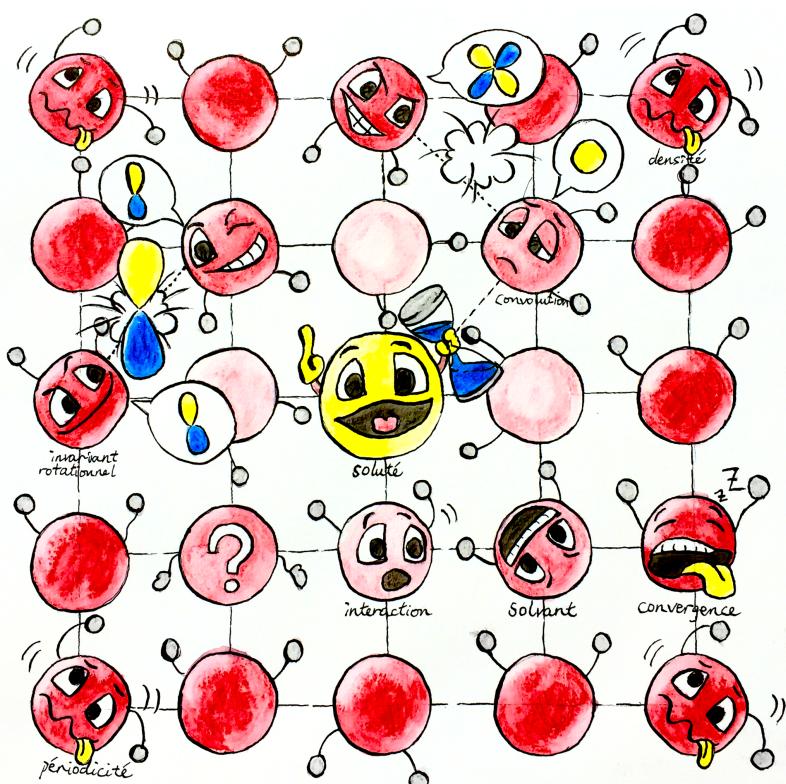


# MOLECULAR DENSITY FUNCTIONAL THEORY UNDER HOMOGENEOUS REFERENCE FLUID APPROXIMATION

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SYSTEMATIC PREDICTION OF SOLVATION PROPERTIES  
WITH MOLECULAR-SCALE LIQUID THEORY



*When you are studying any matter, or considering any philosophy, ask yourself only,  
what are the facts and what is the truth that the facts bear out.  
Never let yourself be diverted either by what you wish to believe, or by what you think  
would have beneficent social effects if it were believed.  
But look only, and solely, at what are the facts.*

— Bertrand Russell

## ACKNOWLEDGEMENTS

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I would love to express my most respectful gratitude to my thesis advisors Daniel Borgis and Luc Belloni, who developed the main theory used in this thesis, and whose great knowledge of liquid theory as well as the genius way of thinking and explaining have given me a solid guide on doing this research. I would also love to thank them for their being engaged in the endless work of correcting this manuscript.

I'm also grateful to Maximilien Levesque, who also belong to this project and joined the supervision of my thesis. Thanks for sharing some results and data that is useful to this thesis.

I wish to acknowledge all the great heads having accepted to evaluate and give ideas about my work: (**noms des jurés**), thank you to be part of the jury of this thesis.

For a master student issue from pure chemistry speciality, a lack of knowledge about informatics brought me a lot of difficulties. I would like to express my sincere gratitude to my colleagues Pierre Kestener, Matthieu Haefele, Yacine Ould-Rouis, and Martial Mancip for huge aide in informatics and very useful advices during this thesis.

This thesis undergoes at *Maison de la Simulation, CEA Saclay*, financially supported by Bourse Idex-CEA. I'm grateful to all the organizations and staffs that gave me the chance to have this three-year experience.

I am also grateful to ... for the help in correcting huge amount of grammar faults in the manuscript.

I'm deeply indebted to my tutors of license and master, Monsieur Hongwei Tan and Madame Michelle Gupta, whose clear logic and warm encouragement gave me all the necessities to be in loved with theoretical chemistry.

Finally I would like to thank my father, who made the right decision to send me here in France and support me in every aspect.



