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1                   **Property of YAG:Ce<sup>3+</sup> nanophosphors prepared by solvothermal method using**  
2                   **triethylene-tetramine as reaction solvent**

3                   Likai Wang<sup>1</sup>, Fenghua Zhao<sup>1\*</sup>, Xianfeng Yang<sup>2</sup>, Chunyang Pan<sup>1</sup>, Huimin Huang<sup>1</sup>

4                   <sup>1</sup>School of Light Industry and Chemical Engineering, Guangdong University of Technology, Guangzhou  
5                   510006, China.

6                   <sup>2</sup>Analytical and Testing Center, South China University of Technology, Guangzhou, 510641, China.

7                   E-mail address: <sup>1</sup>[wlk525.lcu@163.com](mailto:wlk525.lcu@163.com) <sup>2</sup>[Xianfeng78@hotmail.com](mailto:Xianfeng78@hotmail.com)

8                   \*Corresponding author

9                   School of Light Industry and Chemical Engineering, Guangdong University of Technology, Guangzhou  
10                  510006, China.

11                  Email address: [seazhaofh@163.com](mailto:seazhaofh@163.com)   TEL: +86 13560183936

12                  **Abstract**

13                  In this study, spherical YAG:Ce<sup>3+</sup> nanophosphors (NPs) with a particle size of 200 nm were successfully  
14                  synthesized by a solvothermal method using triethylene-tetramine (TETA) as reaction solvent. Besides as  
15                  the reaction medium, TETA also acted as the precipitant for the formation of hydroxide precursors at the  
16                  initial stage of the solvothermal reaction. The shape of the particle prepared with 4 mL of TETA as  
17                  precipitant is more regular spherical and larger size (about 500 nm). The phase compositions,  
18                  microstructures and photoluminescent properties of the as-prepared YAG:Ce<sup>3+</sup> NPs were investigated via  
19                  X-ray powder diffraction (XRD), fourier transform infrared spectroscopy (FTIR), scanning electron  
20                  microscopy (SEM), transmission electron microscopy (TEM) and fluorescence spectrophotometer. To  
21                  improve PL properties of as-prepared YAG:Ce<sup>3+</sup> NPs, the holding time, Ce<sup>3+</sup> doping concentration and  
22                  filling factor of autoclave have been systematically optimized. The optimal cerium doping concentration is 3  
23                  mol%.

24 **Key words:**

25 Solvothermal method; YAG:Ce<sup>3+</sup> nanophosphors; Photoluminescent properties; Triethylene-tetramine

26 **1. Introduction**

27 Trivalent cerium-doped yttrium aluminum garnet (Y<sub>3</sub>Al<sub>5</sub>O<sub>12</sub>), abbreviated as YAG:Ce<sup>3+</sup>, is a studied  
28 earliest and most completely yellow phosphor. YAG:Ce<sup>3+</sup> phosphors can convert a blue light from an  
29 InGaN-based light-emitting diode (LED) into a very broad yellow emission, generating a white light by  
30 the combination of the residual blue light and the yellow emission. Due to this optical function,  
31 YAG:Ce<sup>3+</sup> phosphors have been widely applied in solid-state lightings and display systems [1-3].

32 An extremely high temperature near 1600 °C is required for the conventional synthesis of phase pure  
33 YAG through a traditional solid-state method using Y<sub>2</sub>O<sub>3</sub> and Al<sub>2</sub>O<sub>3</sub> as starting materials [4,5]. Due to  
34 the high temperature during the solid-state reaction, the aggregation of resultants can hardly be avoided  
35 and it would result in non-uniformity and large particle sizes (micrometer or submicrometer). Since the  
36 Rayleigh scattering intensity of a particle is proportional to the sixth power of the particle diameter,  
37 smaller particle possesses a higher surface to volume ratio, which would increase the efficiency of  
38 absorption and emission. Therefore, nano-sized phosphors may contribute to reduce the optical  
39 scattering loss [6]. To prepare YAG:Ce<sup>3+</sup> phosphor with a small particle size and high quality, several wet  
40 soft-chemical synthetic techniques including co-precipitation [7], spray-drying [8-10] and sol-gel  
41 methods [3,11] have been developed in recent years. However, co-precipitation method and sol-gel  
42 method as well as the solid-state reaction may lead to the oxidation of Ce<sup>3+</sup> into Ce<sup>4+</sup> and the formation  
43 of impurity phases during the post thermal treatments [12].

44 With the development of the above wet soft-chemical methods, some researchers reported that the  
45 hydrothermal method under the critical point of the water (T<sub>s</sub>=374 °C, P<sub>s</sub>= 22.4 MPa) can be used to  
46 prepare the pure YAG and rare earth-doped YAG nanoparticles with narrow grain size distribution and

47 high dispersibility [13-15]. Solvothermal method enable us to prepare the crystalline YAG close to 300  
48 °C and appears more suitable for the synthesis of the nanoparticles compared with hydrothermal method  
49 [16-18]. 1,4-butylene glycol was used as the solvent in the solvothermal method at 300 °C to prepare the  
50 phase pure YAG by Inoue et al, which was called as the glycothermal method [16]. Similarly, Isobe and  
51 coworkers reported that YAG:Ce<sup>3+</sup> nanocrystals of 10 nm diameter can be prepared by the glycothermal  
52 method [17]. In addition, they revealed the effect of surface modification on the PL enhancement of  
53 YAG:Ce<sup>3+</sup> nanocrystals. Motivated by Isobe's work, Nyman et al [18] adopted the same synthetic route  
54 with some modifications to prepare YAG:Ce<sup>3+</sup> nanocrystals, where the reaction temperature was 225 °C  
55 and reaction time was 4-14 days. Jia et al [1] prepared well dispersed spherical YAG:Ce<sup>3+</sup> phosphors by  
56 the solvothermal method where nitrate of yttrium, cerium and aluminium were dissolved and mixed in  
57 the autoclave induced with ethylenediamine as the solvent at 210 °C for 15 h. According to the above  
58 reports, it is obvious that the organic reaction medium has played an important role in the formation and  
59 optical properties of YAG:Ce<sup>3+</sup> NPs during the solvothermal process.

