, C. (1990) X-Ray Diffraction by Disordered Lamellar
663 Structures. Springer, Verlag Berline Heidelberg.

664 Drits, V.A. and Zviagina, B.B. (2009) Trans-Vacant and Cis-Vacant 2:1 Layer
665 Silicates: Structural Features, Identification, and Occurrence. Clays and Clay
666 Minerals, 57, 405-415.

667 Drits, V.A., Lindgreen, H., and Salyn, A.L. (1997) Determination of the con-
668 tent and distribution of fixed ammonium in illite-smectite by X-ray diffraction:
669 Application to North Sea illite-smectite. American Mineralogist, 82, 79-87.

670 Drits, V.A., Zviagina, B.B., McCarty, D.K., and Salyn, A.L. (2010) Factors
671 responsible for crystal-chemical variations in the solid solutions from illite alu-
672 minoceladonite and from glauconite to celadonite. American Mineralogist, 95,
673 348-361.

674 Escamilla-Roa, E., Hernández-Laguna, A. and Sainz-Diaz, C.I. (2013): Cation
675 arrangement in the octahedral and tetrahedral sheets of *cis*-vacant polymorph of
676 dioctahedral 2:1 phyllosilicates by quantum mechanical calculations. *American
677 Mineralogist*, **98**, 724-435.

678 Eslinger, E. and Pevear, D. (1988) Clay Minerals for Petroleum Geologists and
679 Engineers. Society of Economic Paleontologists and Mineralogists, USA.

680 Falk, M. and Giguère P.A. (1957) Infrared spectrum of the H₃O⁺ ion in aqueous
681 solutions. Canadian Journal of Chemistry, 35, 1195-1204.

- 682 Fleet, M.E. (2003) Rock-Forming Minerals -Micas. (Second Edition), The
683 Geological Society, Bath.
- 684 Frank, W., Elsässer, C., and Fähnle, M. (1995) Ab initio force-constant method
685 for phonon dispersions in alkali metals. *Physical Review Letters*, 74, 1791-1794.
- 686 Geatches, D., and Wilcox, J. (2013) Ab initio investigations of dioctahedral
687 interlayer-deficient mica: Modelling 1M polymorphs of illite found within gas
688 shale. *European Journal of Mineralogy* DOI: 10.1127/0935-1221/2013/0025-
689 2352.
- 690 Gonze, X. (1997) First-principles responses of solids to atomic displacements and
691 homogeneous electric fields: Implementation of a conjugate-gradient algorithm.
692 *Physical Review B*, 55, 10337-10354.
- 693 Grahn, R. (1962) *Arkiv Fysik*, 21.
- 694 Gualtieri, A.F. (2000) Accuracy of XRPD QPA using the combined Rietveld-
695 RIR method. *Journal of Applied Crystallography*, 33, 267-278.
- 696 Haese N.N. and Oka, T. (1983) Observation of the ν_2 ($1^- \leftarrow O^+$) inversion mode
697 band in H_3O^+ by high resolution infrared spectroscopy. *Journal of Chemical*
698 *Physics*, 80, 572-573.
- 699 Hernández-Laguna, H., Escamilla-Roa, E., Timón, V., Dove, M.T. and Sainz-
700 Diaz, C.I. (2006): DFT study of the cation arrangements in the octahedral and
701 tetrahedral sheets of dioctahedral 2:1 phyllosilicates. *Phys. Chem. Minerals*, **33**,
702 655-666.

- 703 Higashi, S. (1982) Tobelite, a new ammonium dioctahedral mica. Mineralogical
704 Review, 11, 138-146.
- 705 Higashi, S. (2000) Ammonium-bearing mica and mica/smectite of several pot-
706 tery stone and pyrophyllite deposits in Japan: their mineralogical properties and
707 utilization. Applied Clay Science, 16, 171-184.
- 708 Hower, J. and Mowatt, T.C. (1966) The mineralogy of illites and mixed-layer
709 illite/montmorillonites. American Mineralogist, 51, 825-854.
- 710 Juster, T.C., Brown, P.E., and Bailey, S.W. (1987) NH₄-bearing illite in very
711 low grade metamorphic rocks associated with coal, northeastern Pennsylvania.
712 American Mineralogist, 72, 555-565.
- 713 Kohn, W. and Sham, L.J. (1965a) Quantum density oscillations in an inhom-
714 geneous electron gas. Journal of Physical Review, 137, A1697-1705.
- 715 Kohn, W. and Sham, L.J. (1965b) Self-consistent equations including exchange
716 and correlation effects. Physical Review, 140, A1133-A1138.
- 717 Lash, G.G. and Blood, D.R. (2004) Origin of shale fabric by mechanical com-
718 paction of flocculated clay: Evidence from the Upper Devonian Rhinestreet
719 shale, western New York, USA. Journal of Sedimentary Research, 74, 110-116.
- 720 Lausen, S.K., Lindgreen, H., Jakobsen, H.J., and Nielsen, N.C. (1999) Solid-
721 state Si-29 MAS NMR studies of illite and illite-smectite from shale. American
722 Mineralogist, 84, 1433-1438.

