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Moroz, Pavel; Liyanage, Geethika; Kholmicheva, Natalia N.; Yakunin, Sergii; Rijal, Upendra; Uprety, Prakash; Bastola, Ebin; Mellott, Bryan; Subedi, Kamal; Sun, Liangfeng; Kovalenko, Maksym V.; Zamkov, Mikhail

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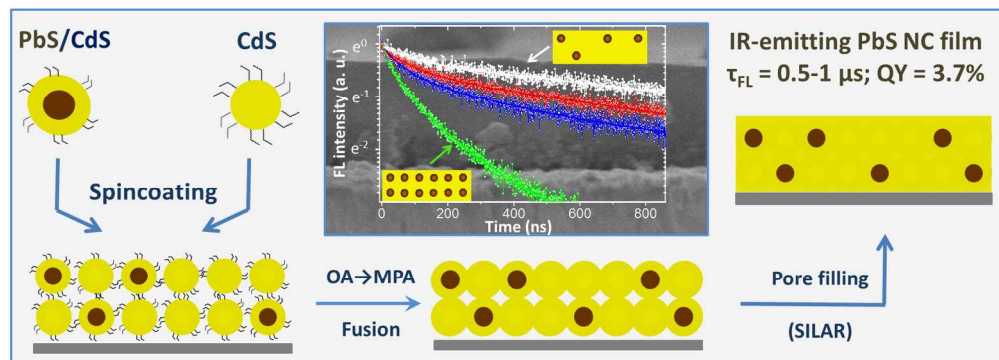
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Infrared Emitting PbS Nanocrystal Solids through Matrix Encapsulation.

*Pavel Moroz^{1,3†}, Geethika Liyanage^{3†}, Natalia N. Kholmicheva^{1,3}, Sergii Yakunin^{4,5}, Upendra Rijal³,
Prakash Uprety³, Ebin Bastola³, Bryan Mellott², Kamal Subedi³, Liangfeng Sun^{1,3}, Maksym V.
Kovalenko^{4,5}, Mikhail Zamkov^{1,3,*}.*

The Center for Photochemical Sciences¹, Department of Chemistry², and Department of Physics³,
Bowling Green State University, Bowling Green, Ohio 43403. Department of Chemistry and Applied
Biosciences⁴, ETH Zürich, Zürich, 8093, Switzerland. EMPA-Swiss Federal Laboratories for Materials
Science and Technology⁵, Dübendorf, 8600, Switzerland.

† These authors contributed equally to this work.

* zamkovm@bgsu.edu

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Abstract. Colloidal semiconductor nanocrystals (NCs) are emerging as promising infrared-emitting materials, which exhibit spectrally-tunable fluorescence, and offer the ease of thin film solution processing. Presently, an important challenge facing the development of nanocrystal infrared emitters concerns the fact that both the emission quantum yield and the stability of colloidal nanoparticles become compromised when nanoparticle solutions are processed into solids. Here, we address this issue by developing an assembly technique that encapsulates infrared-emitting PbS NCs into crystalline CdS matrices, designed to preserve NC emission characteristics upon film processing. An important feature of the reported approach is the heteroepitaxial passivation of nanocrystal surfaces with a CdS

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3 semiconductor, which shields nanoparticles from the external environment leading to a superior thermal
4 and chemical stability. Here, the morphology of these matrices was designed to suppress the non-
5 radiative carrier decay, whereby increasing the exciton lifetime up to 1 μ s, and boosting the emission
6 quantum yield to an unprecedented 3.7% for inorganically encapsulated PbS NC solids.
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14 KEYWORDS. Lead sulfide, colloidal quantum dots, inorganic matrix, time-resolved
15 fluorescence, quantum yield.
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24 Near-infrared light emitting materials operating in the 700-2000 nm spectral range are commonly
25 employed by a wide scope of applications ranging from biomedical imaging to telecommunication
26 technologies. This spectral window is notoriously difficult to access since the emission quantum yield of
27 most organic or inorganic infrared materials is substantially lower than that of visible-range
28 counterparts. In light of this constraint, semiconductor nanocrystals exhibiting bright and tunable
29 infrared fluorescence represents a promising material class for the development of near-IR
30 technologies.¹ Of a particular interest are lead chalcogenide nanoparticles, where the quantum
31 confinement of photoinduced charges enables an emission quantum yield (QY) of up to 50% in
32 solution,²⁻⁴ far above the typical QY range of indirect gap Ge or Si semiconductors.
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46 A significant challenge for optical applications of colloidal NCs concerns their integration into
47 transparent host matrices, which preserve their size-dependent optical properties. Besides enabling
48 bright band gap emission, these matrices should be designed to maintain the monodispersity of
49 embedded nanocrystals, exhibit a good thermal and chemical stability, and possess a high refractive
50 index in order to be pertinent for utilization in waveguide-based applications. The existing matrix
51 encapsulation strategies relying on organic polymer mixes⁵⁻¹⁰ are reasonably successful in converting
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3 nanoparticle solutions into device-compatible films, but suffer from poor thermal stability as well as
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5 polymer/semiconductor phase separation. Both of these issues can be traced back to the existence of
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7 molecular ligands preserved on surfaces of matrix-encapsulated nanocrystals. These molecules tend to
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9 desorb when thermally or electrically stimulated and are known to cause poor nanoparticle miscibility
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11 with the polymer environment. The employment of sol-gel titania matrices¹¹⁻¹³ has helped resolving
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13 some of these difficulties through the use of titania functional groups tethered directly to alcohol-
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15 terminated amine ligands, however, this and other emerging strategies¹⁴⁻¹⁶ still suffered from poor
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17 stability of ligand-terminated NC surfaces. One viable solution to the stability problem was recently
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19 offered by the work of Kovalenko *et al.*² who have employed an encapsulation strategy utilizing metal
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21 chalcogenide complexes (MCC).^{17,18} This methodology relied on sintering of hybrid ligands comprising
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23 MCCs into As₂S₃ amorphous matrices, which gave rise to an all-inorganic film architecture exhibiting
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25 compelling stability and a large refractive index.
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33 Despite recent advances in enhancing the stability of nanocrystal solids,^{2,19-21} the emission
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35 characteristics of these metamaterials require further improvement. In the visible range, the fluorescence
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37 quantum yield (QY) of titania-encapsulated CdSe NCs was reported to undergo a seven-fold drop upon
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39 transferring of nanoparticles into a solid form.¹² Similar trend was observed in the case of infrared
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41 emitting NCs. A spincoated film of PbSe NCs typically exhibits an emission QY of 1-2%,²² which
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43 constitutes a significant reduction from a 50% value observed for these nanoparticles in solution.²³ The
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45 QY of PbS NC solids can be increased to 4-12% through the use of polymer matrices,⁹ however, a brief
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47 exposure of these films to T = 100 C° or above results in a rapid loss of emission. Inorganic films of
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49 infrared nanocrystals are more stable but less emissive. The fluorescence QY of As₂S₃-encapsulated PbS
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51 NC solids, is around 0.1%.²⁴ The addition of a CdS shell prior to capping with MCC ligands results in an
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3 improved QY value, however, sintering of colloidal nanocrystals into a glassy matrix¹ is still
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5 accompanied by the 4.5-time drop in the exciton lifetime.
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10 Amongst the primary non-radiative processes that compete with the radiative decay of matrix-
11 encapsulated NCs, two mechanisms of exciton dissociation that have been previously identified to
12 contribute the most into quenching of the nanoparticle fluorescence.^{25,26} First, dot-to-dot charge transfer
13 can lead to the formation of a “dark” excited state, whereby reducing the probability of the radiative
14 recombination. Likewise, an interparticle energy transfer increases the probability of defect filling due to
15 multiple dot-to-dot transitions, thus contributing to a non-radiative decay. Second, charge trapping on
16 dangling bonds and nanocrystal/matrix interfaces can cause exciton dissociation followed by a non-
17 radiative relaxation of carriers. With respect to the interparticle charge transfer process, the rate of dot-
18 to-dot carrier tunneling was previously shown to have a nearly exponential dependence on the width and
19 the height ($\sqrt{\Delta E}$) of the potential barrier separating adjacent nanocrystals.²⁷ Therefore, the charge
20 transfer pathway of exciton dissociation can be readily suppressed by choosing a wide gap matrix
21 material or by employing a sufficient interparticle separation.
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36 Trapping of excited carriers on surfaces and interfaces of encapsulated nanoparticles, however,
37 represents a more serious problem. In the case of polymer or titania matrices, the surfaces of
38 encapsulated nanocrystals retain original, long-chain organic ligands to help lower the density of surface
39 traps.¹² This strategy, however, suffers from the propensity of ligand molecules to detach from NCs as a
40 result of a thermal or electrical stimulation. The desorption of ligands inevitably compromises the
41 stability of the NC emission in a film, regardless of the stability of the matrix medium. In the case of
42 glassy matrices, hybrid or fully inorganic ligands serve as a surface passivation layer,^{1,28-33} which
43 warrants a compelling thermal stability. The glass sintering step, however, may result in an imperfect
44 surface passivation,³⁴ which could be partly responsible for a low emission yield observed in the case of
45 As₂S₃-encapsulated PbS NC solids. Ideally, well defined stoichiometric relationships should exist
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4 between encapsulated nanoparticles and a matrix medium, which itself should exhibit a high thermal and
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6 chemical stability.
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9 Here, we demonstrate a solution-phase assembly of PbS nanocrystals into inorganic solids exhibiting
10 bright infrared emission and superior thermal stability. The reported methodology takes the advantage of
11 crystalline semiconductor matrices, heteroepitaxially bonded to surfaces of encapsulated PbS
12 nanocrystals. Such passivation strategy promotes a reduced density of surface traps, which is manifested
13 in this work through the observation of a compelling emission quantum yield. The suppressed defect
14 trapping is also apparent through the detection of long exciton lifetimes approaching 1 microsecond for
15 best-performing films. This constitutes a noticeable improvement over NC solids assembled *via*
16 conventional ligand-linking or amorphous-matrix strategies.
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27 **Results and Discussion.**