60 As reported in our previous works [19], triethylene-tetramine (TETA) has been already used as a  
61 precipitant to form the hydroxide precursors. In this paper, TETA solvent was employed as a reaction  
62 medium in the solvothermal process to prepare YAG:Ce<sup>3+</sup> nanophosphors (NPs) for the first time. The  
63 purpose of this work was to investigate the influence of the dosage of TETA, holding time, Ce<sup>3+</sup>  
64 doping concentration and filling factor of autoclave on the as-prepared YAG:Ce<sup>3+</sup> NPs properties to  
65 optimize the synthetic solvothermal conditions guiding the most efficient YAG:Ce<sup>3+</sup> NPs.

## 66 2. Experiments

67 Yttrium nitrate hexahydrate (Y(NO<sub>3</sub>)<sub>3</sub>·6H<sub>2</sub>O, 99.5%), aluminum nitrate nonahydrate (Al(NO<sub>3</sub>)<sub>3</sub>·9H<sub>2</sub>O,  
68 99%), cerium nitrate hexahydrate (Ce(NO<sub>3</sub>)<sub>3</sub>·6H<sub>2</sub>O, 99%), triethylene-tetramine (TETA, 95%) and absolute  
69 ethanol were used as received without further purification. Aqueous solutions were prepared using distilled

70 water.

71 The mother salt solution was prepared by dissolving a multi-cation aqueous solution.  $Y(NO_3)_3 \cdot 6H_2O$ ,  
72  $Al(NO_3)_3 \cdot 9H_2O$  and  $Ce(NO_3)_3 \cdot 6H_2O$  into 15 mL of absolute ethanol according to stoichiometric proportions  
73 of  $Y_{3-x}Al_5O_{12}:Ce_x$ . The x was varied from 0.06 to 0.18, corresponding to 2 to 6 mol% of  $Ce^{3+}$  relative to ( $Y^{3+}$   
74 +  $Ce^{3+}$ ). The concentration of  $Y^{3+}$  ions was 0.1 mol/L. After thorough mixing for 30 min at room temperature,  
75 a certain amount of TETA was added into the above solution under magnetic stirring. The precursor solution  
76 was formed after continue stirring for 8 hours at ambient temperature. Then the precursor solution was  
77 filtered and washed with absolute ethanol for three times. The collected white precipitate was diluted in 10  
78 mL of TETA and transferred into an autoclave with a capacity of 40 mL. The autoclave was sealed and then  
79 heated at 250 °C, and the holding time varied from 4 h to 120 h. After cooling to room temperature naturally,  
80 the products in the autoclave were washed with ethanol for three times and dried for 24 h at 80 °C for further  
81 study.

82 The phase and structure of the phosphors were characterized by powder X-ray diffractometer (XRD,  
83 Rigaku, D/max 2200) using Cu K $\alpha$  radiation. Fourier transform infrared (FT-IR) absorption spectra were  
84 recorded on a spectrometer (Thermo-Nicolet 380) by means of a KBr disk method. Thermal gravimetric  
85 analysis and differential scanning calorimetry analysis (TG-DSC) of the sample were made on a TG-DSC  
86 analyzer (model STA-409-PC, NETZSCH, Germany). The sample was heated in air between 30 and 900 °C  
87 at a rate of 10 °C/min. The particle morphology and size were studied by scanning electron microscopy  
88 (SEM-S3400N, HITACHI), and all samples were coated with a thin layer of gold for conductivity before  
89 observation. The transmission electron microscopy (TEM) and high resolution transmission electron  
90 microscopy (HRTEM) work were done under a JEM-2010HR transmission electron microscope operated at  
91 an accelerating voltage of 200 kV. Photoluminescence property was measured with a fluorescence  
92 spectrophotometer (FluoroMax-4-VPF-100, HORIBA JOBIN JVON) equipped with a Xenon lamp. All the

93 measurements were carried out at room temperature.

### 94 3. Results and discussion

#### 95 3.1 Effect of holding time on synthetic reaction and optical properties of YAG:Ce<sup>3+</sup> NPs

96 Fig. 1 shows XRD patterns of YAG: Ce<sup>3+</sup> phosphor powder synthesized at 250 °C for different holding  
97 times. The main diffraction peaks at  $2\theta = 18.1^\circ, 27.6^\circ, 29.7^\circ, 33.3^\circ, 36.4^\circ, 41.0^\circ, 46.6^\circ, 55.1^\circ$  and  $57.4^\circ$   
98 are corresponding to the cubic phase YAG (JCPDS card No. 33-0040) with the addition of Ce<sup>3+</sup>. Though  
99 YAG phase was formed when the holding time was 4 h, the intensities of the diffraction peaks were low. The  
100 diffraction peak intensity was increased and the full-width at half maximum (FWHM) was decreased with  
101 the prolongation of holding time, which might be attributed to the gradual increase in the substituted Ce<sup>3+</sup>  
102 content and the growth of particles with single crystallites [20,21]. Moreover, no cerium oxide or other  
103 intermediate oxide phases were observed, indicating that cerium is homogeneously dispersed at the atomic  
104 level in the YAG lattice via this synthetic approach [2].

105 Fig. 2 shows FT-IR spectra of YAG:Ce<sup>3+</sup> NPs obtained with different holding time. The band near 3450  
106 cm<sup>-1</sup> was due to the stretching vibrations of N-H and O-H bands. The band at about 1630 cm<sup>-1</sup> is a result  
107 from the bending vibration of H<sub>2</sub>O [22]. The peak at 1380 cm<sup>-1</sup> is corresponding to the asymmetric and  
108 symmetric stretching vibration and bending vibration of the C-H bond [23]. which suggest the presence of  
109 organic residual groups at the surface of particles. Besides, the intensity of absorption bands for various  
110 organic groups decreases and gradually pyrolyzes with the prolongation of holding time. The peaks at 790,  
111 735, 615, 525 cm<sup>-1</sup> can be assigned to metal-oxygen (M-O) vibrations of YAG structure, and the rise in  
112 intensity indicates the improvement of crystallinity with increasing the holding time as previously shown in  
113 XRD patterns [24].