723 Liang, J.J. and Hawthorne, F.C. (1996) Rietveld refinement of micaceous ma-
724 terials: Muscovite-2M(1) a comparison with single-crystal structure refinement.
725 Canadian Mineralogist, 34, 115-122.

726 Liming, J., Zhang, T., Milliken, K., Qu, J. and Zhang, X. (2012) Experimental
727 investigation of main controls to methane adsorption in clay-rich rocks. Applied
728 Geochemistry, 27, 2533-2545.

729 Lindgreen, H. (1991) Elemental and structural changes in illite/smectite mixed-
730 layer clay minerals during diagenesis in Kimmeridgian-Volgian (-Ryazanian)
731 clays in the Central Trough, North Sea and the Norwegian-Danish Basin. Bul-
732 letin of the Geological Society of Denmark, 39, 1-82.

733 Lindgreen, H., Garnaes, J., Hansen, P.L., Besenbacher, F., Laegsgaard, E.,
734 Stensgaard, I., Gould, S.A.C., and Hansma, P.K. (1991a) Ultrafine Parti-
735 cles of North-Sea Illite Smectite Clay-Minerals Investigated by STM and AFM.
736 American Mineralogist, 76, 1218-1222.

737 Lindgreen, H., Jacobsen, H., and Jakobsen, H.J. (1991b) Diagenetic Structural
738 Transformations in North-Sea Jurassic Illite/Smectite. Clays and Clay Minerals,
739 39, 54-69.

740 Louie, S.G., Froyen, S., and Cohen, M.L. (1982) Nonlinear ionic pseudopoten-
741 tials in spin-density-functional calculations. Physical Review B, 26, 1738-1742.

742 Macht, F., Eusterhues, K., Pronk, G. J., and Totsche, K. U. (2011) Specific
743 surface area of clay minerals: Comparison between atomic force microscopy mea-

744 surements and bulk-gas (N_2) and -liquid (EGME) adsorption methods Applied
745 Clay Science, 53, 20-26.

746 Mazari, N., Vanderbilt, D., and Payne, M.C. (1997) Ensemble density func-
747 tional theory for ab initio molecular dynamics of metals and finite-temperature
748 insulators. Physical Review Letters, 79, 1337-1340.

749 Mosey, N.J. and Carter, E.A. (2007) Ab initio evaluation of Coulomb and
750 exchange parameters for DFT+ U calculations. Physical Review B, 76, 1551231-
751 15512313.

752 Monkhorst, H.J. and Pack, J.D. (1976) Special points for Brillouin-zone inte-
753 grations. Physical Review B, 13, 5188-5192.

754 Nespolo, M. (2001) Perturbative theory of mica polytypism. Role of the M2
755 layer in the formation of inhomogeneous polytypes. Clays and Clay Minerals,
756 49.

757 Nieto, F. (2002) Characterization of coexisting NH_4^- and K-micas in very
758 low-grade metapelites. American Mineralogist, 87, 205-216.

759 Nieto, F., Mellini, M., and Abad, I. (2010) The Role of H_3O^+ in the Crystal
760 Structure of Illite. Clays and Clay Minerals, 58, 238-246.

761 Payne, M.C., Teter, M.P., Allan, D.C., Arias, T.A. and Joannopoulos, J.D.
762 (1992) Iterative minimization for ab initio total-energy calculations: molecular
763 dynamics and conjugate gradients. Reviews of Modern Physics, 64, 1045-1097.