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## LISTINGS

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## NOTATIONS

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$\mathcal{F}[\rho]$	solvation free energy functional
$\mathcal{F}_{\text{exc}}$	excess free energy functional
$\rho(\mathbf{r}, \Omega)$	density of solvent
$\gamma(\mathbf{r}, \Omega)$	gradient of excess free energy functional,

## ACRONYMS

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DCF direct correlation function

DFT discret Fourier transform, also refer to density functional theory

HRF homogeneous reference fluid (approximation)

- IET integral equation theory  
MC Monte Carlo  
MD molecular dynamics  
MDFT molecular density functional theory  
OZ Ornstein-Zernike (equation)  
QM quantum mechanics  
RISM reference interaction site model



# INTRODUCTION

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This thesis details the development of an original numerical toolkit for physical chemists and structural biologists based on the molecular density functional theory (MDFT), which makes it possible to predict the solvation properties of arbitrary molecular objects in arbitrary molecular solvents (mainly water) efficiently and with microscopic accuracy. In this introduction, we will explore the reasoning it explains behind why so much research is done upon the nature of solvation, and where we are in terms of the computing trends in solvation simulations.

## 1.1 SIMULATION OF SOLVENT EFFECTS

Solvation is a fundamental phenomenon in chemistry. The chemical behavior of numerous systems strongly depends on the nature of solvency, including popular issues like metal-organic reacting centers [7, 20], or pharmaceutical etudes [15, 21, 22]. The solvation properties required by scientific studies are highly variable, such as the Gibbs free energy of solvation, solubility, partition coefficient, saturated vapor pressure, pH value, the 3D solvation structure, etc. Overall, the interest in these solvation properties reaches into many domains such as chemistry, biochemistry, pharmaceuticals, medicine, and environmental and agrochemical industries [ref]. Unlike the well-studied quantum mechanics (QM) for chemical interaction and macroscopic finite element model for physical processes, the theories of solvation are quite variable and still under development, owing to the ambiguous compromise between accuracy and computing cost. In a word, the studies in this domain are quite vibrant.

To change a phenomenon to a model, we must first understand its process. Solvation is defined as the process of moving a molecule from the gas phase (or vacuum) to a condensed phase (figure 1.1), which builds a stabilizing interaction with the solute (or solute moiety like protein residues, interfaces, etc.). Such interactions are mostly classical, involving electrostatic and van der Waals forces, with additional more specific chemical effects such as hydrogen bond formation, and quantic effects for some small solvents whose vibrational or rotational energy states are at the same magnitude as  $k_B T$ , etc. [10, 18].

As not all kinds of interactions are important in applications, different models and methods have been developed according to the usage.

For most of the 20th century, the study of solvation effects has been dominated by continuum (implicit) models [4], which depend upon the dielectric constants and are not costly in terms of computation resources. They provide an accurate way to treat the strong, long-range electrostatic interactions which dominate many solvation phenomena, but lack detailed information on the first solvation shell. The latter, which mainly includes the cavity formation energy and solute-solvent van der Waals interactions, is often rudely treated by introducing an artificial form of cavity that links to the form of solute. The methods for testing electrostatic interactions include like generalized Born model, or for better estimates via Poisson-Boltzmann calculations. These are widely integrated within QM simulations of the solvent by adding extra solvation terms onto the Fock or Kohn-Sham operator [16, 24]. However, the improper treatment of the first shell, where the microscopic interactions are primarily located, often introduce potentially huge errors

