COMMONWEALTH OF AUSTRALIA  
PATENTS ACT 1952  
APPLICATION FOR A STANDARD PATENT

Shell Internationale Research Maatschappij B.V., a Netherlands Company, of Carel van Bylandtlaan 30, 2596 HR, The Hague, THE NETHERLANDS, hereby apply for the grant of a standard patent for an invention entitled: Thermosetting Polyol Resins and Coating Compositions based upon such Resins which is described in the accompanying complete specification.

Details of basic application(s):-

<table>
<thead>
<tr>
<th>Basic Applic. No.</th>
<th>Country</th>
<th>Application Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>9006577.2</td>
<td>GB</td>
<td>23 March 1990</td>
</tr>
</tbody>
</table>

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DATED this EIGHTEENTH day of MARCH 1991

Shell Internationale Research Maatschappij B.V.

By:  
Registered Patent Attorney

TO:  
THE COMMISSIONER OF PATENTS
In support of the Convention Application made for a patent for an invention entitled

Thermosetting polyol resins and coating compositions based upon such resins

I, Onno Aalbers, of Carel van Bylandtlaan 30, 2596 HR The Hague, the Netherlands, do solemnly and sincerely declare as follows:

1. I am authorised by SHELL INTERNATIONALE RESEARCH MAATSCHAPPIJ B.V., the applicant for the patent to make this declaration on its behalf.

2. The basic application(s) as defined by Section 141 of the Act was/ were made in the United Kingdom on 23rd March, 1990 by SHELL INTERNATIONALE RESEARCH MAATSCHAPPIJ B.V.

3. Olivier Louis Pierre ANDRE and Carine Helena Paula GERETS, both Belgian nationals, and Henricus Paulus Hubertus SCHOLTEN, a Netherlands national, all of Avenue Jean Monnet 1, B-1348 Ottignies Louvain-la-Neuve, Belgium

(respectively), are the actual inventor(s) of the invention and the facts upon which the applicant is entitled to make the application are as follows:

The Applicant is the assignee of the actual inventor(s).

4. The basic application(s) referred to in paragraph 2 of this Declaration was/ were the first application(s) made in a Convention country in respect of the invention the subject of the application.

DECLARED at The Hague, this day of December, 1990

To: THE COMMISSIONER OF PATENTS

AUSTRALIA

Onno Aalbers
1. A process for preparing a thermosetting resin which comprises preparing an adduct by reacting in the presence of a zinc, iron or tin compound etherification catalyst a glycidyl ester of a branched aliphatic monocarboxylic acid having from 5 to 15 carbon atoms with a polyhydric aliphatic alcohol containing from 2 to 6 primary hydroxyl groups in such a ratio that the adduct has an epoxy group content of less than 0.2 meq/g and comprises at least one unreacted primary hydroxyl group and reacting the adduct successively with
a) either an aliphatic polycarboxylic acid, or a glycidyl ester or anhydride thereof, and with b) a polyhydric aliphatic alcohol containing from 2 to 6 primary hydroxyl groups, and continuing the reaction until the final product has an epoxy group content of less than 0.07 meq/g.

9. A surface coating composition comprising a) a product obtainable with the process as claimed in any one of claims 1 to 8, b) a curing agent and c) an organic solvent.
Complete Specification for the invention entitled:

Thermosetting Polyol Resins and Coating Compositions based upon such Resins

The following statement is a full description of this invention, including the best method of performing it known to me/us.
THERMOSETTING POLYOL RESINS AND COATING COMPOSITIONS BASED UPON SUCH RESINS

The invention relates to thermosetting polyol resins, their process for preparing, and their use in coating compositions.

In European patent specification No. 3,166, a process has been disclosed which comprises reacting at 100 °C a glycidyl ester of a mixture of C₉₋₁₁ branched aliphatic acids commercially known as "CARDURA E" (CARDURA is a trade mark), with trimethylolpropane, (hereinafter "TMP") in a glycidyl/primary hydroxyl group equivalent ratio of 2:3 in the presence of 0.5% by weight, based on glycidyl ester, of a boron trifluoride etherate etherification catalyst.

The product prepared according to that particular recipe is dark coloured, and has a wide molecular weight distribution (MWD). Hence, such product is less suitable for coating applications as is apparent from the undesirable phenomenon of cratering.