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30 The matrix encapsulation technique developed in this work builds upon a recently reported
31 semiconductor matrix embedded nanocrystal array (SMENA) approach,^{35,44} which allows for a gap-free
32 inclusion of colloidal NCs into host matrices of wide band gap semiconductors. Typically, nanocrystals
33 are encapsulated using a three-step procedure (see Fig. 1a). First, hot-injection chemistry is used to
34 grow monodisperse PbS NCs, onto which a shell of a lattice-matched semiconductor (CdS) is deposited.
35 The matrix semiconductor is chosen to form a type I band edge alignment with PbS, thus promoting
36 core-localization of both carrier types (Fig. 2a). In the second step, core/shell NCs (PbS/CdS) are
37 spincoated onto a suitable substrate, capped with thermally degradable ligands, and subsequently heated
38 to 140-160 °C to promote the ligand removal (as monitored by FTIR) and to induce merging of
39 respective shells (CdS-CdS) *via* the crystallographic fusion process. In the final step, the pores of the
40 CdS matrix are filled with an additional CdS material through the successive ionic layer adsorption and
41 reaction (SILAR) method.³⁶ This step helps passivating exposed surfaces of the CdS matrix (thus
42 neutralizing carrier traps) and increases an average refractive index (*n*) of the film. The pore filling step
43 also promotes an enhanced stability of the PbS NC array.
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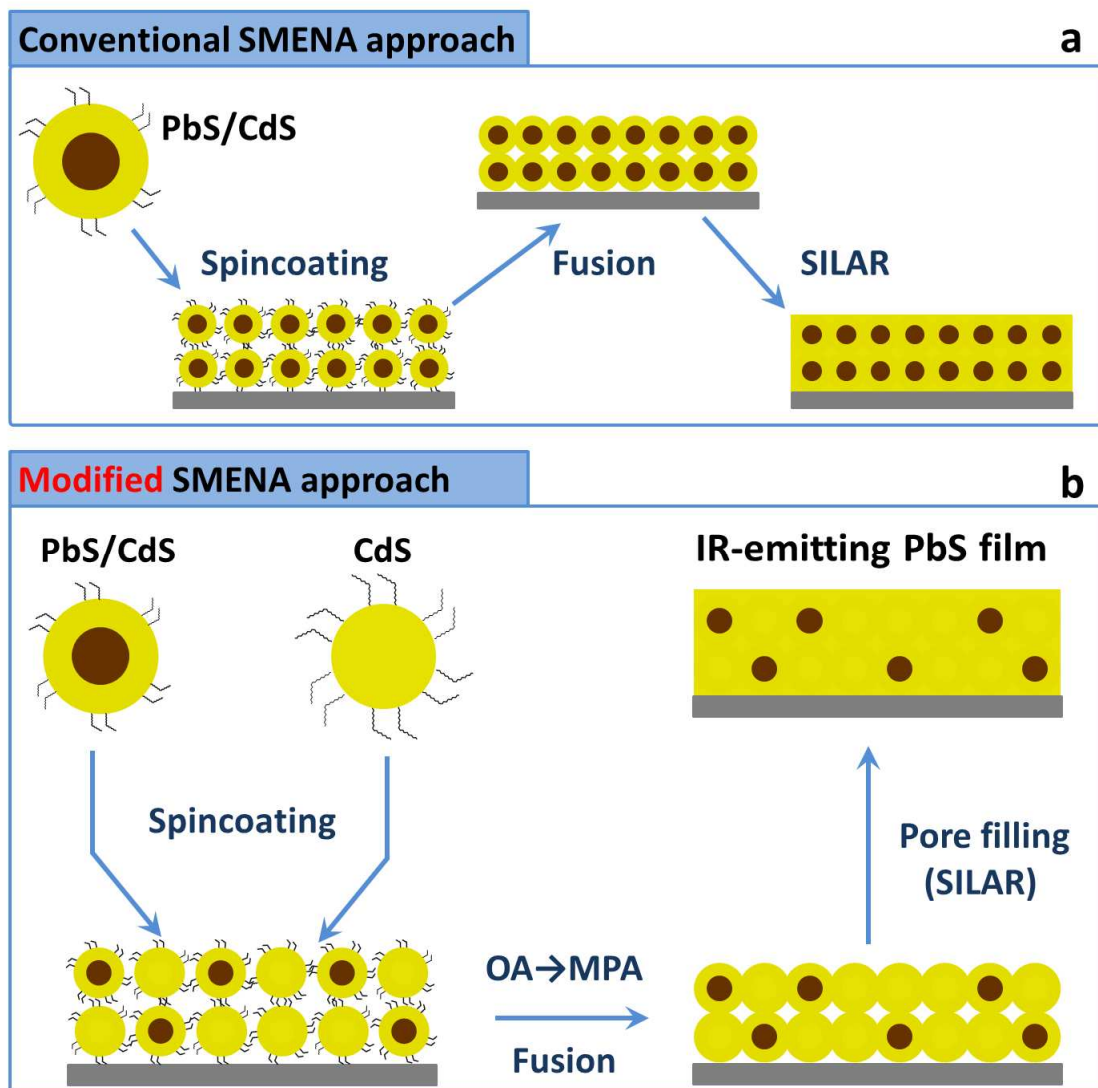


Figure 1. (a). Illustration of the key steps involved in the development of conventional Semiconductor Matrix-Encapsulated Nanocrystal Arrays (SMENA). These stages include colloidal synthesis of PbS/CdS core/shell NCs (step 1), spincoating or dip-coating of NC films (step 2), exchange of bulky ligands with thermally degradable MPA molecules, crystallographic fusion of core/shell NCs performed using a layer-by-layer deposition (steps 3), and in-filling the pores of the resulting matrix