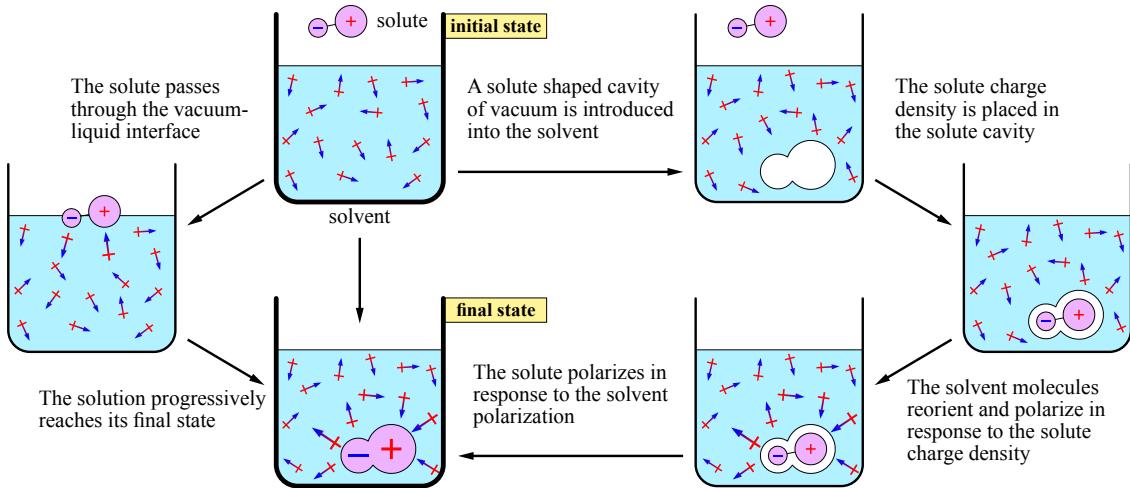


Figure 1.1: The solvation process. A thermodynamic system, whose properties only depend on the initial and final states, can go through different paths. The physical process of solvation (left path) takes the solute from vacuum into bulk solvent, progressively passing through the vacuum-liquid interface. Theoretically, the solvation energy is defined as the energy consumed in such a process. In theoretical studies, the process can be decomposed to some artificial unphysical process (right path), involving the growth of an uncharged solute-sized cavity within the bulk solvent, the transfer of the solute charge distribution from vacuum into cavity, and the interaction between the solute and solvent.

in free energy evaluation, especially for polar solvents (such as water), despite the accuracy that the QM calculation alone can achieve. Therefore, classical molecular simulations, which describe the individual solvent molecules (explicit), particularly the molecular dynamics (MD) and Monte Carlo method (MC), became the alternative solution during the last few decades. They generate trajectories and configurations, then estimate free energy changes by statistical mechanical techniques, such as free energy perturbation (FEP) theory or thermodynamic integration (TI) [17]. These calculations are very demanding on computing cost, due to the need for many (hundreds or thousands) solvent molecules to form a realistic model.

Recently, a third domain of theory to describe solvents based on the statistical mechanics of fluids has been growing rapidly. It is generally called liquid theory, involving mainly the integral equation theory (IET), and the classical density functional theory for liquids. These approaches are capable of giving the molecular nature of the first shell, but without calculating all the instantaneous micro-states with respect to time, which can be integrated over positions and momenta theoretically. Therefore, they are of magnitudes times faster than those simulations done by micro-states.

The integral equation theory (IET) focuses on solving the Ornstein-Zernike (OZ) equation with a specific closure equation [10, 13]. It was firstly limited to so-called “simple liquids” - a system of spherical particles. A part, Chandler and Andersen in 1971 [3] developed the reference interaction site model (RISM), which discretizes the distribution and correlation functions into a site-site set of functions, and solves the OZ equation in a matrix [14]. Another part, Blum [1, 2], Fries and Patey [8] extend the OZ equation to molecular case, where the distribution and correlation functions depend on both position and orientation. In their theory, the orientation part of OZ equation is simplified by expanding the distribution and correlation functions on Wigner generalized spherical harmonics.

The classical density functional theory approach deals with inhomogeneous liquids, and uses the same variation principle and minimization strategy [6, 12, 19] as electronic density functional theory DFT that treats electric interactions and has great success in computational chemistry. It gives the Helmholtz free energy and the equilibrium solvent density by minimizing the free energy functional of the solvent density in the presence of a given external potential. Borgis and collaborators [too many ref] have recently generalized it into molecular case, named molecular density functional theory (MDFT), where the solvent density depends on both position and orientation,  $\rho(\mathbf{r}, \Omega)$ . The main theoretical difficulty lies in the definition of well-founded and reliable functionals of the excess free energy  $\mathcal{F}_{\text{exc}}[\rho]$ , according to the geometric complexity of the solvent molecule. Some recent research has shown that it is capable to describe linear solvents like acetonitrile, but still have found little non-satisfaction with the most complex solvent, i. e. water. MDFT can be proven to be mathematically equivalent to the two-component molecular IET.

The majority of work of all these theories has been focused on water, since it is one of the most difficult systems to model due to its molecular geometry, ineligible multi-body interaction, quantum effect, and hydrogen bonds, etc. The importance of including instantaneous polarization in potential functions is also an issue [5, 23]. However, since polarizable force fields are not yet in common use, the simulations by micro-states and the liquid theory which feed on force fields also have their own limits, compared to the continuum model which can be polarizable. The advantages and disadvantages of each branch of theory are listed in table 1.1.