In order to provide resin systems that are suitable for coatings, it has been found that polyol resins can be prepared that have an improved colour and a narrow molecular weight distribution, are essentially free from unreacted primary alcohol starting material, and substantially do not contain unconverted epoxy groups. Moreover, cured coatings prepared from said polyol resins have very good properties in general industrial stoving application. Particularly, they have a very attractive balance of flow, hardness and flexibility. The present invention provides a process for preparing a thermosetting resin which comprises
first preparing an adduct by reacting in the presence of a zinc, iron or tin compound etherification catalyst, a glycidyl ester of a branched aliphatic monocarboxylic acid having from 5 to 15 carbon atoms with a polyhydric aliphatic alcohol containing from 2 to 6 primary hydroxyl groups in such a ratio that the adduct has an epoxy group content of less than 0.2 meq/g and comprises at least one unreacted primary hydroxyl group, and then reacting the adduct successively with a) either an aliphatic polycarboxylic acid, or a glycidyl ester or anhydride thereof, and b) a polyhydric aliphatic alcohol containing from 2 to 6 primary hydroxyl groups, and continuing the reaction until the final product has an epoxy group content of less than 0.07 meq/g.

In the first step of the process of this invention, the catalyst employed selectively promotes the reaction of the glycidyl ester with a primary hydroxyl group, thereby sidestepping unwanted reactions between alcohols, between glycidyl esters, or between glycidyl esters and secondary hydroxyl groups. These side-reactions will take place in the presence of prior art catalysts such as boron trifluoride etherate. For instance, with gel permeation chromatography (GPC) the prior art product can be shown to contain several unwanted side-products. In contrast thereto, the process of this invention leads in the first step to selective production of derivatives in which the proportion of converted primary hydroxyl groups can be set at predetermined value, preferably 1 or 2 when converting trihydric alcohols, 2 for tetrahydric, and 2 or 3 for penta- or hexahydric alcohols. In contrast to the prior art, both the adducts made in the first step and the products of the total synthesis of this invention are characterized by having a molecular
weight distribution, calculated as $M_z/M_w^{-1}$, of less than 1.10. When reacting dihydric alcohols at least one unconverted primary hydroxyl group should remain in the adduct. In that event the further introduction of converted acid, acid anhydride or epoxy moieties into the molecule in the second reaction proceeds via reacting the remaining primary hydroxyl group and optionally via reacting the secondary hydroxyl group which results from the conversion of the glycidyl group of glycidyl ester employed in the first step.

Suitable examples of etherification catalysts include halides, and salts of alkanolic and naphthenic acids, particularly of those having in the range of from 2 to 30 carbon atoms per molecule. Very suitable catalysts are tin, zinc or iron chlorides, tin or zinc alkanoates, dibutyltin dialkanoates, and iron salts of naphthenic acids. Preferred catalysts are tin(II)-octoate, tin dichloride, dibutyltin dilaurate and tin tetrachloride, the former being most preferred.

The catalyst may be employed at relatively low amounts and low reaction temperatures. Thus, addition of 0.01 to 0.4% m/m of catalyst while heating the reaction mixture to a temperature in the range of from 100 to 200 °C is adequate. Particularly suitable amounts of catalyst range from 0.03 to 0.35% m/m, most suitable from 0.05 to 0.2% m/m. The reaction may very suitably be carried out at a temperature in the range of from 115 to 190 °C, preferably from 130 to 175 °C.

The aliphatic primary di- to hexahydric alcohol to be reacted comprises two to six primary hydroxyl groups (i.e., HOCH$_2$-), optionally one or more ether links, and preferably no other secondary (HOCH$_2$-), or tertiary (HOC$_3$-) hydroxyl groups. Suitable compounds are any of the isomers corresponding to tri(hydroxymethyl)ethane, -propane, -butane, -pentane, -hexane, -heptane,
-octane, and -nonane; tetra(hydroxymethyl)methane, 
-ethane, -propane, -butane, -pentane, -hexane, 
-heptane, and -octane; penta(hydroxymethyl)ethane, 
-propane, -butane, -pentane, -hexane, and -heptane; and 
hexa(hydroxymethyl)ethane, -propane, -butane, -pentane, 
and -hexane; dihydroxyethane, -pentane, -hexane and 
-dodecane.