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4 with additional CdS (step 4). (b). In a modified SMENA approach, PbS/CdS NCs are mixed with CdS-
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6 only NCs (of a similar diameter) in the first step.
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12 To enhance the radiative portion of the excited state decay in matrix-encapsulated nanocrystals, the
13 localization of photoinduced charges should be increased. In a conventional SMENA approach,³⁴ this
14 goal is achieved by augmenting the thickness of the shell, ΔH , in core/shell precursor NCs, which
15 determines the ultimate value of the minimal edge-to-edge distance between PbS domains in the film
16 ($R_{\text{edge}} = 2 \times \Delta H$). Indeed, larger R_{edge} results in the suppression of the interparticle charge and energy
17 transfer processes, leading to enhanced probability of the radiative recombination. This situation is
18 illustrated in Fig. 2b, showing the relationship between the interparticle charge transfer rate and the R_{edge}
19 distance in the film. It is assumed that the charge tunneling rate has a single exponential dependence on
20 the width of the potential barrier separating neighboring nanocrystals. According to Wentzel–Kramers–
21 Brillouin (WKB) approximation, this rate is proportional to $\Gamma \sim \exp(-2(2m\Delta E/\hbar^2)R_{\text{edge}})$, where ΔE is
22 the height of the potential barrier between electron or hole states in adjacent NCs. The regime of strong
23 charge localization is achieved when the coupling energy $\beta = \hbar\omega\Gamma$ drops below kT , known as Mott
24 insulator regime. Since the carrier localization is more pronounced in dots with a larger core size (Fig.
25 2a), the characteristic R_{edge} distance at which such transition occurs diminishes with the growing
26 diameter of the PbS domain. This trend is clearly seen in Fig. 2b through the comparison of the inter-dot
27 coupling energy for the cases of 4-nm and 6-nm diameter PbS NCs embedded into CdS matrices. For
28 example, the value of R_{edge} associated with the insulator transition in 4-nm-PbS/CdS solids is about 2
29 times greater than that of 6-nm-PbS/CdS. We note that while x-axis in Fig. 2b is given only in relative
30 units of scale, it preserves the correct lengths ratio corresponding to insulator transitions between
31 different dot diameters.
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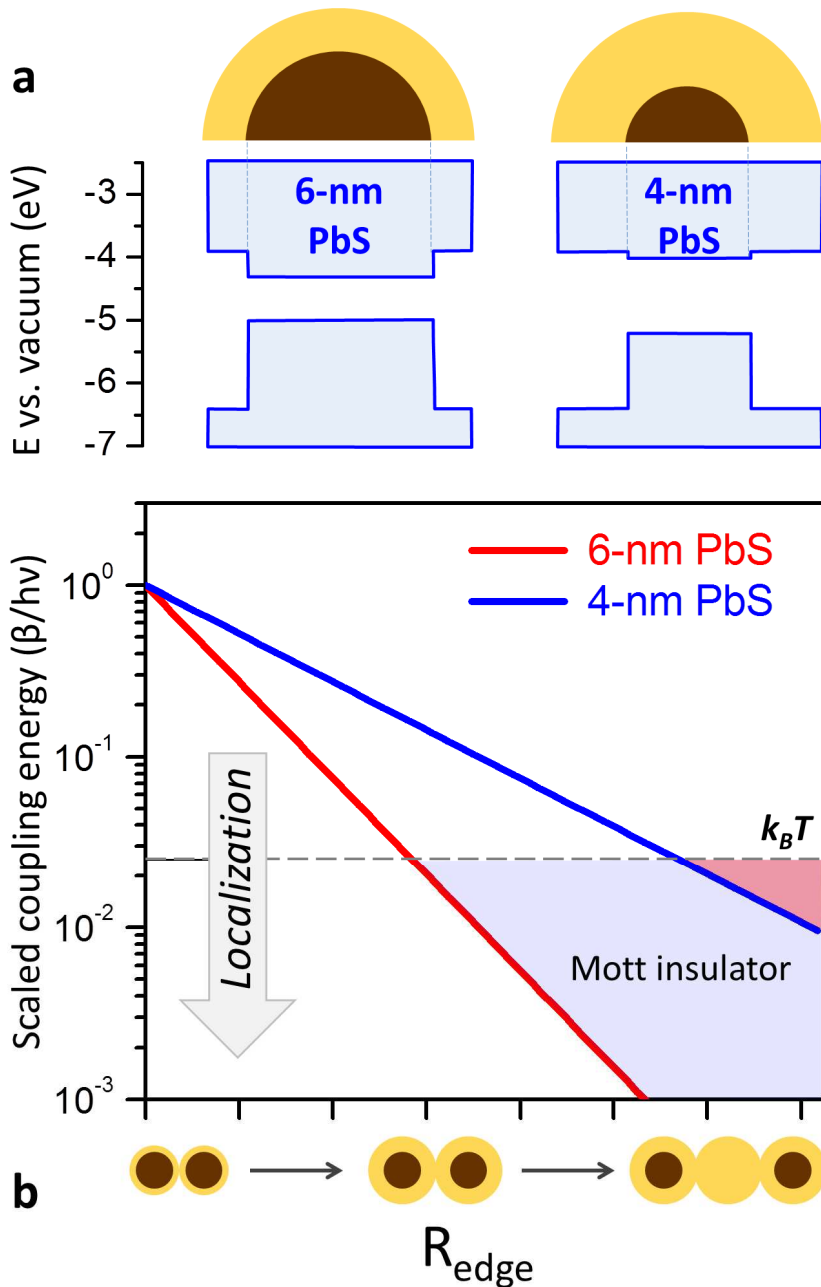
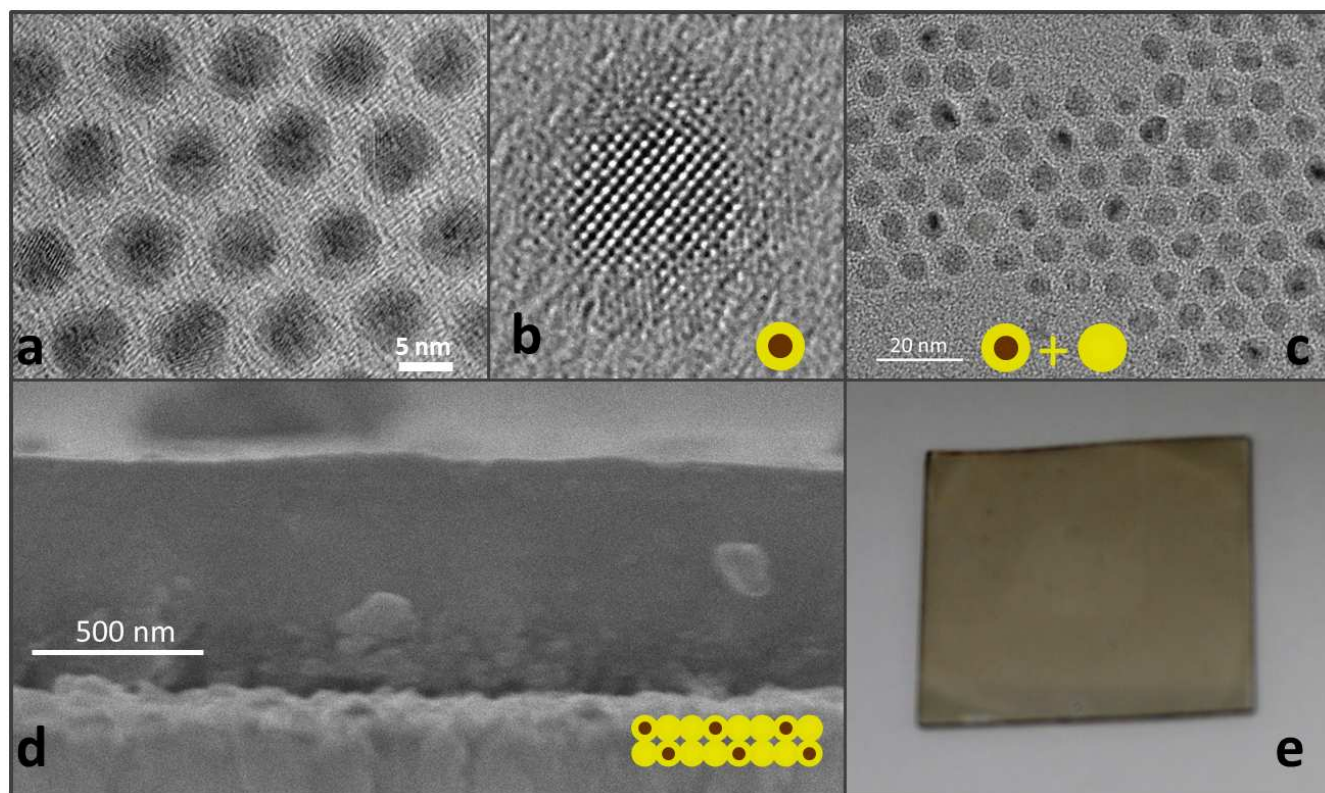


Figure 2. (a). Energy diagram showing a relative alignment of conduction and valence band edges in 4.0-nm PbS/CdS and 6.0-nm PbS/CdS core/shell nanocrystals. (b). WKB tunneling approximation of the coupling energy dependence on the interparticle distance (R_{edge}) for the two material systems shown in (a). The colored areas indicate the regime of strongly localized charges.