114 The endothermic peak at about 492 °C and the exothermic peak at about 322 °C were observed in the  
115 DSC profile of sample (Fig. 3). The exothermic peak at about 322 °C was possibly assigned to the pyrolysis

116 of TETA adsorbed on the surface of as-prepared YAG:Ce<sup>3+</sup> NPs. The endothermic peak at about 492 °C  
117 might be attributed to the structural change with the loss of weight, as referred to the thermal behavior of the  
118 alkyl derivatives of boehmite [25]. The TG profile shows the weight loss of sample which was accompanied  
119 with the endothermic or exothermic reaction shown in the DSC profile. The total weight loss of the sample  
120 was about 8 wt % below 900 °C.

121 The morphologies and structures of the samples have been investigated by SEM. The SEM images of  
122 samples obtained with different holding times are depicted by Fig. 4(a, b, c, d, e). The sample prepared for 4  
123 h at 250 °C exhibited spherical shape and aggregate particle with a mean diameter of about 150-350 nm. For  
124  $t_h > 4$  h, the attraction force between them will increase with the growth of YAG particles. Therefore,  
125 aggregate size increased due to the Ostwald ripening process which forms larger particles at the expense of  
126 smaller ones [2]. When the holding time was 24 h, the particle size was about 200-350 nm. As the holding  
127 time is 72 h, the particle size is in a range between 250 nm and 450 nm. While the holding time was above  
128 96 h, the particle shape is regular spherical and the range of particle size is 300-700 nm. which will cause the  
129 aggregation among the particles. The distribution of particle diameter became narrow and the shape of  
130 particle was more regular spherical with the prolongation of the holding time. The TEM images of sample  
131 prepared with 120 h of holding at 250 °C are depicted in Fig. 4(f, g), which show the particle size of the  
132 sample are consistent with Fig. 4(e). The selected area electron diffraction (SAED) pattern is shown in Fig.  
133 4(h), indicating that the individual YAG:Ce<sup>3+</sup> nanocrystals shows a single crystalline character. The  
134 HR-TEM image of a single nanocrystal is illustrated in Fig. 4(i). The HR-TEM image includes a series of  
135 crystal facets. The crystal lattice fringes with the spacing  $d$  values of 0.494 nm is observed, which  
136 corresponds to the (211) crystal facets of the cubic phase YAG (JCPDS card No. 33-0040).

137 Generally, the factors including sizes, morphologies, crystallinities and number of defects have a profound  
138 effect on the PL properties of samples. As shown by Fig.5, the PL emission intensity of samples increases

139 with the prolongation of holding time, which might be attributed to the gradual increase in the substituted  
140  $\text{Ce}^{3+}$  content and the growth of particles with single crystalline. There are the ground  $4f^1$  and the excited  
141  $4f^05d^1$  state in the electronic transition of  $\text{Ce}^{3+}$ . The emission spectra is assigned to the  $5d(^2A_{1g}) \rightarrow 4f(^2F_{5/2}$  and  
142  $^2F_{7/2})$  transitions of  $\text{Ce}^{3+}$ , since  $\text{Ce}^{3+}$  with a  $4f^1$  electron configuration has two ground states of  $^2F_{5/2}$  and  $^2F_{7/2}$   
143 due to the spin-orbit coupling [17]. The PL emission spectra of samples obtained with 4 h and 24 h of  
144 holding are blue shifted compared to those obtained with 72-120 h of holding time. It is well known that the  
145  $5d$ - $4f$  emission of  $\text{Ce}^{3+}$  depends on the crystal field. The smaller particles obtained with 4 h and 24 h have a  
146 higher surface tension than that of larger ones obtained with 72-120 h, hence the  $5d$  level would have a  
147 stronger crystal-field splitting [24,26]. Meanwhile, the shift could also be attributed to the enhancement of  
148 crystallinity and the decrease in  $\text{Ce}^{3+}/\text{Ce}^{4+}$  ratio with the prolongation of holding time [2].

### 149 **3.2 Effect of filling factor on morphologies and PL properties of YAG: $\text{Ce}^{3+}$ NPs**

150 In this study, the effect of filling factor of the autoclave on grain morphologies of YAG: $\text{Ce}^{3+}$   
151 nanophosphor powders were also investigated. The morphologies of YAG: $\text{Ce}^{3+}$  nanophosphor powders with  
152 the variation of filling factor of the autoclave are shown in Fig. 6(a, b, c, d). Firstly, the particle shape of  
153 sample is regular spherical and the particle size reaches about 400- 600 nm when the filling factor is below  
154 50 %. However, increasing the filling factor above 50 %, the particle shape becomes irregular and the size  
155 distribution is wide due to the pressure of reaction system rising, the speed of the mass transfer, grain growth  
156 and grain crystallinity increasing [1]. The selected area electron diffraction (SAED) patterns is illustrated in  
157 Fig. 6(e), indicating that the individual YAG:  $\text{Ce}^{3+}$  nanocrystals shows a single crystalline character. The  
158 HR-TEM image of a single nanocrystal is illustrated in Fig. 6(f). The HR-TEM image includes a series of  
159 crystal facets.the crystal lattice fringes with the spacing  $d$  values of 0.494 and 0.306 nm are observed, which  
160 corresponds to the (211) and (400) crystal facets of the cubic phase YAG (JCPDS card No. 33-0040),  
161 respectively.