In preferred embodiments the aliphatic primary 
alcohol is TMP, DTMP (i.e., the dimer of TMP) or 
neopentylglycol (NPG). This applies to the alcohol 
employed in both the first and the third reaction step.

The glycidyl ester of the branched monocarboxylic 
acid may suitably be any of the glycidyl esters of 
C_{5-15} branched aliphatic acids or a mixture thereof. 
Preferred esters are mixtures of glycidyl esters of 
C_{9-11} branched aliphatic acids, commercially known as 
CARDURA E10. Another preferred glycidyl ester is the 
one derived from pivalic acid. Preferably, in the first 
reaction step the relative amount of starting materials 
is such that the adduct contains essentially no 
unreacted glycidyl ester.

Suitable reactants a) in the second step are 
particularly cycloaliphatic compounds. Preferred 
polyglycidyl esters are the diglycidyl esters of 
dicarboxylic acids, most preferred is the diglycidyl 
ester of hexahydrophthalic acid, a commercially 
available grade thereof is EPIKOTE 191 (EPIKOTE is a 
trade mark). Preferred carboxylic acids and anhydrides 
are hexahydrophthalic acid and its anhydride.

In the further reaction with reactants a) and b) 
the molar ratios should be selected such that in the 
final product a sufficient number of unreacted primary 
hydroxyl groups remain to allow for adequate thermo-
setting (curability) performance. Since the curing 
substantially proceeds via reactions of free primary
hydroxyl groups there is no need to provide for unreacted glycidyl groups in the final product. Therefore it is preferred that the epoxy group content of the final product does not exceed 0.04 meq/g.

The process of this invention allows for the construction of polyol molecules which can schematically be represented by the formulae:

\[
\begin{align*}
&\text{CE10-TMP-} \text{(E191-NPG)}_2 \quad \text{(CE10)}_2 \text{PE-}(\text{E191-NPG})_2 \\
&\text{CE10-TMP-} \text{(HHPA-TMP)}_2 \quad \text{NPG-HHPA-CE10-NPG-HHPA-NPG} \\
&\text{CE10-NPG-E191-NPG} \quad \text{TMP-HHPA-CE10-NPG-HHPA-TMP} \\
&\text{CE10-PE-} \text{(E191-NPG)}_3 \quad \text{NPG-E191-CE10-NPG-E191-NPG}
\end{align*}
\]

in which CE10, TMP, NPG, PE, E191 and HHPA respectively stand for the moieties of CARDURA E10, trimethylolpropane, neopentylglycol, pentaerythritol, EPiKOTE-191 and hexahydrophthalic acid. In those structures there are primary hydroxyl groups in the NPG or TMP end groups, in addition there may be secondary hydroxyl groups in the CARDURA moieties and EPiKOTE moiety, resulting from the etherification of the glycidyl groups. As stated hereinbefore the cure of the polyol resins will primarily be ensured by the presence of primary hydroxyl groups, the secondary hydroxyl groups play a role of only minor importance.

If desired, the process according to the invention may be carried out in the presence of a suitable non-reactive solvent, for example hydrocarbons such as octane, nonane, decane, toluene, the three xylenes, ethylbenzene or isopropylbenzene; ethers such as 1,4-dioxane, diethylether of ethylene glycol, diethylether of diethylene glycol; and chlorinated hydrocarbons such as monochlorobenzene. Alcohols, aldehydes, ketones and the like are considered less suitable since they may form undesired by-products.

The favourable properties of the polyol resins according to the invention offer good possibilities for
application of said resins in solvent coating systems, particularly those for ambient cure. Other possible applications are in stoving enamels, powder coatings, and either anionic or cathodic electrodeposition coatings. For the latter coatings the novel resins of the present invention are first modified by reacting with an acid or a base (such as an amine), neutralized, and then applied together with a suitable cross-linking agent.