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3 According to Fig. 2b, achieving a strong localization of photoinduced charges in small-diameter PbS
4 NCs requires growing a thick CdS shell needed to compensate for a shallow potential barrier to electrons
5 in PbS (see Fig. 2a). A possible drawback of this strategy is the propensity of thicker shells to cause an
6 excessive interfacial strain, which typically relaxes through the formation of defects, whereby
7 introducing additional non-radiative decay channels.³⁷⁻³⁹ Alternatively, the width of the potential barrier
8 separating adjacent PbS NCs could be increased by replacing a portion of PbS NCs with CdS dots of the
9 same diameter, as illustrated in Fig. 1b. Such strategy would result in a sufficient interparticle separation
10 needed for a strong carrier localization without the need for an additional shell growth. Within this
11 approach, the balance between the filling factor (ff) and the emission quantum yield of embedded PbS
12 NCs can be controlled by varying the ratio of PbS/CdS to CdS nanoparticle precursors in the mixture.
13 For instance, increasing the volume fraction of PbS NCs embedded into CdS matrices leads to the
14 reduction of an average R_{edge} distance between neighboring PbS domains. This results in the
15 enhancement of the filling factor and a concurrent drop in fluorescence (FL) quantum yield due to an
16 incomplete localization of excited carriers in electrically coupled PbS cores. Conversely, a low volume
17 fraction of PbS NCs should promote a greater emission QY due to an enhanced carrier localization but
18 would lead to a relatively low filling factor.

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43 To explore the effect of the interparticle separation, R_{edge} , on the PbS exciton decay, we have
44 fabricated two sets of nanoparticle solids representing two different strategies for tuning the value of
45 R_{edge} . In the first approach, the R_{edge} distance was controlled through a conventional SMENA technique,
46 by adjusting the thickness of the CdS shell in PbS/CdS core/shell nanocrystal precursors. For the second
47 set of films, we have used a modified-SMENA strategy wherein the value of R_{edge} was adjusted by
48 introducing a tunable fraction of CdS nanoparticles. Core/shell PbS/CdS NCs used in both sets of
49 experiments were fabricated using a cation exchange approach.² This method benefits from a precise
50 control of the shell thickness, a parameter, which determines the ultimate value of R_{edge} in both film
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4 architectures. A characteristic TEM image of core/shell PbS/CdS NCs featuring a 2.7-nm PbS core
5 capped with a 1.3-nm CdS shell is shown in Fig. 3a and 3b. A uniform placement of the CdS shell
6 around the PbS core is evident in high resolution TEM images of PbS/CdS NCs (Fig. 3b and Fig. SF6).
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39 **Figure 3.** (a,b). High resolution TEM images of 2.7-nm PbS nanocrystals coated with a 1.3-nm
40 CdS shell. (c). The mixture of PbS/CdS NCs and 5.0-nm CdS NCs prior to the deposition on a glass
41 substrate. Scanning electron microscope (d) and photo (e) images of a CdS-encapsulated PbS NC film.
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46 The fluorescence (FL) lifetime of PbS nanocrystal solids assembled using a conventional SMENA
47 strategy (Fig. 4a) increases with the growing interparticle separation in the film, which is consistent with
48 a diminishing probability of exciton dissociation through charge and energy transfer processes. It was
49 previously shown that the characteristic timescale for such interparticle transfer is given by the fast
50 component of the FL intensity decay, as illustrated in Fig SF1, while the slow component represents
51 charge trapping on surfaces of unpassivated CdS matrices.⁴⁰ The fast exponent of the film emission is
52 therefore limited to charge and energy transfer processes that result in non-emissive states. Notably, the
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two transfer mechanisms have distinctly different R_{edge} dependences. According to WKB approximation, the rate of charge tunneling between resonant states decays exponentially with R_{edge} , while the rate of energy transfer diminishes as R_{edge}^6 in accordance with the nonradiative dipole–dipole coupling approximation (Förster resonance energy transfer).⁴¹ The comparison of experimentally measured $\tau_{\text{fast}}^{\text{FL}}$ with the WKB ($\sim e^{\alpha R_{\text{edge}}}$) and FRET ($\sim r^6$) model curves in Fig. 4b reveals that charge transfer is a more likely mechanism to contribute into exciton dissociation. Indeed, the observed transfer times exhibit a nearly single-exponential dependence on R_{edge} , which is characteristic of a charge tunneling process, and not the energy transfer, which is strongly affected by small changes in R_{edge} . This suggests that the charge transfer between adjacent dots in the matrix is the primary mechanism responsible for the formation of non-emissive states.

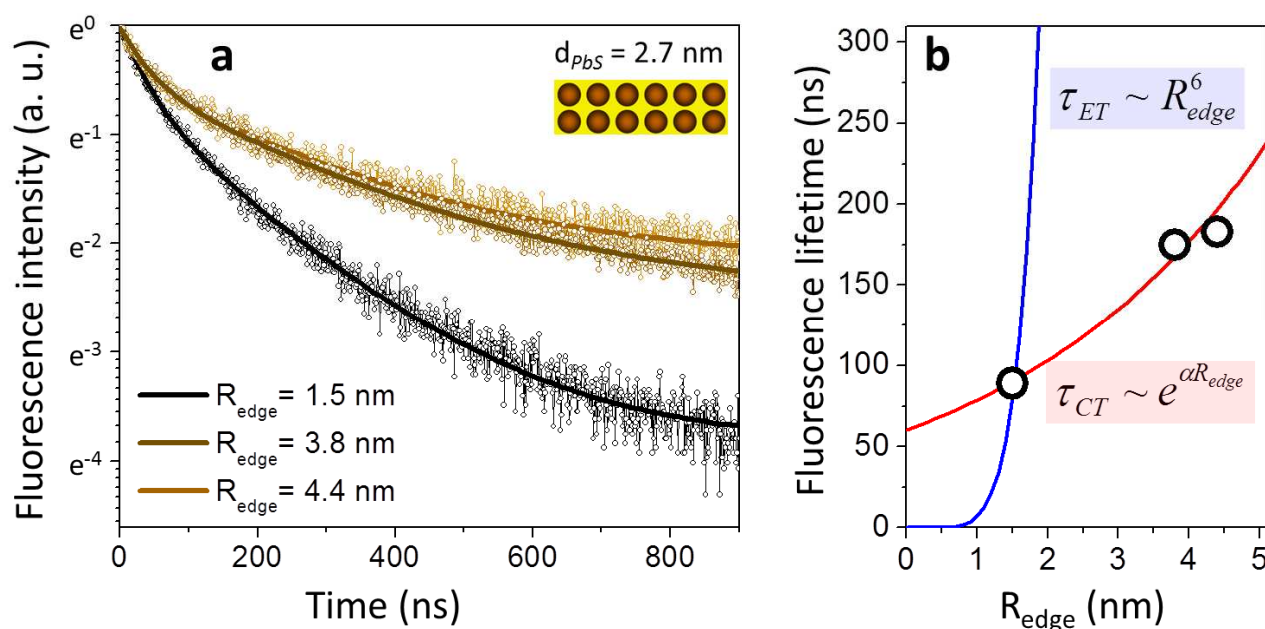


Figure 4. (a). Fluorescence intensity decay of conventional SMENA films representing different R_{edge} values. (b). Measured exciton lifetimes for CdS-encapsulated PbS NCs and their fitting by a model according to WKB (charge transfer) and dipole–dipole coupling (energy transfer) approximations.

In the case of a conventional SMENA approach, the fluorescence lifetime of matrix-encapsulated nanocrystals did not exceed $\tau = 190$ ns, which is far below the 2.8 microsecond lifetime observed for the

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4 same nanocrystals in solution (see Fig. SF2). Even with further increases in the shell thickness beyond
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6 3-4 monolayers, the emission lifetime remained roughly the same. Taking into account a significant
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8 suppression of the interparticle charge transfer for such large values of R_{edge} , the short lifetime has been
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10 tentatively attributed to a continuous build-up of the interfacial strain, manifested by the growing ratio of
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12 the trap state to band gap emission (see Fig. SF3).³³ Decay of trapped carriers creates a broad band
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14 emission, which overlaps with the PbS FL peak. Subsequently, despite an enhanced exciton localization
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16 in solids featuring large interparticle distances, strong emission within a narrow spectral band cannot be
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18 reached through a conventional SMENA architecture. On the contrary, the modified SMENA approach
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20 allows enhancing the interparticle separation without the need for an epitaxial growth of large shells. By
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22 including CdS nanoparticles within PbS/CdS matrices, we aim to facilitate the suppression of charge and
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24 energy transfer between adjacent PbS nanoparticles, while preventing the formation of rate-limiting
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26 defects.