162 Besides, increasing the filling factor of reaction system leads to the rise of the pressure of reacting  
163 system, which can speed up the diffusion of rate of  $\text{Ce}^{3+}$ , grain growth and grain crystallinity, Therefore, the  
164 PL emission intensity of YAG:  $\text{Ce}^{3+}$  phosphors are enhanced. Meanwhile, the sample obtained with 25 % of  
165 filling factor is blue shifted by about 12 nm compared to that obtained with 75 % of filling factor due to the  
166 enhancement of crystallinity as shown in Fig. 7.

### 167 3.3 Effect of dosage of triethylene-tetramine on morphologies of YAG: $\text{Ce}^{3+}$ NPs

168 As reported in our previous work [19], pH of the precursor solution changes with the variation of dosage  
169 of TETA in the process of precipitation. Since the pH of the precursor solution affect the precipitated ratio  
170 of  $\text{Y}^{3+}$  and  $\text{Al}^{3+}$  [7], then the dosage of TETA is the critical factor which strongly influences the  
171 morphological and photoluminescent properties of YAG:  $\text{Ce}^{3+}$  phosphor. As shown by the SEM investigation  
172 in Fig. 8(a, b, c), the particle of sample consists of spherical and irregular fragment when the volume of  
173 TETA is 0.5 mL. Increasing to 2 mL of TETA, YAG:  $\text{Ce}^{3+}$  powder is homogeneous, being composed of  
174 spherical particles with an average size ranging from 200 nm to 300 nm. Furthermore, the shape of the  
175 particle prepared with 4 mL of TETA is more regular spherical and larger size (about 500 nm) compared to  
176 that of particle prepared with 2 mL of TETA. The emission intensity increased monotonically with the  
177 increase of the volume of TETA from 0.5 mL to 4.0 mL as illustrated in Fig. 9. Due to hydroxides of  $\text{Al}^{3+}$   
178 and  $\text{Y}^{3+}$  appearing at a pH of 3.5 and 8.1 separately, the heterogeneous distribution of  $\text{Al}^{3+}$  and  $\text{Y}^{3+}$  will  
179 occur when the pH value is less than 8.1, resulting in the ratio of  $\text{Y}^{3+}$  and  $\text{Al}^{3+}$  deviating from 3:5 in local  
180 areas [19].

### 181 3.4 Effect of $\text{Ce}^{3+}$ concentration on PL properties of YAG: $\text{Ce}^{3+}$ NPs

182 The effect of varying  $\text{Ce}^{3+}$  concentrations on optical properties of  $\text{Y}_{3-x}\text{Al}_5\text{O}_{12}:\text{Ce}_x$  phosphors were also  
183 investigated. As shown in Fig.10, the emission intensity increased monotonically with the increase in  $\text{Ce}^{3+}$   
184 concentration up to  $x=0.09$  ( $\text{Y}_{3-x}\text{Al}_5\text{O}_{12}:\text{Ce}_x$ ,  $x=0.06-0.18$ ). However, the emission intensity decreased

185 beyond the limit value due to the effect of concentration quenching[27-30]. As excessive  $\text{Ce}^{3+}$  ions are doped  
186 into the host, the distance of  $\text{Ce}^{3+}$ - $\text{Ce}^{3+}$  will reduce. Then the energy transfer occurs between  $\text{Ce}^{3+}$  ions which  
187 affects the immigration of excitation energy, leading to the decrease of emission intensity [31,32]. The red  
188 shift of emission occurred from 526 to 536 nm with the variation of x varying from 0.06 to 0.18, which can  
189 be explained by magnetic interactions between neighboring  $\text{Ce}^{3+}$  ions [24].

#### 190 4. Conclusions

191 In this work, Ce-doped YAG ultra-fine particles were successfully synthesized by the solvothermal  
192 method, which were induced in an autoclave where TETA solution was firstly used as solvent at 250 °C for  
193 4 h. For  $t_h > 4$  h, the average size of particles increases to reach about 500 nm and the particle shape is more  
194 regular spherical for 120 h of holding time. With the prolongation of holding time and increase in filling  
195 factor, the PL emission intensity of YAG: $\text{Ce}^{3+}$  phosphors increase due to the gradual increase in the  
196 substituted  $\text{Ce}^{3+}$  content and the growth of particles with single crystalline. The most efficient YAG:Ce NPs  
197 can be prepared with 4 mL of TETA as a precipitator at 250 °C for 120 h and 3 mol% of  $\text{Ce}^{3+}$  with 75% of  
198 filling factor. This synthesis process was relatively simple and could be easily controlled, which is suitable  
199 for applications requiring a high degree of homogeneity such as optical devices and provides a better control  
200 of the final product at the molecular level. This synthetic method holds good potential application in  
201 solid-state lighting.

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**List of figure captions:**

Table 1. All experimental conditions.

Fig. 1 XRD patterns of YAG:Ce<sup>3+</sup> NPs synthesized at 250 °C for different holding times.

Fig. 2 FT-IR spectra of precursors, YAG: Ce<sup>3+</sup> NPs obtained with different holding times.

Fig. 3 TG-DSC profiles of sample prepared at 250 °C for 120 h.

Fig. 4 SEM images of samples prepared with different holding times at 250 °C: (a) 4 h, (b) 24 h, (c) 72 h, (d) 96 h, (e) 120 h. (f), (g) TEM images of sample prepared with 120 h of holding at 250 °C. (h) SAED pattern of sample synthesized by 120 h of holding at 250 °C. (i) HR-TEM image of the sample prepared with 120 h of holding at 250 °C.

Fig. 5 The PL emission spectra of YAG:Ce<sup>3+</sup> NPs synthesized by different holding times at 250 °C.

Fig. 6 SEM images of YAG: Ce<sup>3+</sup> NPs prepared with different filling factors: (a) 12.5 %, (b) 25 %, (c) 75 % and (d) 50 %. (e) SAED pattern of sample synthesized by 50 % of filling. (f) HR-TEM image of the sample prepared with 50 % of filling.