THEORY	SPEED	LONG-RANGE	FIRST-SHELL	POLARIZABLE SOLVENT
Continuum model	fast	yes	no	fully
Simulation by time	costly	yes	yes	partially, very costly
Liquid theory	fast	yes	yes	partially

Table 1.1: Theories of solvation simulation

This thesis consists of the development of the MDFT, focusing on the generalization and algorithmic acceleration of the excess free energy functional  $\mathcal{F}_{\text{exc}}$  evaluation under homogenous reference fluid (HRF) approximation, which will be discussed in detail in later chapters.

## 1.2 SCOPE OF THIS THESIS

Chapter I reviews a selection of models and methods to the solvent effect. It includes the implicit and explicit models, the basics of liquid theory, as well as its two frontier research domains, IET and MDFT. The code structure of MDFT, which all the development in this thesis is based on, is also presented. There is also a brief introduction to MD and MC, as well as the generation of direct correlation function (DCF) used in this thesis by such methods.

Chapter II presents all the theory developed and newly used in this thesis. Two algorithms of excess energy functional evaluation are proposed. One is an extension of the previous algorithm, while the other is a new algorithm, that combines the molecular OZ equation treatment of angular convolution with MDFT. The output solvation properties are mainly the two: free energy and solvent structure.

Chapter III takes note of all the implementation results, which are divided into two aspects: the “accuracy”, which involves comparisons between algorithms, and with IET

and MD results; and the “efficiency”, which evaluates the computing cost of the code, both in sequential and parallelized versions.

Chapter VI gives some application to ions and molecules.

## Chapter I

# STATE OF THE ART: SOLVATION, MODELS AND METHODS

(Chapter introduction is to clear the motivation and relation between sections.)

This chapter is a summery of all the previous work that this thesis is based on.

In section ??, we begin by introducing the models used in our study, as well as some others of different description scale, by way of comparison to illustrate why we chose our models.

Once the model is chosen, all the theories become mathematical problems. Section ?? reviews some basic concepts of statistical mechanics for liquids (liquid theory), which present the deduction of formalisms from the model of the system, without introducing any artificial terms. The following two sections, section ?? and ?? give two frontier domains of the liquid theory: the integral equation theory (IET), and the molecular density functional theory (MDFT) that this thesis works upon. The clear mathematical equivalence between these two theories is presented in section ??, which gave us the idea to use the expansion technics in IET to serve MDFT.

Finally, a brief introduction of the simulations we used is made in section ???. Depending on micro configuration, this includes molecular dynamics (MD) and Monte Carlo (MC) simulation methods, This is done to explain how the direct correlation functions (DCF) portrayed in this thesis are obtained.



Chapter II

## APPENDIX



# A

## BASIC CONCEPTS ABOUT COMPUTING PERFORMANCE

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In addition to the theory work, the performance of the code being developed is also an important aspect of this thesis. It is essential to have a fast and accurate method. To evaluate a code in a strict and systematic way, some basic concepts of computing performance are listed here.

### a.1 ALGORITHM COMPLEXITY

Algorithm complexity is a crucial criteria for sequential code. A definition is given below.

Let  $f$  and  $g$  be two real (or even complex) functions defined over the natural numbers  $\mathbb{N}$ . We write

$$f = O(g) \quad (\text{A.1})$$

if there is a constant  $c > 0$  such that from certain number  $n > n_0$  we always have  $|f(n)| \leq c|g(n)|$ . The  $O$  is also named as the big-O notation [9], or order of growth. Figure A.1 shows the growth tendency of some frequent functions; from this we can conclude the following:

$$O(1) > O(\log_2 n) > O(n) > O(n \log_2 n) > O(n^2) > O(2^n) > O(n!) \quad (\text{A.2})$$