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29 To explore optical properties of modified-SMENA solids comprising a mixture of CdS and PbS/CdS
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31 NC precursors, we have fabricated several films featuring an increasing fraction of CdS to PbS
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33 nanoparticles. The volume fraction of PbS NCs in these solids was calculated based on the known ratio
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35 of PbS to CdS particle absorbance. Namely, when CdS and PbS/CdS core/shell colloids are fused into a
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37 film, the average interparticle distance, R_{edge} , becomes greater than twice the thickness of the CdS shell
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39 as the distance between the PbS dots is now enhanced by the presence of interstitial CdS domains. To
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41 determine the relationship between molar concentrations of both nanoparticle types and the partial
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43 number density of these nanocrystals in a mixture, precursor solutions of mixed nanoparticles were
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45 deposited onto a TEM grid and analyzed. According to Fig. 5e, the ratio of each nanoparticle type
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47 (PbS/CdS core/shell versus CdS dot) can be easily obtained by identifying the corresponding
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49 populations of each dot in the TEM specimen. The core/shell nanocrystals can be differentiated by their
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51 larger radii and darker shading, as indicated by arrows in a characteristic TEM image (Fig. 5e), featuring
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53 4.3-nm CdS and 5.2-nm PbS/CdS NCs. Since the initial concentrations of each colloid prior to TEM
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55 sampling were known, the number density of each nanocrystal type in a film can be estimated. The ratio
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of CdS to PbS/CdS dots in the film is then used to estimate the PbS volume fraction, v_{PbS} , according to the following equation (see Supporting Information for details of calculation):

$$v_{PbS} = \frac{(n+1)^2 \times \frac{4}{3} \pi R_{core}^3}{(nD_C + D_{P/C})^3} \quad (1)$$

where $n = N_{PbS}/N_{CdS}$, and R_{core} is the average radius of the PbS core domain in PbS/CdS core/shell NCs.

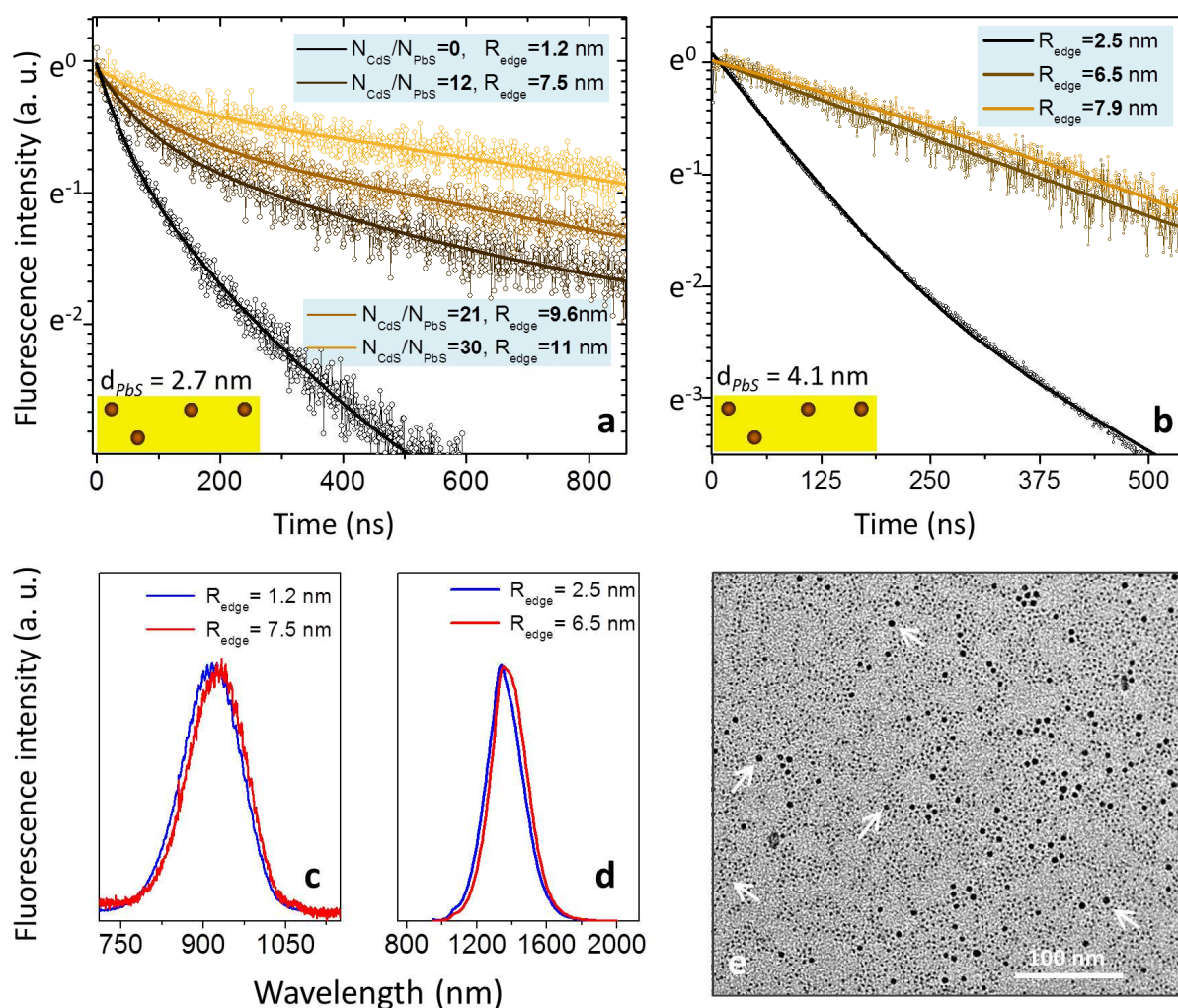


Figure 5. Fluorescence intensity decay of near-IR emitting PbS NCs (a) $d_{PbS} = 2.7$ nm and (b) $d_{PbS} = 4.1$ nm encapsulated into CdS matrices as a function of increasing N_{CdS}/N_{PbS} “precursor nanoparticle” fraction. (c). Steady-state emission of modified-SMENA films ($d_{PbS} = 2.7$ nm) featuring $N_{CdS}/N_{PbS} = 0$ (blue curve) and $N_{CdS}/N_{PbS} = 12$ (red curve). (d). Steady-state emission of modified-SMENA films ($d_{PbS} =$

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4 4.1 nm) representing $N_{CdS}/N_{PbS}=0$ (blue curve) and $N_{CdS}/N_{PbS}=4$ (red curve). (e). A characteristic TEM
5 image of 4.3-nm CdS and 6.0-nm PbS/CdS NC mixture. Arrows mark the location of PbS/CdS
6 core/shell structures.
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14 Figure 5a shows the FL intensity decay of mixed CdS ($d_{CdS} = 4.3$ nm) and CdS/PbS ($d_{PbS} = 2.7$ nm)
15 NC solids fabricated using a modified SMENA approach. As expected from WKB approximation, the
16 FL lifetime increases with growing R_{edge} , reflecting a simultaneous decrease in the cumulative rate of
17 interparticle transfer processes. The fastest decay in Fig. 5a ($R_{edge} = 1.2$ nm) corresponds to a solid
18 containing no CdS NCs (conventional SMENA). A relatively thin CdS shell ($\Delta H \approx 1$ nm) used in this
19 case enabled only a partial localization of charges, leading to a charge transfer-limited lifetime of about
20 95 ns. The addition of CdS NCs to PbS/CdS precursor nanoparticles increases the interparticle
21 separation from 1.2 to 11 nm (Fig. 5a), bringing the maximum R_{edge} to more than twice the value
22 accessible through a conventional SMENA approach. The enhanced interparticle separation results in a
23 stronger localization of photoinduced charges (as illustrated in Fig. 2b), which causes the FL lifetime to
24 increase (Fig 5a). A particularly interesting trend was observed for large values of R_{edge} . For these
25 matrices, the lifetime of PbS excitons climbed to an unprecedented 0.98 μ s (determined by a 1/e
26 intensity drop), which constitutes a four-fold increase over best-performing NC emitters fabricated
27 through a conventional SMENA approach. We note that the exciton lifetime for these nanocrystals in
28 solution is 2.8 μ s (Fig. SF2), which implies that a substantial fraction of excitations recombine
29 radiatively, setting the upper limit of the FL QY to nearly $100 \cdot \tau_{FL} / \tau_{radiative} = 10\%$ (although absolute
30 QY was not measured for these samples). Likewise, the observed exciton lifetime was found to be
31 enhanced relative to those of previously reported PbS NC film architectures utilizing hybrid molecular
32 ligands.² This phenomenon can be tentatively attributed to a suppressed non-radiative decay in matrix-
33 passivated nanocrystals. The saturation of the fluorescence lifetime in modified-SMENA films emitting
34 at $\lambda \approx 1300$ nm occurs faster than in small-diameter PbS NC films (see Fig. 5b), with the longest lifetime
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4 of $\tau = 480$ ns. An enhanced lifetime of band gap excitons in mixed PbS NC films is consistent with the
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6 reduced volume fraction of PbS NCs in comparison with conventional SMENA solids. Finally,
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8 according to Figs. 5c,d, the increase in R_{edge} value gives rise to a < 20 nm redshift of the emission peak,
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10 as expected due to the delocalization of the electronic wave functions into the CdS matrix.