The envisaged polyol resins are suitable for use in high-performance automotive high solids topcoats. Attractive cross-linking resins in this respect are for example those disclosed in European patent application Nos. 244,897 and 281,213. Particularly suitable cross-linking agents are the aminoplast-type resins, such as alkoxyolated reaction products of formaldehyde with melamine or benzoguananamide. Other suitable cross-linking agents include urea-aldehyde resins, phenol-aldehyde resins, and blocked isocyanates.

Suitable catalysts which may be employed in the curable coating compositions are acids such as orthophosphoric acid or p-toluenesulphonic acid. These catalysts may be used in an amount in the range of from, for example, 0.05 to 2% by weight, calculated on polyol resin and cross-linking resin.

Suitable cross-linking catalysts which may be employed in the curable coating compositions are acids such as orthophosphoric acid or p-toluenesulphonic acid. These catalysts may be used in an amount in the range of from, for example, 0.05 to 2% by weight, calculated on polyol resin and cross-linking resin.

The relative proportions of polyol resin and curing agent are those generally employed in the curable binders, typically of from 5 to 50% by weight,
calculated on the total of polyol resin and cross-linking resin.

The polyol resins of this invention are primarily intended to be employed in surface coatings. Other applications such as in laminates or castings are also possible. The resins may be blended with conventional solvents such as aliphatic or aromatic hydrocarbons. Pigments, fillers, dispersing agents and other components known for coating formulations may be added to the curable binder system comprising the polyol resins made in accordance with the process of this invention.

The curable coating composition can be applied by a variety of methods as known in the art, for example by spraying, dipping or roller coating. The coatings can be hardened by stoving, for example at temperatures from 100 to 300 °C, with curing temperatures varying from, for example, 10 seconds to 30 minutes.

The invention will be further understood from the following examples.

EXAMPLE 1

a) Adducts of TMP and CE10

1 mol of TMP and n mol (n equals 0.5, 1.0 or 0.7) of CARDURA E10 were homogenized at 100 °C and 0.10% by weight of stannous octoate catalyst was added. The mixtures were reacted at 160 °C during 2.5 hours, at the end of which period the epoxy group content (EGC) of the mixtures had decreased to 0.04 meq/g.

b) Adducts of EPIKOTE 191 and products a)

2 mol of EPIKOTE 191 were added to each of the three mixtures resulting from the synthesis a). The solutions were heated to 160 °C, following adjustment of the amount of catalyst to yield a concentration of 0.15% by weight. The reactions were continued for 1.8 hours.
c) Final polyol products

2 mol of either TMP or NPG were incorporated into the reaction mixtures resulting from b), no additional amount of the catalyst was added. The mixtures were reacted at 160 °C during 1.5 hours, at the end of which period the EGC of the mixtures had decreased to 0.04 meq/kg. Then the solutions were cooled to ambient temperature and methyl PROXITOL solvent was added to produce a solids concentration of 20 to 30% by weight.

Analysis of the three products produced the following data:

<table>
<thead>
<tr>
<th>n</th>
<th>Mz</th>
<th>MWD</th>
<th>free alcohol</th>
<th>viscosity</th>
</tr>
</thead>
<tbody>
<tr>
<td>NPG</td>
<td>0.5</td>
<td>2160</td>
<td>1.92</td>
<td>3.2</td>
</tr>
<tr>
<td>NPG</td>
<td>1.0</td>
<td>1960</td>
<td>1.89</td>
<td>2.4</td>
</tr>
<tr>
<td>TMP</td>
<td>0.7</td>
<td>1700</td>
<td>1.56</td>
<td>1.0</td>
</tr>
</tbody>
</table>


d) Polyol evaluation

1) Clear film coating

Cross-linker: Hexamethoxymethylmelamine (HMMM)

Catalyst: p-toluenesulphonic acid blocked with a melamine (RESIMENE-6201) (RESIMENE is a trade mark of MONSANTO)

Weight ratio Resin/-HMMM: 85/15

Catalyst concentration: 2% by weight

Solids content: 30% by weight in methyl PROXITOL.