- 764 Perdew, J.P., Burke, K., and Ernzerhof, M. (1996) Generalized gradient ap-
765 proximation made simple. *Physical Review Letters*, 77, 3865-3868.
- 766 Pevear, D. R. (1999) Illite and hydrocarbon exploration *Proc. Natl. Acad. Sci.*,
767 96, 3440-3446.
- 768 Pfrommer, B.G., Côté, M., Louie, S., and Cohen, M.L. (1997) Relaxation of
769 crystals with the Quasi-Newton Method. *Journal of Computational Physics*,
770 131, 233-240.
- 771 Refson, K., Tulip, P.R., and Clark, S.J. (2006) Variational density-functional
772 perturbation theory for dielectrics and lattice dynamics. *Physical Review B*, 73.
773 1551141-15511412
- 774 Russell, J.D. and Fraser, A.R. (1970) I.R. spectroscopic evidence for interaction
775 between hydronium ions and lattice OH groups in montmorillonite. *Clays and*
776 *Clay Minerals*, 19, 55-59.
- 777 Shimanouchi, T. (1972) Tables of molecular vibrational frequencies consolidate
778 Volume 1. National Bureau of Standards, 1-160.
- 779 Środoń J. (2009) Quantification of illite and smectite and their layer charges in
780 sandstones and shales from shallow burial depth. *Clay Minerals*, 44, 421-434.
- 781 Stevenson, F.J. (1960) Nitrogenous constituents of some palaeozoic shales.
782 *American Association of Petroleum Geologists Bulletin*, 44, 1257.

- 783 Sucha, V., Kraus, I., and Madejova, J. (1994) Ammonium illite from the
784 anchimetamorphic shales associated with anthracite in the Zemplinicum of the
785 Western Carpathians. *Clay Minerals*, 29, 369-377.
- 786 Vanderbilt, D. (1990) Soft self-consistent pseudopotentials in a generalized
787 eigenvalue formalism. *Physical Review B*, 41, 7892-7895.
- 788 Wilcox, J. (2012) *Carbon Capture*. Springer, New York.
- 789 Williams, L.B. and Ferrell, R.E. (1991) Ammonium substitution in illite during
790 maturation of organic-matter. *Clays and Clay Minerals*, 39, 400-408.
- 791 Williams, L.B., Wilcoxon, B.R., Ferrell, R.E., and Sassen, R. (1992) Diagenesis
792 of ammonium during hydrocarbon maturation and migration, Wilcox Group,
793 Louisiana, U.S.A. *Applied Geochemistry*, 7, 123-134.
- 794 Wilson, P.N., Parry, W.T., and Nash, W.P. (1992) Characterization of hy-
795 drothermal tobelitic veins from black shale, Oquirrh Mountains, Utah. *Clays*
796 *and Clay Minerals*, 40, 405-420.
- 797 Yeh, L.I., Okumura, M., Myers, J.D., Price, J.M., and Lee, Y.T. (1989) Vi-
798 brational spectroscopy of the hydrated hydronium cluster ions $H_3O^+(H_2O)_n$
799 ($n=1,2,3$). *Journal of Chemical Physics*, 91, 7319-7330.
- 800 Zhou, F., Cococcioni, M., Marianetti, C.A., Morgan, D., and Ceder, G. (2004)
801 First-principles prediction of redox potentials in transition-metal compounds
802 with LDA+ U . *Physical Review B*, 70.

803 Zöller, M., and Brockamp, O. (1997) 1M- and 2M₁-illite: different minerals and
804 not polytypes. Eur. J. Mineral. 9, 821-827.

Model	I-M	K	T-sheet		O-sheet		
			Si	Al	Fe	Al	Mg
General formula $-2M_1$	-	1.67	6.68	1.32	0.38	3.29	0.32
NH ₄ ⁺	0.67	0.67	7.00	1.00	0.33	3.33	0.33
(Drits et al. 1997)	0.84	0.84	6.68	1.32	0.38	3.29	0.32
H ₃ O ⁺	0.33	1.00	7.00	1.00	0.33	3.33	0.33
(Nieto et al. 2010)	0.56	1.38	6.80	1.20	0.50	2.94	0.56
2I-H ₂ O	0.67	1.33	7.00	1.00	0.33	3.33	0.33
I-H ₂ O	0.33	1.00	7.33	0.67	0.33	3.33	0.33
(Nieto et al. 2010)	0.84	1.40	6.88	1.12	0.50	3.06	0.56

TABLE 1. Number of atoms for all types of models in this study, calculated per O₂₀(OH)₄. I-M is interlayer molecule other than K and varies for the (‘particles from bulk’) pfb- $2M_1$ models. The formula cited for Drits et al. (1997) is interpreted from the data within that reference, and the general formula for $2M_1$ models.