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13 An absolute value of the emission quantum yield was determined for films comprising large-
14 diameter PbS NCs ($\lambda_{\text{FL}} \approx 1300$ nm). We note that these films did not yield the best exciton lifetime,
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16 however, were more compatible with the experimental setup in use. The detection methodology was
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18 adapted from the one described in Ref. 45, and was designed to eliminate the use of a reference dye and
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20 to provide the possibility for simultaneous measurement at excitation wavelength of absorbance, which
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22 is corrected to reflectance and scattering losses at integrating sphere. According to these measurements
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24 (summarized in Table ST1), the highest value of the emission quantum yield of QY=3.7% was realized
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26 for solids featuring R_{edge} of 7.9 nm. To the best of our knowledge, this value represents the highest
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28 reported emission QY for inorganic nanocrystal films emitting in the infrared range. The difference
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30 between the observed QY value in a solid and a typical QY range for these nanoparticles in solution (10-
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32 30%) is attributed to the onset on non-radiative decay pathways (trapping and charge transfer) upon the
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34 transfer of colloidal nanoparticles onto a substrate.

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40 Another relevant property of modified SMENA films that merits discussion is the linewidth of the
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42 emission peak. Application of luminescent films in light-emitting technologies often benefits from a
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44 spectrally narrow emission profile. Our estimates show that the peak width of modified-SMENA films
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46 (FWHM = 165 nm, @ $\lambda = 970$ nm) increases compared to that of OA-capped PbS NC in solution
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48 (FWHM = 120 nm, @ $\lambda = 950$ nm). However, the fusion of core/shell NCs into a solid doesn't not
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50 seem to contribute much to broadening of the emission profile, as OA-capped PbS/CdS NCs in solution
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52 exhibit FWHM of 160 nm. Indeed, the primary enhancement of the peak width occurs as a result of the
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54 shell growth, an important step, which also results in the improvement of the FL QY.
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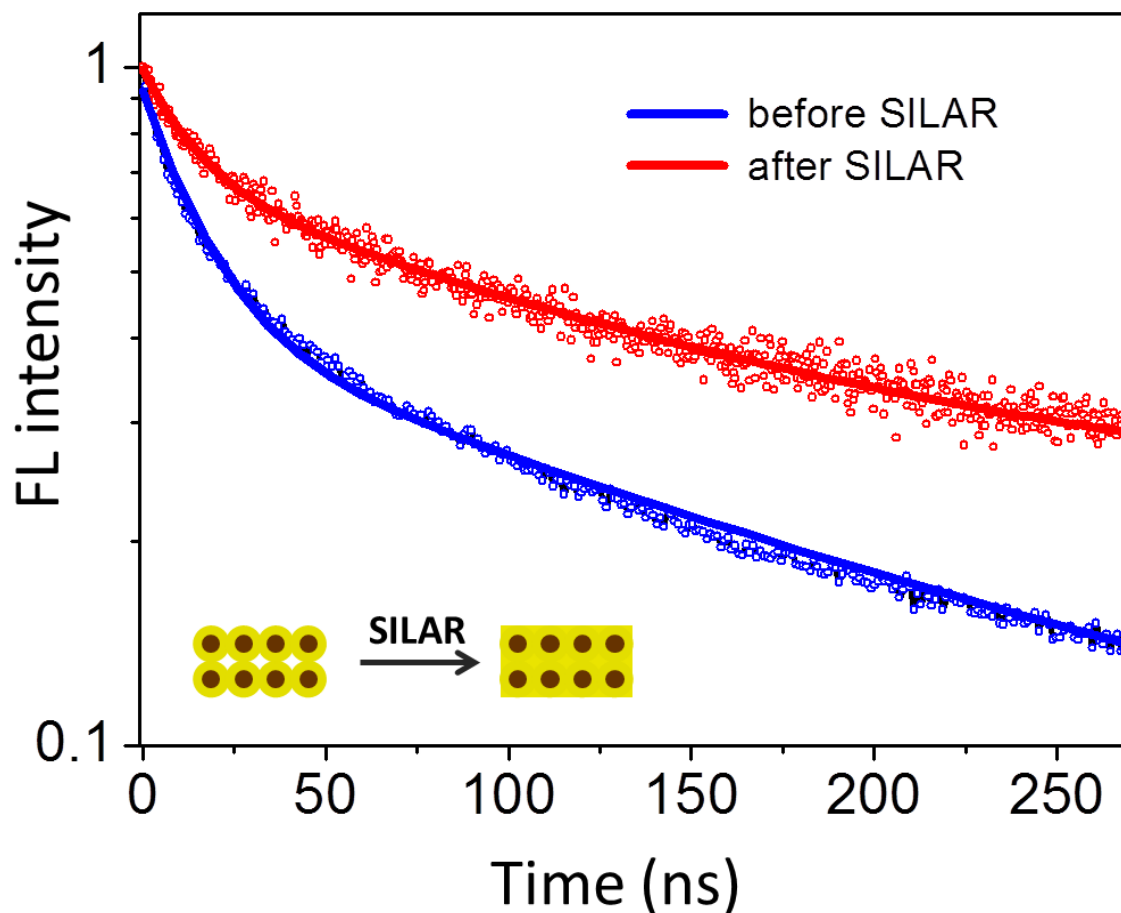


Figure 6. Suppression of charge trapping on the surface of PbS/CdS SMENA films ($R_{\text{edge}} = 1.5$ nm, $d_{\text{PbS}} = 2.7$ nm) by additional SILAR passivation. The red curve represents an increased exciton lifetime following the SILAR treatment.

In order to reduce the density of dangling bonds in nanocrystal matrices, interparticle gaps between fused core/shell structures were partly filled with additional CdS. To this end, several SILAR cycles were applied resulting in a deposition of 3-4 CdS monolayers. Previous works have shown³⁴ that such treatment increases the refractive index of the nanocrystal film through partial filling of void areas. According to Fig. 6, application of 6 SILAR cycles to a CdS-encapsulated PbS NC film featuring R_{edge} of 1.5 nm results in a 55% increase in the FL lifetime. In particular, the slower component of the FL

intensity decay, which is associated with charge trapping has increased from $\tau_{FL, slow} = 90$ to $\tau_{FL, slow} = 150$ ns, reflecting the reduction in the rate of carrier trapping.