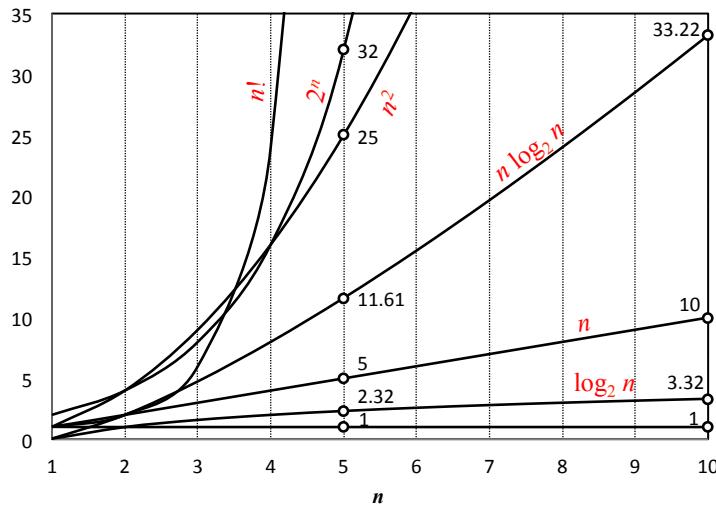


Figure A.1: Function growth

In this thesis, the big-O notation is used to measure algorithm complexity. Other notations can also be used for the same purpose, such as:

- $f = o(g)$  if  $f(n)/g(n) \rightarrow 0$ ,  $n \rightarrow \infty$
- The inverse of big-O notation  $f = \Omega(g)$  if  $g = O(f)$

- The notation  $f = \Theta(g)$  means that both  $f = O(g)$  and  $g = O(f)$  hold, and we can also say they are of the same order.

In a code we always search algorithms with a lower algorithm complexity. Ideally, the implementation of code matches the model and have the same growth tendency as its complexity, but in the practical case, overheads and memory delay can also limit the performance. (part to be modified to adapt implementation results)

## a.2 ROOFLINE MODEL AND MEMORY DELAY

The simplest model aiming to distinguish whether a piece of code is limited by the computing power (CPU) or the memory bandwidth (RAM to Caches) is the roofline model [25] for single loop:

$$P = \min(P_{\max}, I \cdot b_S) \quad (\text{A.3})$$

where

- $P$  is the applicable peak performance of a loop, assuming that data comes from the level 1 cache, of unity GFlop/s.
- $I$  is the computational intensity (“work” per byte transferred) over the slowest data path utilized, of unity Flop/Byte.
- $b_S$  is the applicable peak bandwidth of the slowest data path utilized, of unity GByte/s.

As shown in figure A.2, the overall performance is limited by both the peak performance and the memory bandwidth. The computational intensity  $I$  depends on the code, while the other two terms in eq. (A.3) depend on hardware. The optimal use of resources occurs at the intersection point.

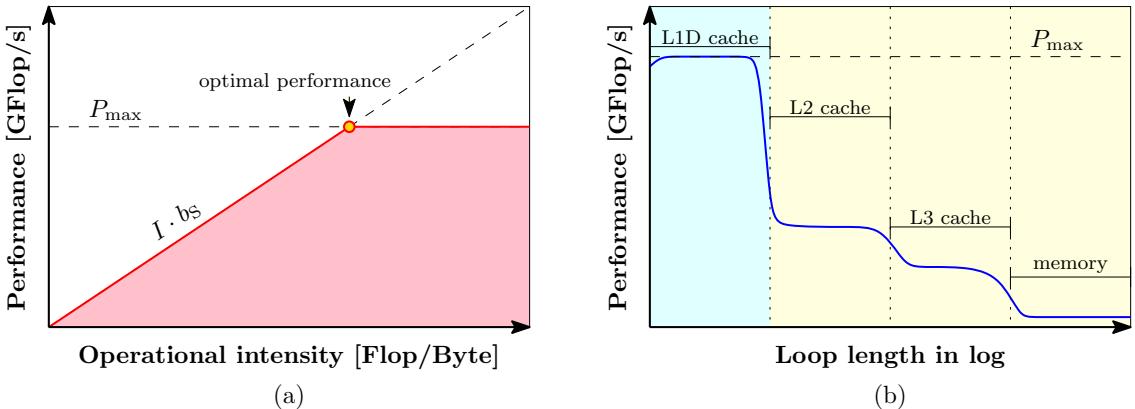


Figure A.2: The roofline model and performance pattern. (a) The roofline model. (b) Performance pattern of a simple loop with respect to the loop length in logarithm. The blue part is limited by operation execution, and the yellow part is limited by memory bottleneck.

The roofline model can give an idea of whether the diminuition of algorithm complexity is the most important optimization strategy, because it only counts the number of operations. In most of cases, avoiding slow data paths is the key to performance optimization.

As shown in figure A.3, the memory hardware has hierarchical architectures. The fastest ones are the registers included in the microprocessor, which are used for temporary storage of data, instructions and addresses required by the arithmetic logic unit (ALU) and the

control unit (CU) in CPU during execution of a program. The lowest is normally the input/output (I/O) process. The reading strategy of data (contiguous or not), as well as the size and initialized location of arrays, both play pivotal roles in the overall computing performance.