Model/Ref	<i>a</i>	<i>b</i>	<i>c</i>	α	β	γ	Layer depths	
NH ₄ ⁺	5.23	9.08	20.67(29.89)	91.13	98.05	89.91	(NH ₄ ⁺)10.54	(K ⁺)10.13
(Drits et al. 1997)			20.31				(NH ₄ ⁺)10.33	(K ⁺) 9.98
H ₃ O ⁺	5.22	9.07	20.21(29.56)	90.36	95.47	89.83	(H ₃ O ⁺)10.20	(K ⁺)10.01
(Nieto et al. 2010)	5.22	9.04	20.04	90.00	95.90	90.00		
2I-H ₂ O	5.22	9.20	20.90(30.00)	90.00	95.67	90.00	10.45	10.45
(Nieto et al. 2010)	5.22	9.04	20.03	90.00	95.81	90.00		
I-H ₂ O	5.22	9.04	20.05(29.87)	90.37	96.25	89.88	(H ₂ O)10.18	9.87
(Nieto et al. 2010)	5.22	9.04	20.04	90.00	95.90	90.00		

TABLE 2. Lattice parameters of pfb- $2M_1$, sandwich cells of relaxed illite models in Å and degrees (relaxed *c*-length in brackets). The numbers without brackets of this study’s models are the distances between the tetrahedral sheets of the bottom clay layer and the bottom of the uppermost clay layer, encompassing $2M_1$ structures that are comparable to those cited. Drits et al. (1997) contains only the *c*-length estimate based on XRD data and the layer depths; Nieto et al. (2010) reports lattice parameters based on fixed and variable atomic coordinates of selected Rietveld refinements results of XRPD data. It should be noted that Nieto’s H₃O⁺ data are from a refinement of a Silver Hill illite, which is a $1M_d$ structure, with a high degree of rotational disorder, it is therefore difficult to ascribe the data solely to the presence of H₃O⁺.

Ring Angle	NH ₄ ⁺			H ₃ O ⁺			I-H ₂ O			2I-H ₂ O		
	4Si-2Al Si	5Si-Al/Si Si	5Si-Al/Si Si	4Si-2Al Si	5Si-Al/Si Si	5Si-Al/Si Si	4Si-2Al Si	5Si-Al/Si Si	5Si-Al/Si Si	4Si-2Al Si	5Si-Al/Si Si	5Si-Al/Si Si
b-l min	112	110	111	110	108	109	108	99	103	101	120	112
b-l max	129	129	129	130	130	130	131	137	134	138	122	124
b-u min	-	110	-	-	-	109	-	-	108	-	-	114
b-u max	-	129	-	-	-	131	-	-	132	-	-	126
t-l min	99	85	90	85	86	90	87	101	94	91	92	87
t-l max	141	151	148	152	144	149	151	139	144	147	144	149
t-u min	-	116	-	-	-	107	-	-	116	-	-	113
t-u max	-	124	-	-	-	133	-	-	123	-	-	127

TABLE 3. Minimum ('min') and maximum ('max') Si-Si-Si ('Si') and Si-Al-Si and permutations, ('Si-Al') internal angles of the hexagonal Si-O cavities ('Ring') comprising 4 Si plus 2 Al ('4Si-2Al'); 5 Si plus 1 Al ('5Si-Al') or 6 Si ('5Si-Si'), as seen from the bottom ('b') and top ('t') interlayer spaces, projected onto the lower ('l') and upper ('u') clay mineral layers. Figure 2 illustrates these cavities and interlayer molecules. Angles are in degrees to the nearest integer.

Model	Scissor	Wag	Rock	Sym-stretch	Antisym-stretch
NH ₄ ⁺	1392	1454	1652	3172	3338
	1369	1504	1657	3223	3369
	1406	1627	1666	3274	3436
	1427			3286	3552
				3552	
H ₃ O ⁺	1576				2747
	1668			2854	3110
					(single OH)
I-H ₂ O	1640			3651	3708

TABLE 4. Description of the vibrational frequencies (cm⁻¹) of three of the pfb-2M₁ models. ‘Sym’ and Antisym’ mean ‘symmetric’ and ‘antisymmetric’ respectively.

	50% of layers with NH ₄ ⁺			A: <i>d</i> _{00c} spacing (Å); B: 2θ (°)			
	FWWH(00 <i>a</i>)	FWWH(00 <i>b</i>)	$\frac{\text{FWWH}(00b)}{\text{FWWH}(00a)}$	NH ₄ ⁺	H ₃ O ⁺	I-H ₂ O	2I-H ₂ O
This study (<i>a</i> :6, <i>b</i> :15, <i>c</i> :3)	0.1033	0.1501	1.45	A: 9.86	9.81	9.90	9.95
				B: 8.96	9.01	8.93	8.88
Drits et al. (1997) (<i>a</i> :2, <i>b</i> :5, <i>c</i> :1)	0.885	1.266	1.43	A: 10.19	-	-	-

TABLE 5. Left - full width at half height (FWHH) measurements in degrees, given for *d*_{*hkl*} and compared to the data of Drits et al. for 50% of layers containing NH₄⁺. Right - rows A: *d*₀₀₃ and *d*₀₀₁ layer measurements; row B: 2θ angles corresponding to the *d*₀₀₃ peaks in our study.