Fig. 7 The PL emission spectra of YAG:Ce<sup>3+</sup> phosphors prepared with different filling factors.

Fig. 8 SEM images of YAG: Ce<sup>3+</sup> NPs synthesized by different dosage of TETA as precipitator

r: (a) 0.5 mL, (b) 2 mL, (c) 4 mL.

Fig. 9 The PL emission spectra of YAG: Ce<sup>3+</sup> NPs synthesized by different dosage of triethylene tetramine as precipitator: (a) 0.5 mL, (b) 2 mL, (c) 4 mL.

Fig. 10 The PL emission spectra of Y<sub>3-x</sub>Al<sub>5</sub>O<sub>12</sub>:Ce<sub>x</sub> phosphors with various Ce<sup>3+</sup> doping concentrations x in the range from 0.06 to 0.18.

Sample no.	X	Temperature/°C	Holding time/h	Precipitator/mL	Solvent/mL	Filling factor/%
S1	0.06	250	120	4.0	10	25.0
S2	0.09	250	120	4.0	10	25.0
S3	0.14	250	120	4.0	10	25.0
S4	0.18	250	120	4.0	10	25.0
S5	0.14	250	96	4.0	10	25.0
S6	0.14	250	72	4.0	10	25.0
S7	0.14	250	24	4.0	10	25.0
S8	0.14	250	8	4.0	10	25.0
S9	0.14	250	4	4.0	10	25.0
S10	0.14	250	120	2.0	10	25.0
S11	0.14	250	120	0.5	10	25.0
S12	0.14	250	120	4.0	5	12.5
S13	0.14	250	120	4.0	20	50
S14	0.14	250	120	4.0	30	75