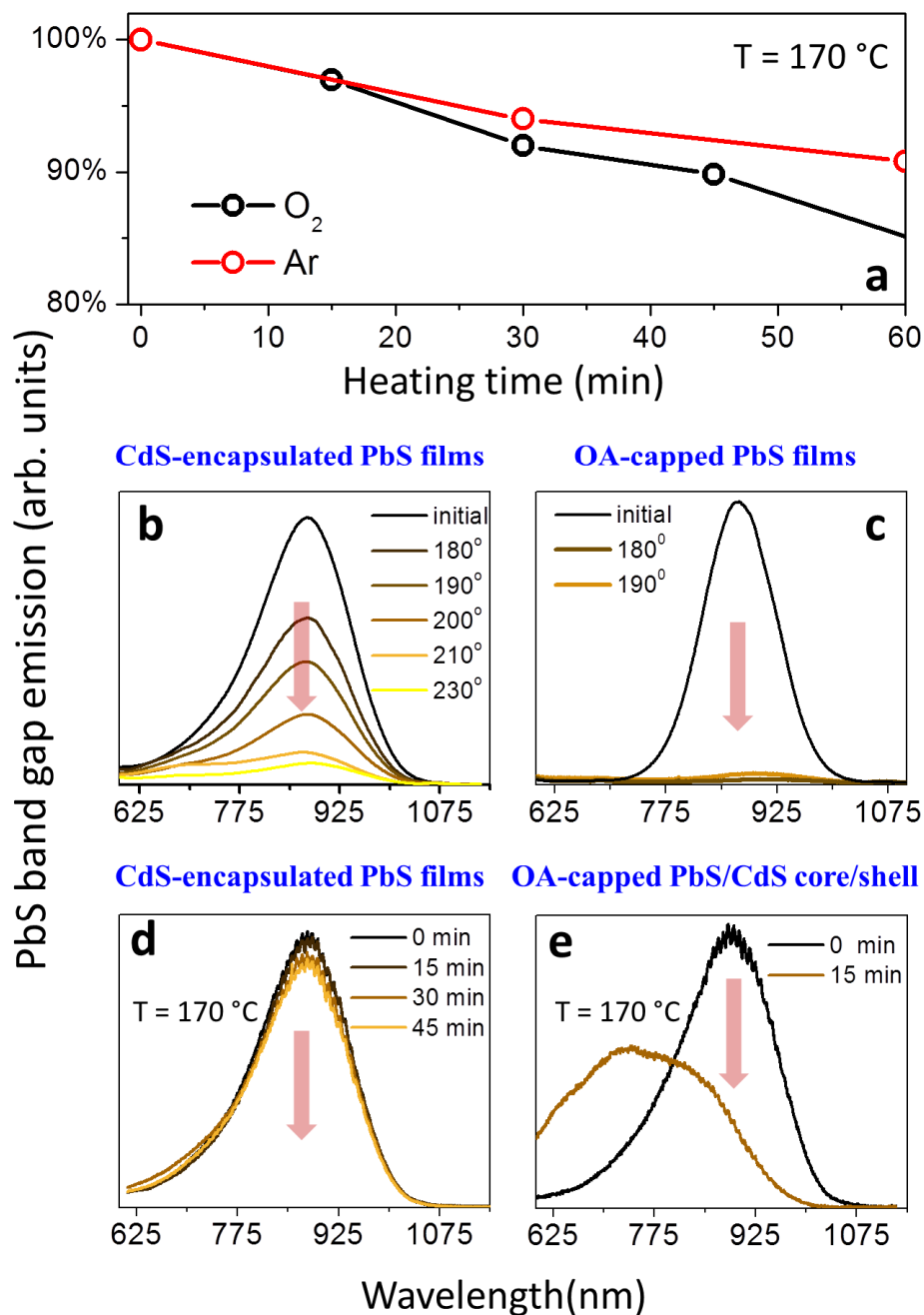


Figure 7. (a). Temporal evolution of the band-edge emission peak area for CdS-encapsulated PbS NC arrays ($R_{edge} \approx 2.8$ nm) fabricated using a modified-SMENA approach. (b,c). Comparison of the

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3 thermal stability of OA-capped (c) and CdS-encapsulated (b) PbS NC arrays, fabricated using a
4 modified-SMENA approach. (d,e). Temporal evolution of the emission peak for films exposed to
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6 T=170 °C in air. The comparison is drawn between CdS-encapsulated PbS NC arrays (d) and OA-
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8 capped PbS/CdS core/shell NCs on a substrate (e).
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18 Improving the thermal stability of NC solids is important for their deployment in light-emitting
19 devices, as many of those applications are subject to the generation of heat. In the present approach, the
20 presence of heteroepitaxial bonding between NC surfaces and the matrix semiconductor is expected to
21 prevent low-temperature oxidation, deferring the thermal degradation of NCs to occur only at higher
22 temperatures *via* the phase transition of the lattice. Here, we test this hypothesis by comparing thermal
23 stability of modified-SMENA films ($R_{\text{edge}} = 2.8$ nm, SILAR treated) with that of oleic acid (OA)-capped
24 PbS NC films. To this end, the intensity of band edge emission in both solids was plotted versus the
25 substrate temperature. According to Figs. 7b,c, heating of matrix-encapsulated (b) and OA-passivated
26 (c) PbS NCs in air results in a gradual drop of the emission intensity, which was taken as a sintering
27 temperature of PbS. In the case of CdS-encapsulated PbS NCs, sintering occurred at $T \approx 200$ °C, which
28 is 90-100 °C above that of OA-capped PbS NC solids. Interestingly, the thermal stability of modified-
29 SMENA PbS solids does not arise merely from the presence of the CdS shell on PbS surfaces.
30 According to Figs. 7d,e, oleic acid-capped PbS/CdS NCs ($\Delta H_{\text{CdS}} = 1.2$ nm) placed on a hot substrate
31 undergo a much faster degradation of the band gap emission than modified SMENA films fabricated
32 from the same core/shell nanoparticles. This result strongly suggests that the crystallographic fusion of
33 core/shell precursors into a solid is essential for enhancing the stability of encapsulated PbS NCs. In the
34 final stability test, we have looked into the temporal degradation of the film versus time by recording the
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3 changes in the emission intensity after the heat was applied to the substrate. The two curves in Fig. 7a,
4 illustrate the reduction in the emission intensity of matrix-encapsulated PbS NCs for films kept in argon
5 (red) and air (blue). A slightly faster decay of the latter curve suggests that oxidation is partly
6 responsible for the loss of emission at elevated temperatures. These experiments demonstrate an
7 enhanced heat resistance of matrix-encapsulated PbS SMENA solids as compared to organic-interlinked
8 nanoparticle films.
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19 **Conclusions.**

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22 In conclusion, a novel strategy for processing of PbS nanocrystal solids exhibiting bright infrared
23 emission is demonstrated. The reported methodology benefits from the use of inorganic CdS host
24 matrices to provide a stable passivation of nanoparticle surfaces while preserving some degree of
25 quantum confinement. The morphology of encapsulating matrices was judiciously optimized to induce
26 the suppression of non-radiative decay processes associated with surface carrier trapping and
27 interparticle charge transfer. This allowed extending exciton lifetimes up to 1 microsecond, which
28 constitutes at least a two-fold enhancement over ligand-based passivation strategy. The suppressed
29 carrier trapping has given rise to a high emission quantum yield of $QY_{\text{solid}} = 3.7\%$ in the infrared range,
30 while inorganic matrix medium warranted a superior thermal and chemical stability of fabricated
31 nanocrystal solids.
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46 **Experimental Section.**

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49 **Materials.** 1-octadecene (ODE, 90% Aldrich), oleic acid (OA, 90% Aldrich), lead(II) oxide powder
50 (PbO, 99.999% Aldrich), cadmium oxide (CdO, 99.99%, Aldrich), sodium sulfide nonanhydrate
51 ($\text{Na}_2\text{S}\cdot 9\text{H}_2\text{O}$, 98% Alfa Aesar), sulfur (S, 99.999% Acros), ethanol (anhydrous, 95% Aldrich), methanol
52 (anhydrous, 99.8% Aldrich), toluene (anhydrous, 99.8% Aldrich), isopropanol (anhydrous, 99.8%
53 Acros), octane (anhydrous, 99% Aldrich), hexane (anhydrous, 95% Aldrich), 3-mercaptopropionic acid
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(3-MPA, 99% Alfa Aesar), bis(trimethylsilyl) sulfide (TMS_2 , Aldrich, synthetic grade), chloroform (anhydrous, 99%, Aldrich), cadmium acetate dihydrate ($(\text{CH}_3\text{COO})_2\text{Cd}\cdot 2\text{H}_2\text{O}$, 98%, Acros), zinc acetate (98+% Acros), acetone (anhydrous, Amresco, ACS grade) were used as received without any further purification. All reactions were performed under argon atmosphere using the standard Schlenk technique. Glass substrates (Corning Microscope Slides, 0.96-1.06 mm, 0215 Glass) were obtained from Corning Inc.

Methods.

Fabrication of PbS nanocrystals. PbS NCs were fabricated according to a procedure adapted from Hines *et al.*⁴² In a typical synthesis, a mixture of 0.49 g (2mmol) PbO in 18 mL of ODE and 1-16 mL of OA (increasing the amount of OA results in larger NCs) was degassed in a three-neck flask at 120°C for 2 hours, switched to Argon, and heated to 135 °C. Meanwhile, 10 mL of ODE was degassed for two hours at 120°C and allowed to cool down to room temperature. Then, 0.21 ml of $(\text{TMS})_2\text{S}$ was added carefully into the flask and the resulting $(\text{TMS})_2\text{S}/\text{ODE}$ mixture was injected into the Pb precursor solution at 135°C, while stirring. The reaction was stopped after 0-5 minutes (longer reaction time leads to larger NCs) by removing the flask from the heating mantle and placing it into an ice water bath. The nanocrystals were isolated from the mixture by precipitating with acetone, centrifuging, and re-dispersing in toluene. The cleaning procedure was repeated 2-3 times, after which nanocrystals were re-dispersed in a minimal amount of hexane (4-5 ml).

For example, to fabricate PbS NCs with an exciton absorption feature centered at 1050 nm ($d_{\text{PbS}} = 3.5$ nm), 2 mL of OA was used and the growth time was limited to 1 min. For NCs with a 1S peak at 1300 nm ($d_{\text{PbS}} = 4.6$ nm), 14 mL of OA was used with the growth time of 4 min. For NCs with a 1S peak at 930 nm ($d_{\text{PbS}} = 3.0$ nm), 1.5 mL OA was used with the reaction time of 1 min.