805 **Figure 1.** Single unit cells of ('particles from bulk') pfb- $2M_1$ after relaxation and
806 their formulae per $O_{20}(OH)_4$. Vacuum space at top of models defines them as parti-
807 cle models. Initial cell parameters for all four varieties were: $a = 5.22$; $b = 9.02$; $c =$
808 30.00 ; $\alpha = 90.00$; $\beta = 95.67$; $\gamma = 90.00$. Color scheme used throughout this study:
809 oxygen - red; hydrogen - white; aluminum - pink; silicon - yellow; iron - gray-blue;
810 potassium - purple; magnesium - green; nitrogen - blue. The dashed line is the peri-
811 odic boundary of a unit cell. All lengths throughout this work (to 2 decimal places)
812 are in \AA and angles in degrees.

813 **Figure 2.** Polygon-view of positions of interlayer molecules relative to clay mineral
814 layers, where 'b' is bottom interlayer; 't' is top interlayer; 'l' is relative to lower clay
815 layer; 'u' is relative to upper clay layer; 's' is side view, for example, 'b-u' shows the
816 positions of the bottom interlayer molecules relative to the upper clay layer enclosing
817 them. All non-side views are $x - y$ plane views.

818 **Figure 3.** Simulated X-ray powder diffraction (XRPD) patterns.

819 **Figure 4.** XRD patterns calculated from the relaxed molecular modeled structures
820 compared with an XRD pattern calculated for a trans vacant $2M_1$ mica, with an iron
821 free composition of $K_{0.8}(Al_{0.8}Si_{3.2})(Al_2)O_{10}(OH)_2$ - further details are in the XRPD
822 Section.