Table. 1

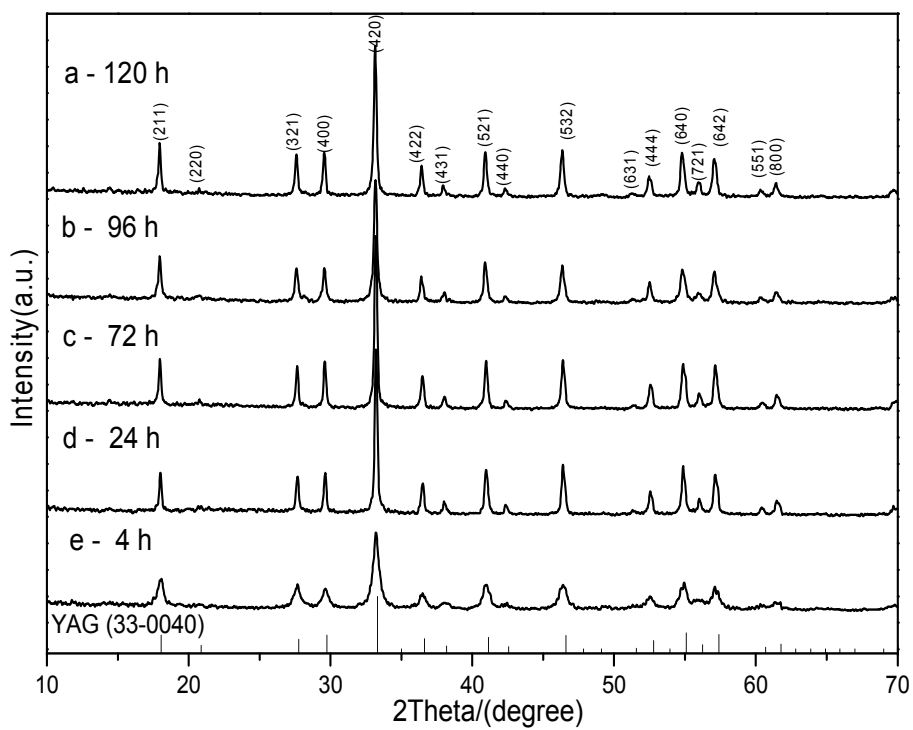


Fig. 1

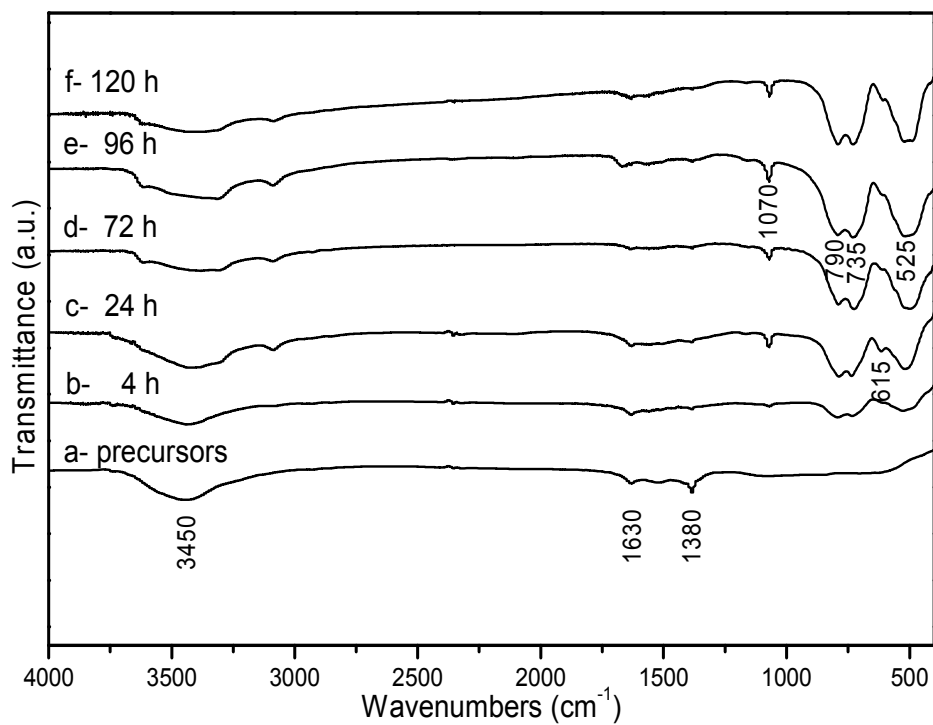


Fig. 2

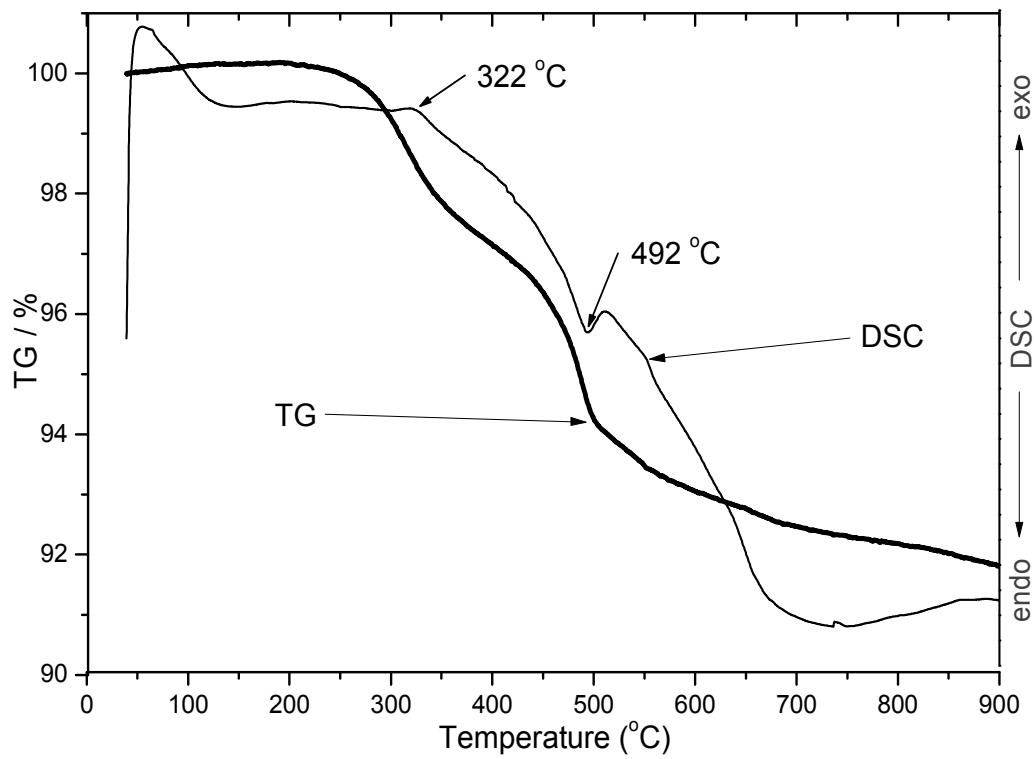


Fig. 3