Synthesis of PbS/CdS core/shell NCs. The growth of the CdS shell on PbS NCs was performed using a cation exchange methodology.² To this end, 0.95 g (7.6 mmol) of CdO was dissolved in 10 ml of OA and 18 ml of ODE under Ar at 235 °C until the solution became clear. Then, the temperature of this solution was set at 130°C. Meanwhile, 4 ml of PbS seed nanocrystals ($d = 4.2$ nm) solution in hexane (concentration 10 mg/ml) was kept under argon gas flow at 80°C for 2 minutes to remove excess of solvent and then was injected into the cadmium solution under vigorous stirring. The reaction mixture was kept at 135 °C for 7 minute and then stopped by immersing the flask in the ice water bath. The purification process included the separation of nanoparticles from the solution with ~30 ml of ethanol,

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3 centrifugation and dissolution of the precipitated nanocrystals in a minimal amount of hexane. The
4 cleaning cycle was repeated two times. Under these conditions the absorbance peak was found to blue-
5 shift by 330 nm (approx. 0.8 nm of the CdS shell). The growth of the CdS shell depended on the size
6 PbS NCs and the reaction time. Longer reaction times, higher temperatures and higher ratios of
7 OA/ODE were used to obtain a thicker shell of CdS.
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11 To determine the shell thickness in thin-shell nanocrystals (where TEM images do not provide the
12 sufficient accuracy) the following approach was used. First, the size of original PbS dots was determined
13 from the position of the exciton absorption edge. The reduction in the average size of the PbS domain
14 upon Pb^{2+} to Cd^{2+} cation exchange was determined from the new position of the PbS exciton peak. The
15 thickness of the shell was then calculated under the assumption that the diameter of the PbS/CdS
16 core/shell structure remained the same as the diameter of the original PbS dot.
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24 **Synthesis of CdS nanoparticles.** For the fabrication of CdS seeds an approach proposed by Yu *et*
25 *al.* was used.⁴³ The mixture of 0.0384 g (0.3 mmol) CdO, 1 ml OA and 11 ml ODE in a 50 ml 3-neck
26 flask was heated to 300°C until solution turned optically clear and colorless. Then, the temperature of
27 the reaction mixture was set up at 250°C and a sulfur precursor solution made by dissolving sulfur
28 powder 0.0048 g (0.15 mmol) at 200°C in ODE (4.5 mL) was quickly injected. The reaction was stopped
29 by removing the flask from the heating mantle after 5-9 minutes. CdS NCs were separated from the
30 solution by precipitation with methanol followed by repeated hexane/methanol extractions. The final
31 nanocrystals had diameter 3.5-4.5 nm (depending on the reaction time) and were stored in hexane.
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39 **Preparation of the glass substrate.** Before the deposition of nanocrystals the glass substrates
40 were cleaned and dry for better performance. To this end, glass squares 2.5 cm x 2.5 cm were washed
41 with detergent (Alconox) and rinsed in deionized water. Subsequently, substrates were sonicated in
42 methanol, acetone and isopropanol for 5 minutes in each solvent and dry under argon flow.
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46 **Fabrication of nanocrystal solids.** The fabrication of all-inorganic NC films was performed using
47 previously reported Semiconductor Matrix Encapsulated Nanocrystal Array (SMENA) methodology.⁴⁴
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50 To deposit a layer of all-inorganic CdS-encapsulated NC film onto the FTO/glass substrate, 3-5
51 drops of the PbS/CdS core/shell NC solution in hexane (concentration 10mg/ml) were placed onto the
52 spinning at 3000 rpm glass until the surface was covered and then dry. To replace original OA ligands
53 with thermally-degradable MPA molecules, 7-10 drops of MPA/Methanol solution (ratio1:4) were
54 deposited on the center of the glass slide, soaked for 10 seconds and spun at 3000 rpm for 10 seconds.
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3 After the MPA treatment, the film was washed by covering with 10 drops of methanol and spinning the
4 slide for 10 seconds, followed by rinsing with octane in the same manner. Upon the deposition of 2
5 layers the films were annealed at 120-140°C for 15 mins. The total of 4-6 layers were deposited. To
6 fabricate modified SMENA with additional CdS NCs, the initial solution of PbS/CdS NCs was mixed
7 with the CdS solution in ratios, which were calculated by dividing the optical densities at the 1st
8 excitonic peak for CdS ($\lambda = 430$ nm) and PbS/CdS NCs ($\lambda \approx 850$ -900 nm) colloidal precursors. The final
9 volume ratios of nanocrystals were calculated using TEM data from utilized solutions, as discussed in
10 the text.
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18 **In-filling of SMENA pores with CdS.** For the pore-filling process, the successive ionic layer
19 adsorption and reaction (SILAR) method was applied.³⁶ Briefly, the deposition of additional layers of
20 CdS was conducted by sequential soaking of the annealed NC films in methanol solutions of Cd and S
21 precursors. For this purpose, the cadmium bath was prepared by dissolution of 0.113 g of cadmium
22 acetate in 20 mL of methanol and the sulfur bath by placing 0.098 g of Na₂S•9H₂O in 20 mL of
23 methanol. One SILAR cycle included soaking of the film in the cadmium bath for 1 minute, then rinsing
24 the film with methanol for 1 minute, then soaking it in the sulfur bath for 1 minute with sequential
25 washing in methanol. 2-10 cycles of pores filling process was applied for all-inorganic films followed by
26 annealing at 150 °C for 15 minutes.
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35 **Characterization.** Absorbance spectra were recorded using CARY 5000 and Shimadzu UV-3600
36 UV-vis-NIR spectrophotometers. Photoluminescence spectra were recorded using a Jobin Yvon
37 Fluorolog FL3-11 fluorescence spectrophotometer and using a home-built photoluminescence
38 spectroscopy apparatus including an Argon ion laser Reliant 150M (Laser Physics), an Acton SP-2357
39 Monochromator (Princeton Instrument) and an IR detector PDA30G (Thorlabs). High-resolution
40 transmission electron microscopy (HR-TEM) measurements were carried out using JEOL 3011UHR and
41 2010 transmission electron microscopes, operated at 300 and 200 kV, respectively. To prepare a TEM
42 sample, a small amount of NC film was scraped, dispersed in toluene by sonication, dropped onto a
43 carbon-coated copper grid, and allowed to dry in air. FL lifetime measurements in 900nm region were
44 performed using a time-correlated single photon counting setup utilizing SPC-630 single-photon
45 counting PCI card (Becker & Hickel GmbH), picosecond diode laser operating at 400 nm, as an
46 excitation source (Picoquant), an id50 avalanche photodiode (Quantic), and long-pass optical filters
47 with edges at 400nm, 532nm, 750nm and 900nm. Time – resolved PL traces in 1300 nm region were
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3 obtained by Time-Correlated Single Photon Counting (TCSPC) system based on InGaAs TE cooled
4 single photon avalanche photodiode (ID Quantique) of 200 ps time resolution, adjusted for 10% quantum
5 efficiency, SPC-130-EM Counting Module and BDL-488-SMN laser (Becker & Hickler) with pulse
6 duration of 50 ps and wavelength of 488 nm, CW power equivalent of about 0.5 mW, externally
7 triggered at 1 MHz repetition rate. PL emission from the samples passed through long-pass optical filters
8 with edges at 500 nm and 1300 nm in order to reject excitation laser line and possible emission from CdS
9 matrix.
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16 **Fluorescence quantum yield measurements.** The absolute value of quantum yield was measured
17 by method, similar to the one described in Ref. 45. In our case the advantage was the elimination of a
18 reference and a possibility of simultaneous measurement of absorbance at excitation wavelength, with
19 correction to reflectance and scattering losses using integrating sphere. As excitation source CW Laser
20 Diode Module with wavelength of 808 nm with power of 1 W modulated by optical chopper at 30 Hz,
21 was used. For spatial averaging the integrating sphere IS200-4, (Thorlabs) was applied. This light was
22 measured by broadband (0.1–20 μm) UM9B-BL-DA pyroelectric photodetector (Gentec-EO). The
23 modulated signal from the detector was recovered by lock-in amplifier SR 830 (Stanford Research). The
24 signal coming out from the integrating sphere was attenuated with neutral density filter in order to set
25 the light intensity to the optimum of dynamic range for detector and lock-in amplifier. The ratio between
26 emitted and absorbed light gives an energy yield. This value then is transformed to the quantum yield
27 taking into the account difference in photon energies for laser and PL band (for PL band was used
28 average energy). The quantum yield value was corrected by transmission of applied edge-pass filters.
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Supporting Information Available. Experimental details, additional TEM and HRTEM images. This material is available free of charge *via* the Internet at <http://pubs.acs.org>.

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