823

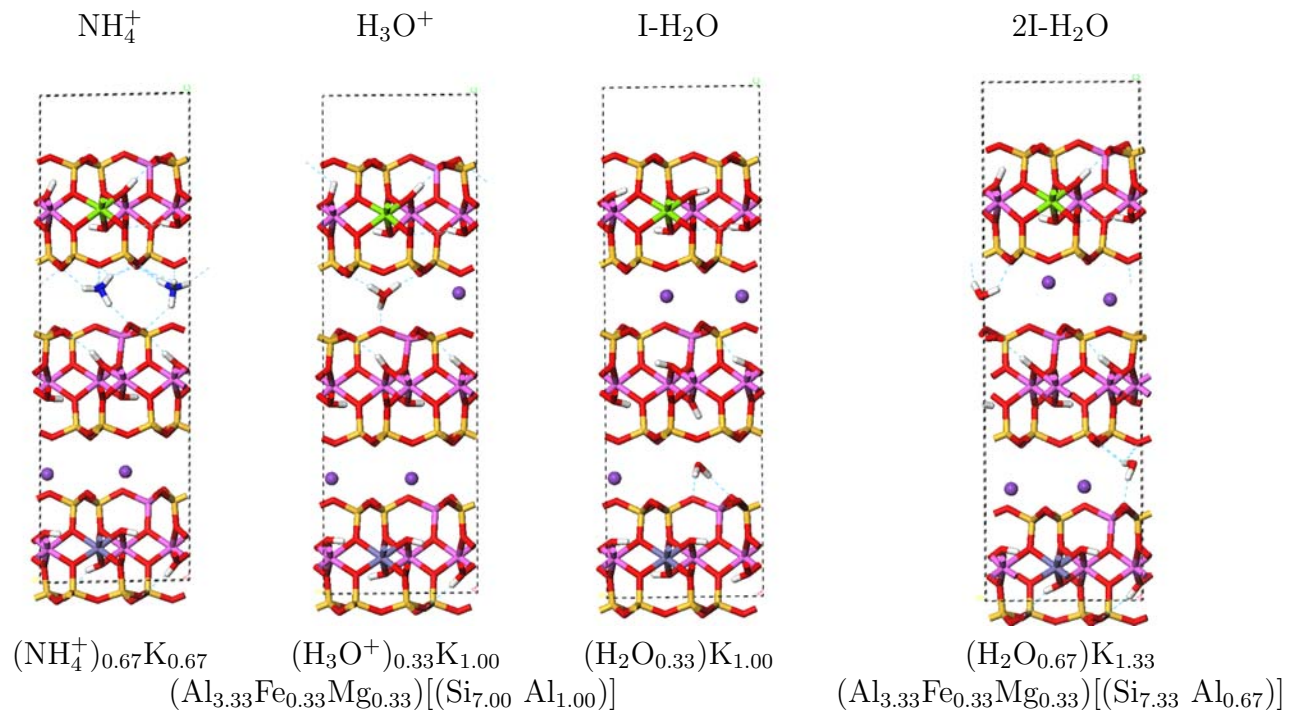


FIGURE 1. Single unit cells of ('particles from bulk') pfb- $2M_1$ after relaxation and their formulae per $\text{O}_{20}(\text{OH})_4$. Vacuum space at top of models defines them as particle models. Initial cell parameters for all four varieties were: $a = 5.22$; $b = 9.02$; $c = 30.00$; $\alpha = 90.00$; $\beta = 95.67$; $\gamma = 90.00$. Color scheme used throughout this study: oxygen - red; hydrogen - white; aluminum - pink; silicon - yellow; iron - gray-blue; potassium - purple; magnesium - green; nitrogen - blue. The dashed line is the periodic boundary of a unit cell. All lengths throughout this work (to 2 decimal places) are in \AA and angles in degrees.