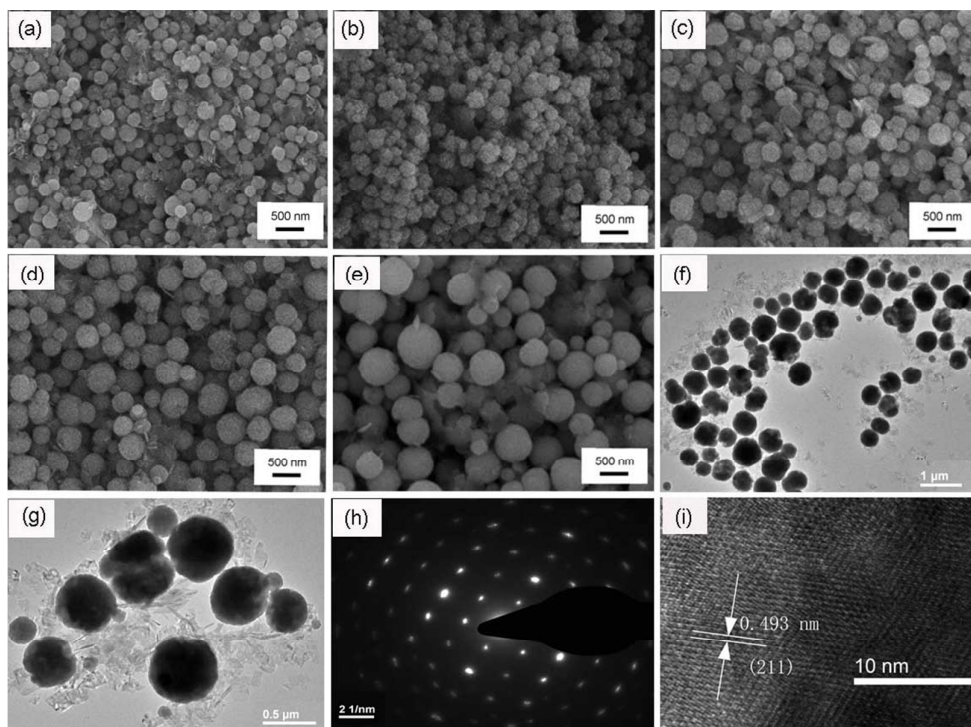


Fig. 4



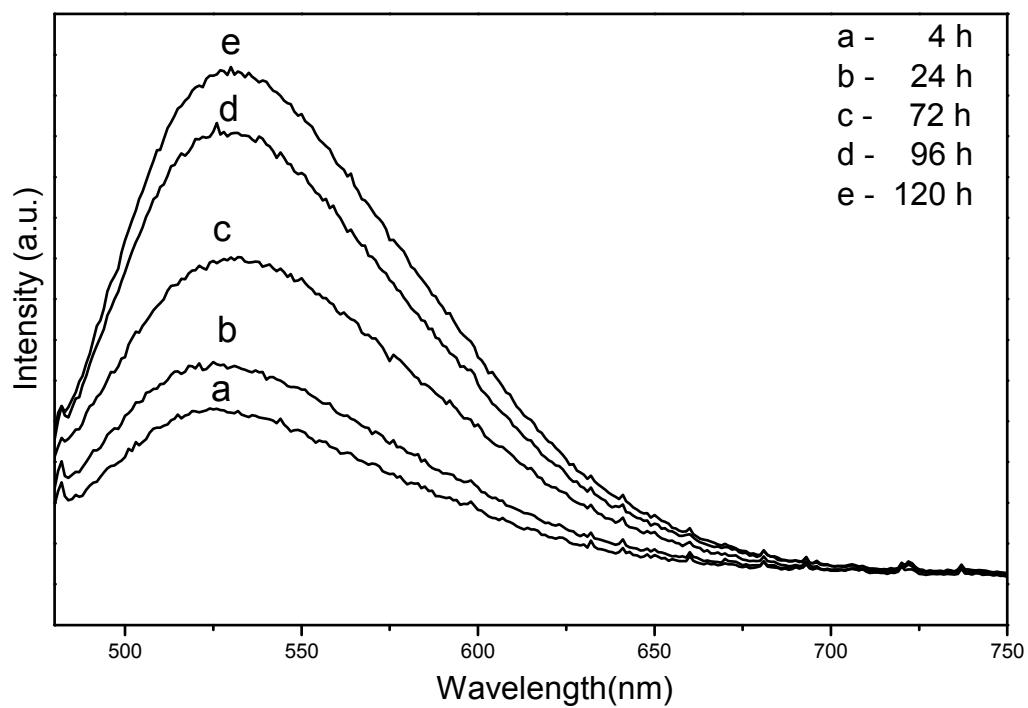


Fig. 5

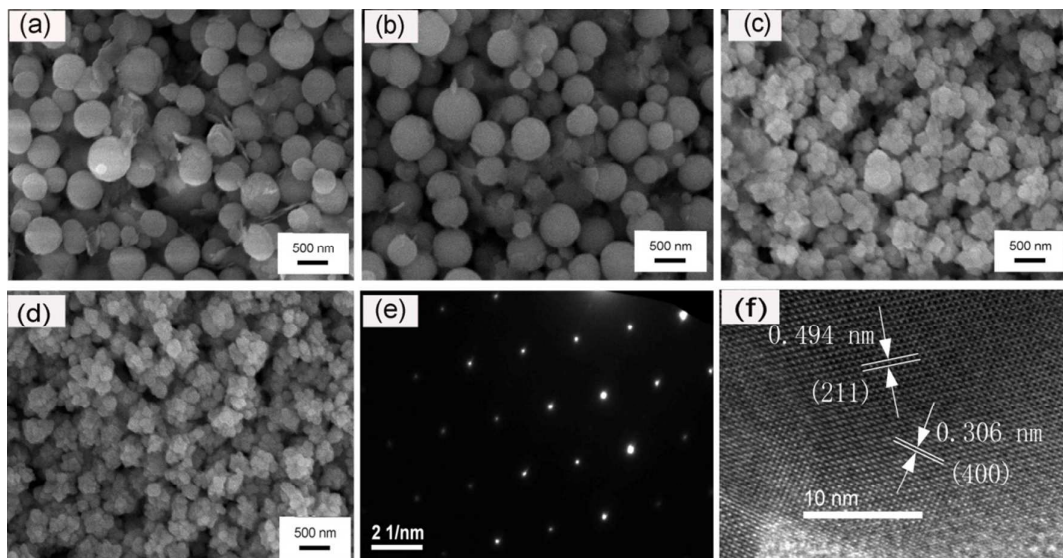


Fig. 6

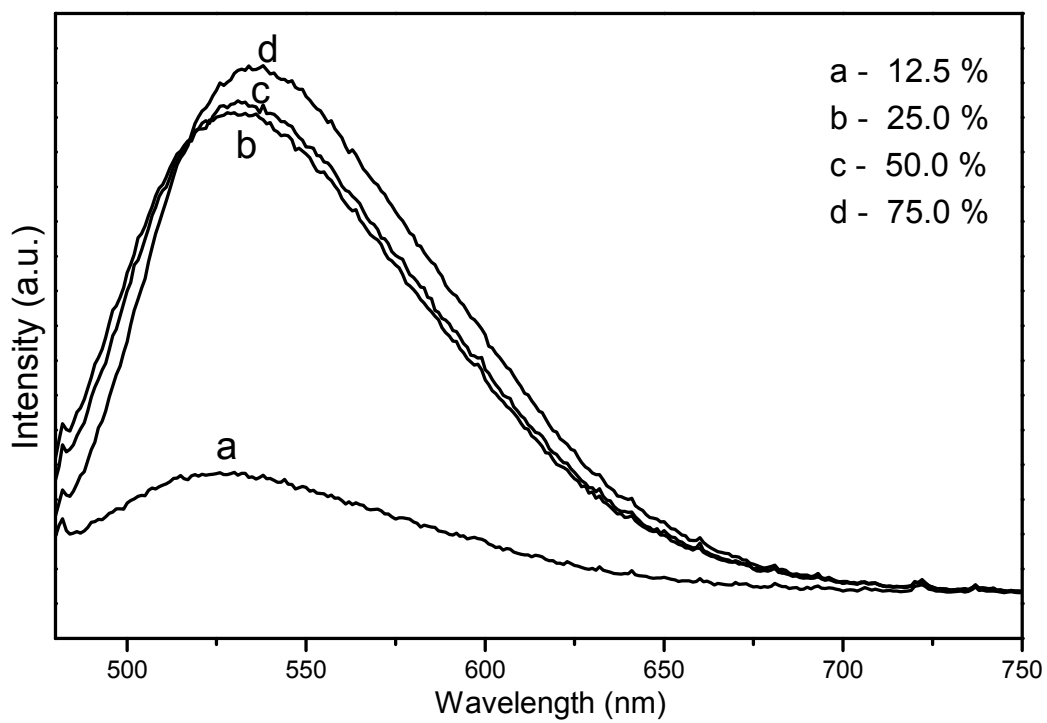