Bar coating, thickness: 20 micron (dry film)

Cure, time: 30 minutes

Cure, temperature: 120 °C
2) Pigmented coating

Cross-linker : HMMM
Catalyst : RESIMENE-6201
Pigment : Kronos CL310

Weight ratio Resin/HMMM: 75/25
Catalyst concentration : 3.3% by weight
Weight ratio pigment/(resin+HMMM) : 0.4/1
Solids content : 70% by weight in methyl PROXITOL

Bar coating, thickness : 30 micron (dry film)
Curing, time : 30 minutes
Curing, temperature : 120 °C

<table>
<thead>
<tr>
<th></th>
<th>hardness, sec.</th>
<th>flexibility</th>
<th>Solvent res.</th>
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<tr>
<td></td>
<td>115 °C 140 °C</td>
<td>115 °C 140 °C</td>
<td>115 °C 140 °C</td>
</tr>
<tr>
<td>NPG 0.5</td>
<td>112</td>
<td>143</td>
<td>69</td>
</tr>
<tr>
<td>NPG 1.0</td>
<td>63</td>
<td>85</td>
<td>&gt; 92</td>
</tr>
<tr>
<td>TMP 0.7</td>
<td>56</td>
<td>108</td>
<td>186</td>
</tr>
</tbody>
</table>

EXAMPLE 2

a) Adducts of anhydrides and product a)

2 mol of various anhydrides were respectively added to samples of the mixture resulting from the synthesis a) described in Example 1 for n equalling 0.7. The anhydrides were phthalic anhydride, (PA) (for comparison), tetrahydrophthalic anhydride (TPA),
hexahydrophthalic anhydride (HPA), and methylhexahydrophthalic anhydride (MHPA). The molar ratios employed were in all events 2 mol anhydride per 1 mol adduct of Example 1. The solutions were heated to 120 to 160 °C, depending on the melting point of the anhydride. The reaction was continued during 0.50 hours.

b) Final polyol product

2 mol NPG were incorporated into the mixture, with addition of stannous octoate catalyst to adjust the catalyst concentration to 0.20% by weight. 5% by weight toluene was introduced to allow for azeotropic removal of water. The reaction was continued at 180 to 220 °C during 5 hours until the EGC had decreased to less than 0.04 meq/kg.

Analysis of the polyol products yielded the following data:

<table>
<thead>
<tr>
<th>Anhydride</th>
<th>Mz</th>
<th>MWD</th>
<th>free alcohol % by weight</th>
<th>viscosity mPa.s</th>
</tr>
</thead>
<tbody>
<tr>
<td>PA</td>
<td>1210</td>
<td>1.40</td>
<td>1.0</td>
<td>1660</td>
</tr>
<tr>
<td>TPA</td>
<td>1100</td>
<td>1.35</td>
<td>1.1</td>
<td>1890</td>
</tr>
<tr>
<td>HPA</td>
<td>1160</td>
<td>1.38</td>
<td>0.9</td>
<td>1220</td>
</tr>
<tr>
<td>MHPA</td>
<td>1220</td>
<td>1.39</td>
<td>2.0</td>
<td>1670</td>
</tr>
</tbody>
</table>

* for comparison

c) Polyol evaluation

1) Clear film coating:

Cross-linker : HMMM
Catalyst : RESIMENE-6201
Weight ratio Resin/HMMM: 75/25
Catalyst concentration : 2% by weight
Solids content : 70% by weight in methyl PROXITOL
Bar coating, thickness : 20 micron (dry film)
Curing, time : 30 minutes
Curing, temperature : 120 °C
### Anhydride Hardness, Flexibility, Solvent Resistance

<table>
<thead>
<tr>
<th></th>
<th>sec.</th>
<th>cm.kg</th>
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</tr>
</thead>
<tbody>
<tr>
<td>PA*</td>
<td>202</td>
<td>35</td>
<td>&gt;100</td>
</tr>
<tr>
<td>TPA</td>
<td>183</td>
<td>35</td>
<td>&gt;100</td>
</tr>
<tr>
<td>HPA</td>
<td>179</td>
<td>23</td>
<td>&gt;100</td>
</tr>
<tr>
<td>MHPA</td>
<td>197</td>
<td>23</td>
<td>&gt;100</td>
</tr>
</tbody>
</table>