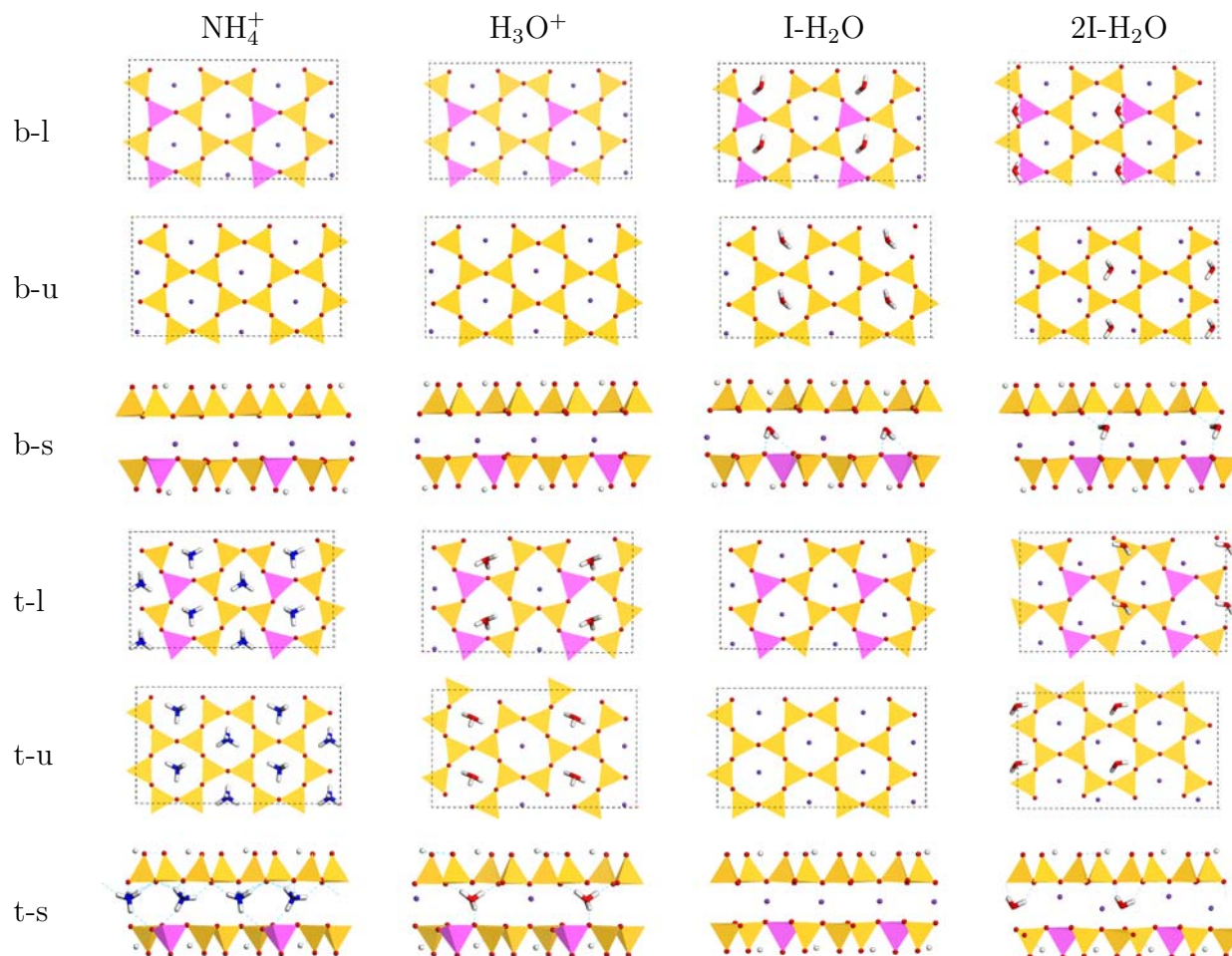


FIGURE 2. Polygon-view of positions of interlayer molecules relative to clay mineral layers, where ‘b’ is bottom interlayer; ‘t’ is top interlayer; ‘l’ is relative to lower clay layer; ‘u’ is relative to upper clay layer; ‘s’ is side view, for example, ‘b-u’ shows the positions of the bottom interlayer molecules relative to the upper clay layer enclosing them. All non-side views are $x - y$ plane views.