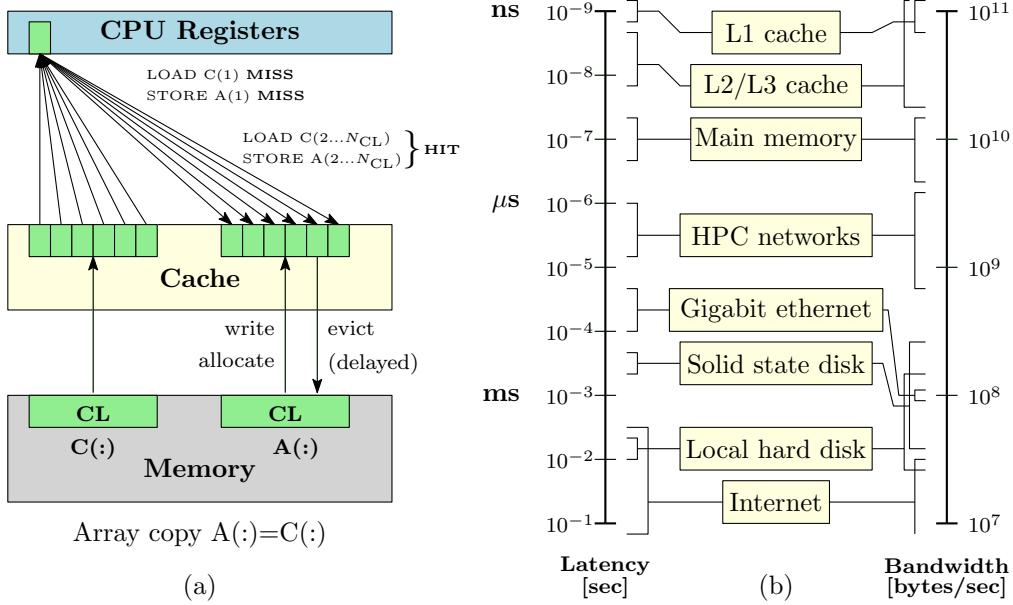


Figure A.3: Memory usage in hardware level [11]. (a) An example of array copy  $A(:)=C(:)$ . Caches are organized in cache lines (CL), only complete cache lines are transferred between memory hierarchy levels (except registers). HIT/MISS: Load or store instruction does/doesn't find the data in a cache level. (b) Computing latency and memory bandwidth vary by magnitude, from the fastest cache transfers to the lowest processes.

### a.3 SCALABILITY OF PARALLELIZED CODE

For parallelized code, scalability is the key issue. Highly scalable codes can take advantage of numerous nodes of HPC centers, so that single core performance no longer matters.

The speed-up is defined as:

$$S(N) = \frac{t(1)}{t(N)} \quad (\text{A.4})$$

And the relative efficiency

$$E(N) = \frac{S(N)}{N} = \frac{t(1)}{Nt(N)} \quad (\text{A.5})$$

$S(N) \sim N$  or  $E(N) \sim 100\%$  means the application scales. By contrast,  $S(N) < N/2$  or  $E(N) < 50\%$  means the application does not scale.

Amdahl's Law gives the theoretical speedup in latency of the execution of a task at fixed workload:

$$S(N) = \frac{1}{\alpha_s + \alpha_p/N} \quad (\text{A.6})$$

where  $\alpha_s$  is the serial fraction and  $\alpha_p$  the parallel fraction of the source code. Therefore the overall computing speed is limited by the unscalable part:

$$\lim_{N \rightarrow \infty} S(N) = \frac{1}{\alpha_s} \quad (\text{A.7})$$

making it the focus we wish to reduce.

## a.4 PROFILING AND TRACING TOOLKITS

There are several types of software and toolkits for performance evaluation. They are of two categories: profiling and tracing. A trace is a collection of events or timestamps. A profile is a collection of timings. Profiling tools are usually more simple and rapid, but for subroutines that are called by a large number of times, the overhead in time measurement is not negligible.

The tool used in this thesis is mainly VTune, where application execution is interrupted every  $\sim 100 \text{ ns}$  and information is stored (call stack, hardware counters, etc.). The execution time overhead is small. (To be detailed.)

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