* For comparison

### 2) Pigmented Coating:
- **Cross-linker:** HMMM
- **Catalyst:** RESIMENE-6201
- **Pigment:** Kronos CL310
- **Weight ratio Resin/HMMM:** 75/25
- **Catalyst concentration:** 3% by weight
- **Weight ratio pigment/(resin+HMMM):** 0.4/1
- **Solids content:** 70% by weight in methyl PROXITOL
- **Bar coating, thickness:** 40 micron (dry film)
- **Curing, time:** 30 minutes
- **Curing, temperature:** 120 °C

<table>
<thead>
<tr>
<th></th>
<th>sec.</th>
<th>cm.kg</th>
<th>20°</th>
<th>60°</th>
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<tbody>
<tr>
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<td>46</td>
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</tr>
<tr>
<td>TPA</td>
<td>140</td>
<td>69</td>
<td>83</td>
<td>92</td>
</tr>
<tr>
<td>HPA</td>
<td>150</td>
<td>69</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MHPA</td>
<td>165</td>
<td>115</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

* For comparison

### Example 3

The final product of Example 2 (MPA) was evaluated for storage stability in comparison with two products.
made along alternative adducting recipes outside the scope of this invention: Product c(1) was made by adducting 2 mol of HPA to 1 mol of 2,2-diethyl-1,3-propanediol and then adducting with NPG. Thus, in product c(1) no CARDURA E10 was introduced in the molecule. In product c(2) 1 mol of 2,2-diethyl-1,3-propanediol was adducted with 2 mol HPA. Then the product was adducted with 1 mol CARDURA E10 and 1 mol NPG. The final product solutions each had a solids content of 80% by weight.

Pigmented formulations were prepared by adding curing agent HMMM (weight ratio resin to curing agent 75:25) and KRONOS CL310 pigment (weight ratio pigment to resin+HMMM 0.7:1).

A known drawback of pigmented high solids resin systems is their poor stability as shown by phase separation occurring after some time of storage at room temperature. So the three formulations were tested for phase separation behaviour.

Comparative products c(1) and c(2) were stable for up to 13 days. The polyol product of the invention was stable for more than 42 days, thus showing the surprising effect of the product of this invention.
The claims defining the invention are as follows:

1. A process for preparing a thermosetting resin which comprises preparing an adduct by reacting in the presence of a zinc, iron or tin compound etherification catalyst a glycidyl ester of a branched aliphatic monocarboxylic acid having from 5 to 15 carbon atoms with a polyhydric aliphatic alcohol containing from 2 to 6 primary hydroxyl groups in such a ratio that the adduct has an epoxy group content of less than 0.2 meq/g and comprises at least one unreacted primary hydroxyl group and reacting the adduct successively with

a) either an aliphatic polycarboxylic acid, or a glycidyl ester or anhydride thereof, and with b) a polyhydric aliphatic alcohol containing from 2 to 6 primary hydroxyl groups, and continuing the reaction until the final product has an epoxy group content of less than 0.07 meq/g.

2. A process as claimed in claim 1 in which the amount of unreacted primary hydroxyl groups remaining in the adduct prepared in the first step is 1 per molecule when reacting a dihydric alcohol, 1 or 2 for a trihydric alcohol, 2 for tetrahydric and 2 or 3 for penta and 3 or 4 for hexa-hydric alcohols.

3. A process as claimed in any one of claims 1 or 2 in which the polyhydric alcohols are each independently dihydric or trihydric.

4. A process as claimed in claim 3 in which the alcohols are trimethylolpropane or neopentylglycol.

5. A process as claimed in any one of claims 1 to 4 in which the polyglycidyl ester is a diglycidyl ester of a dicarboxylic acid.
6. A process as claimed in any one of claims 1 to 5 in which the polycarboxylic acid is hexahydrophthalic acid.

7. A process as claimed in any one of claims 1 to 6 in which the catalyst is stanni-chloride, stanno-chloride, stanno-octoate or a dibutyltindialkanoate, particularly dibutyltindilaurate.

8. A process for preparing a thermosetting resin substantially as hereinbefore described with reference to any one of the examples excluding the comparative examples.

9. A surface coating composition comprising a) a product obtainable with the process as claimed in any one of claims 1 to 8, b) a curing agent and c) an organic solvent.

DATED this TWELFTH day of MARCH 1991
Shell Internationale Research Maatschappij B.V.

Patent Attorneys for the Applicant
SPRUSON & FERGUSON