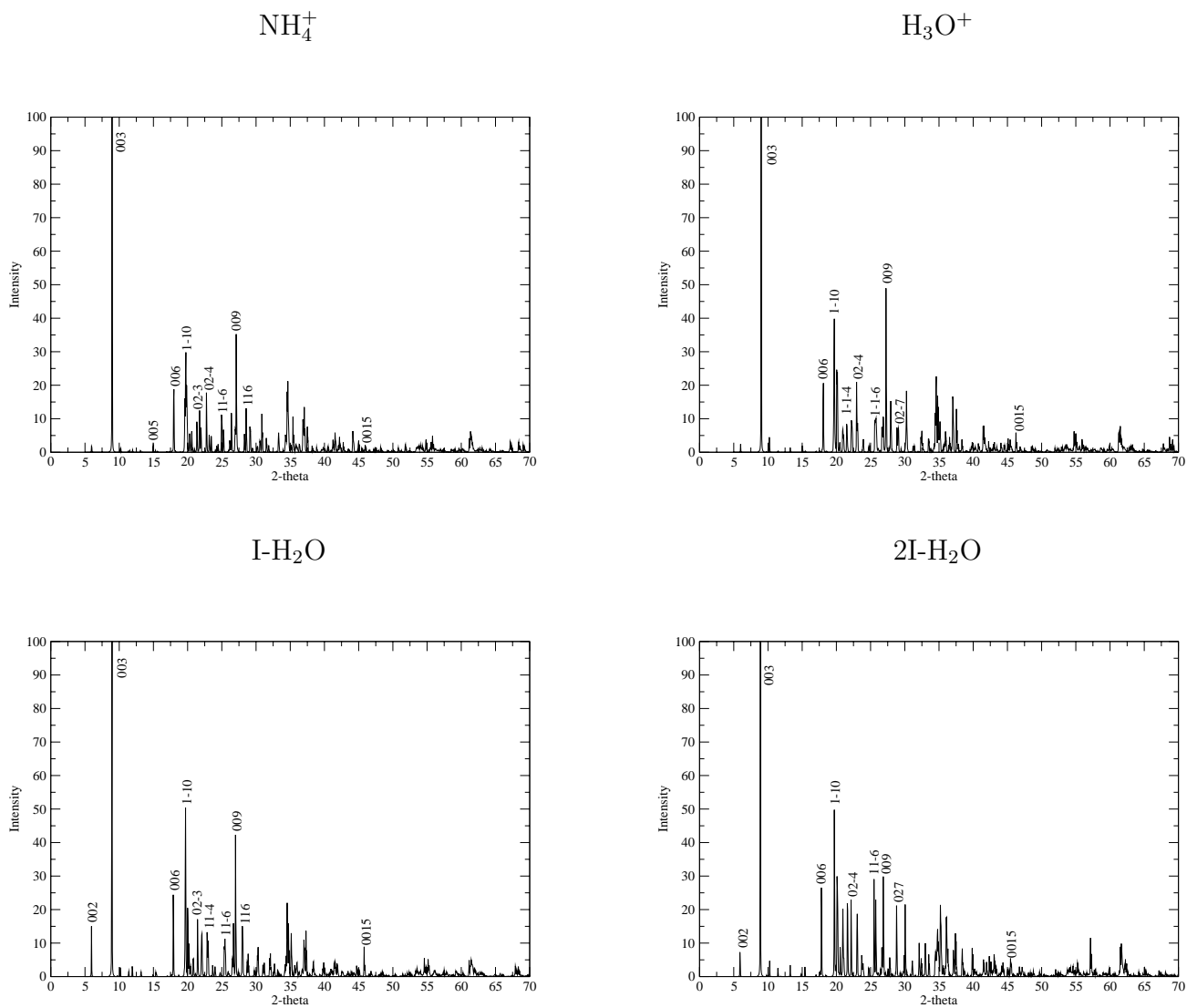


FIGURE 3. Simulated X-ray powder diffraction (XRPD) patterns

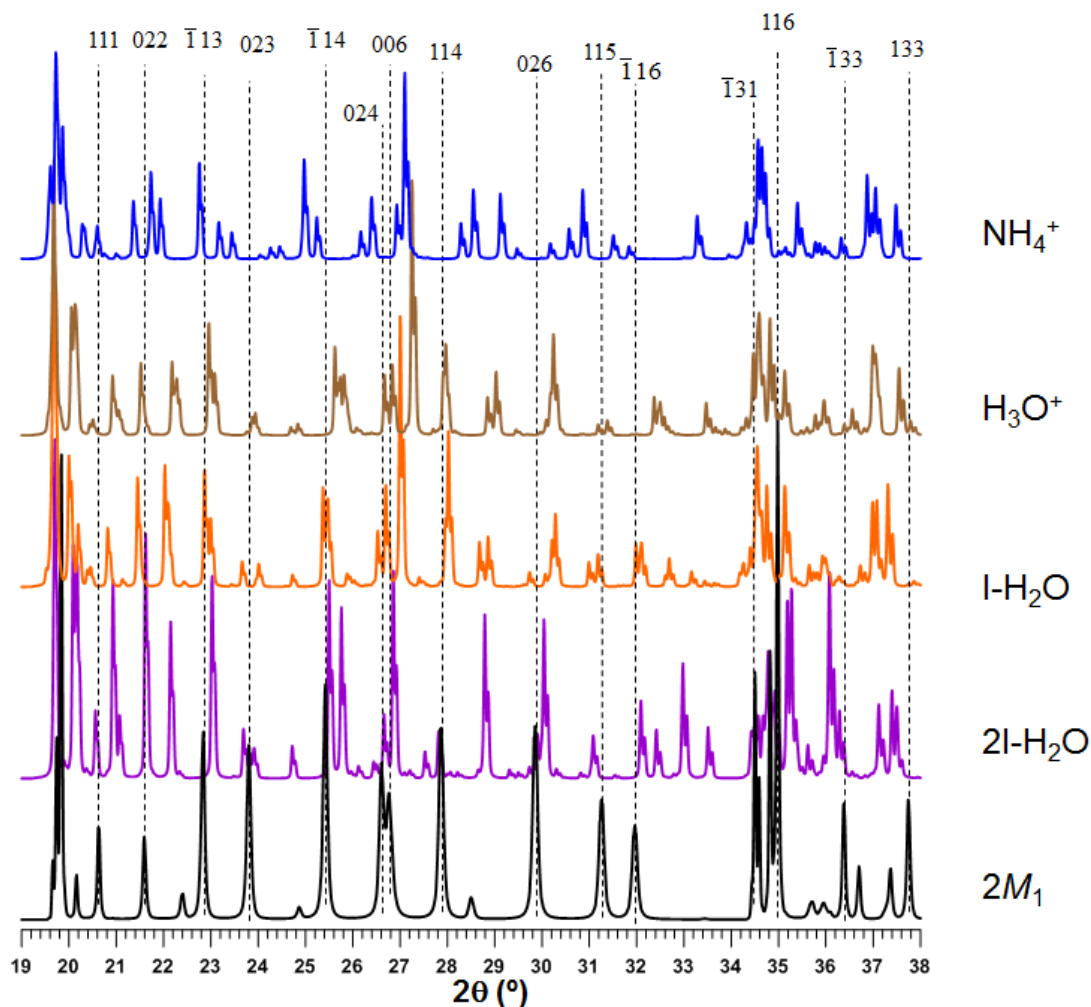


FIGURE 4. XRD patterns calculated from the relaxed molecular modeled structures compared with an XRD pattern calculated for a trans vacant $2M_1$ mica, with an iron free composition of $\text{K}_{0.8}(\text{Al}_{0.8}\text{Si}_{3.2})(\text{Al}_2)\text{O}_{10}(\text{OH})_2$ - further details are in the XRPD Section.