Fig. 7

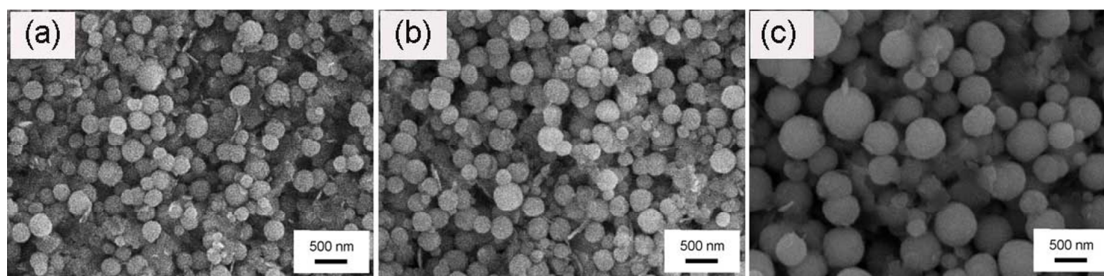


Fig. 8

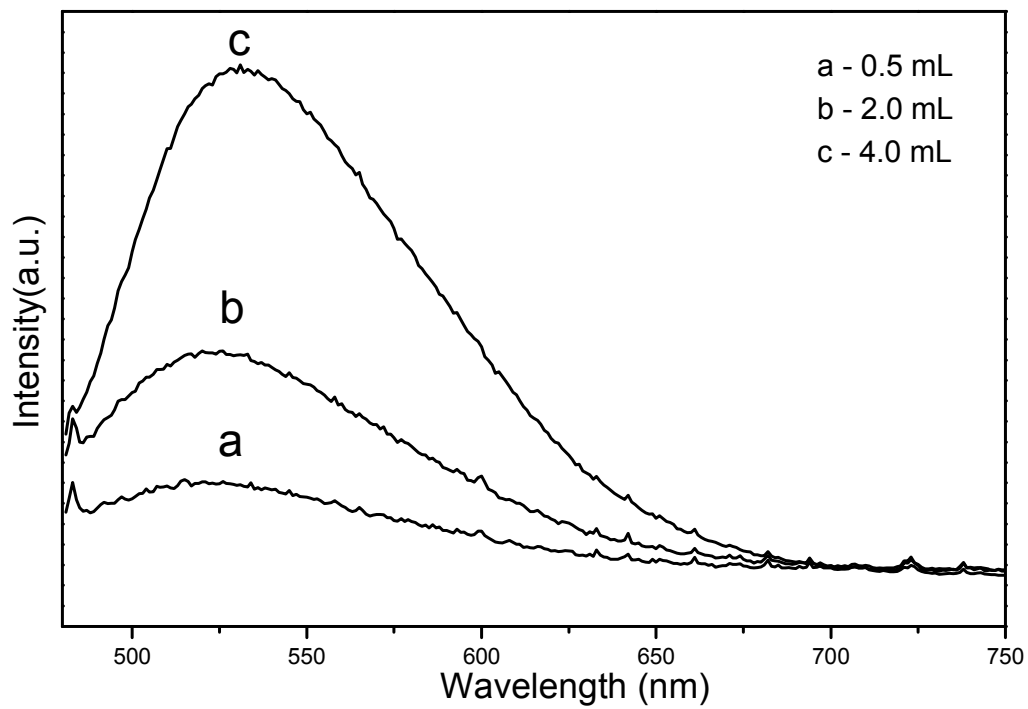


Fig. 9

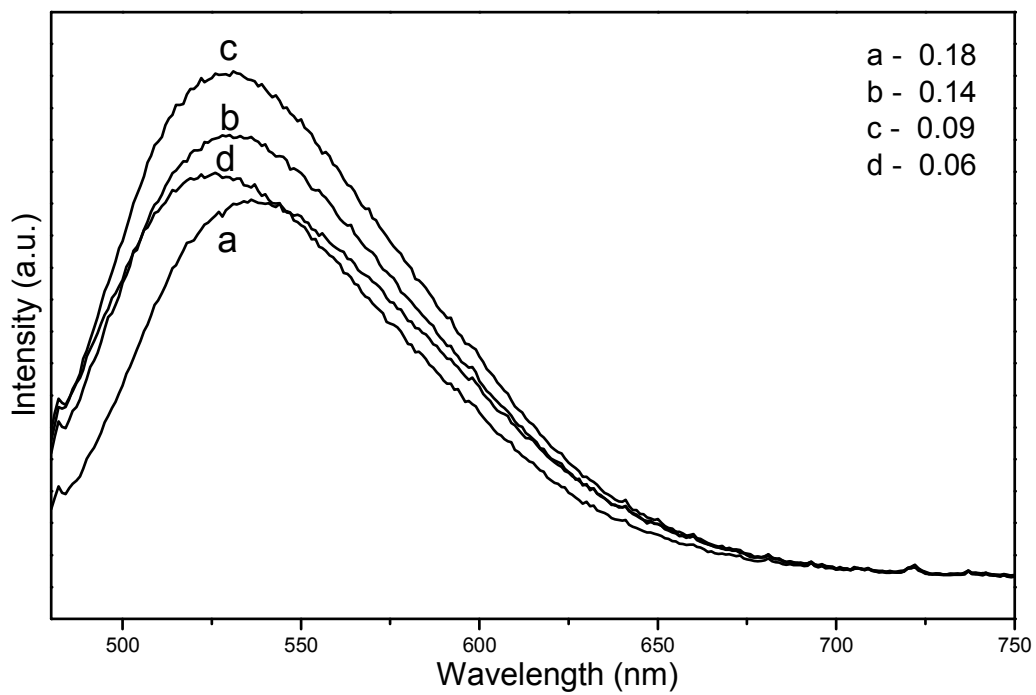


Fig. 10