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Contents

- 49 Olha Shpotyuk, Adam Ingram, Oleh Shpotyuk, Andrii Miskiv, Nina Smolar
 PALS probing of photopolymerization shrinkage in densely packed acrylate-type dental restorative composites
- Bukola Christianah Adebayo-Tayo, Gbemisola Elisabeth Ogunleye, Omonike Ogbole
 Biomedical application of greenly synthesized silver nanoparticles using the filtrate of *Trichoderma viride*: Anticancer and immunomodulatory potentials
- 63 Harshita Agrawal, Rishabha Malviya, Pramod Kumar Sharma **Strategy to modulate the tumor microenvironment using nanoparticles**
- 67 Maciej Szymczak, Dorota Zielińska, Aleksandra Musiała The use of different dialysis membranes in therapy of patients with multiple myeloma
- 71 Beena Kumari, Aparna Khansili, Parmita Phougat, Manish Kumar Comprehensive review of the role of acrylic acid derivative polymers in floating drug delivery system

PALS probing of photopolymerization shrinkage in densely packed acrylate-type dental restorative composites

Olha Shpotyuk^{1,A-F}, Adam Ingram^{2,B,C,E,F}, Oleh Shpotyuk^{3,A,C-F}, Andrii Miskiv^{1,B,C,E,F}, Nina Smolar^{1,A,C,E,F}

¹ Department of Orthodontics, Danylo Halytsky Lviv National Medical University, Ukraine

² Department of Physics, Opole University of Technology, Poland

³ Faculty of Science and Technology, Jan Dlugosz University of Czestochowa, Poland

A – research concept and design; B – collection and/or assembly of data; C – data analysis and interpretation; D – writing the article; E – critical revision of the article; F – final approval of the article

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Address for correspondence Oleh Shpotyuk E-mail: olehshpotyuk@yahoo.com

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Abstract

Background. Using positron annihilation lifetime spectroscopy (PALS), microstructural changes in commercial dental restorative composites under light-curing polymerization were identified as a modification in mixed positron/Ps trapping, where the decay of positronium (Ps; the bound state of positrons and electrons) is caused by free-volume holes mainly in the polymer matrix, and positron trapping is defined by interfacial free-volume holes in a mixed filler—polymer environment. In loosely packed composites with a filler content of <70–75%, this process was related to the conversion of Ps-to-positron trapping.

Objectives. To disclose such peculiarities in densely packed composites using the example of he commercially available acrylate-based composite ESTA-3[®] (ESTA Ltd., Kiev, Ukraine), which boasts a polymerization volumetric shrinkage of only 1.5%.

Material and methods. ESTA-3[®] was used as a commercially available acrylate-based dental restorative composite. A fast-fast coincidence system of 230-ps resolution based on 2 photomultiplier tubes coupled to a BaF2 detector and ORTEC[®] electronics was used to register lifetime spectra in normal-measurement statistics. The raw PAL spectra were treated using x3-x2-CDA (coupling decomposition algorithm).

Results. The annihilation process in the densely packed dental restorative composites (DRCs), as exemplified by the commercially available acrylate-based composite ESTA-3[®], is identified as mixed positron/Ps trapping, where o-Ps decay is caused by free-volume holes in the polymer matrix and interfacial filler—polymer regions, and free positron annihilation is defined by free-volume holes between filler particles. The most adequate model-independent estimation of the polymerization volumetric shrinkage can be done using averaged positron annihilation lifetime. A meaningful description of the transformations in Ps- and positron-trapping sites under light curing can be developed on the basis of a semiempirical model exploring x3-x2-CDA. There is a strong monolithization of agglomerated filler nanoparticles in these composites, caused by the photo-induced disappearing of positron traps at the cost of Ps-decaying holes.

Conclusions. Governing the polymerization void-evolution process in densely packed DRC ESTA-3[®] occurs mainly in the filler sub-system as positron-to-Ps trapping conversion, which is the reason for the low corresponding volumetric shrinkage.

Key words: acrylates, positron annihilation lifetime spectroscopy, dental restorative composites, light curing, photopolymerization

Introduction

Acrylic-type polymers filled with inorganic particles/ nanoparticles compose an important class of dental restorative composites (DRCs), which can be effectively polymerized under light curing.^{1–3} The monomer chains characteristic of uncured DRC are cross-linked by intramolecular bonds forming a denser polymer–composite matrix, thus producing polymerization stress or volumetric shrinkage.³

In most dental restoratives with a moderate filler content (no more than 70–80%), which can be conditionally defined as loosely packed DRCs, the shrinkage-accompanied stress approaches 1.5-15 MPa and the volumetric shrinkage is in the range of 2-4%.³ The commercially available DRCs Charisma[®] (Heraeus Kulzer GmbH, Hanau, Germany)⁴ and Dipol[®] (Oksomat-AN Ltd., Kiev, Ukraine),⁵ can be mentioned as typical examples of such restoratives. These DRCs composed of a monomer (bisphenol A-diglycidyl dimethacrylate and triethyleneglycol dimethacrylate) modified by glass filler particles of various sizes (typically, pyrogenic silica glass (SiO₂)) to modify weight-packing densities, possess high volumetric shrinkage under lightcuring polymerization (above ~2%).

Employing positron annihilation lifetime spectroscopy (PALS),6-10 microstructural changes under polymerization were identified as a modification in mixed positron/Ps trapping, where positronium (Ps; the bound state of positron and electron decay) is caused by freevolume holes mainly in the polymer matrix, and positron trapping is defined by interfacial free-volume holes in the filler-polymer environment.¹¹⁻¹⁵ The PAL spectra of polymerized DRCs follow a multicomponent trapping model with respect to multichannel positron/Ps annihilation, with the number of physically realistic channels not being specifically defined. Most often, the PAL spectra of light-cured DRCs based on acrylate-type resins are reconstructed under partially constrained x4- or x3-term analysis.¹⁶⁻¹⁹ However, the unconstrained x3-term decomposition seems more suitable for experimental PAL spectra governed by mixed positron/Ps trapping. Indeed, in such case, the process of Ps-to-positron trapping conversion can be successfully parameterized employing an x3-x2 coupling decomposition algorithm (CDA), validated for mixed positron/Ps-related annihilation in nanocomposites.^{20–23}

At higher concentrations of filler (above ~80%) and corresponding lower proportions of resin in the mixture, the volumetric shrinkage is typically moderated to less than ~2%, since the reduced amount of resin shrinks less in a given volume of composite.³ In these DRCs, the variations in particle size allow optimized particle distribution and adequate density, contributing to reduced shrinkage. This is a case of "low-shrinkage" DRCs, characterized as "densely monolithic" restoratives. This specificity in the inner composite make-up, with an increased proportion of micro- $(1-1.5 \ \mu\text{m})$ and sub-micro-sized (~0.5 μ m) glass or glass–ceramic particles and amorphous silica nano-sized particles (<40 nm) (above 80%) is thought to be associated with some changes in the underlying mechanism of free-volume modification under polymerization light-curing. In this paper, we attempt to study such peculiarities for densely packed DRCs using PALS with the commercially available acrylate-type composite ESTA-3[®] (ESTA Ltd., Kiev, Ukraine), which possesses a volumetric polymerization shrinkage of only 1.5%.²⁴

Material and methods

The specimens of ESTA-3® DRC were prepared by filling an inner volume of a disk-shaped plastic mold (6 mm in diameter and 2 mm in thickness). The bottom surface was covered with a polyethylene slice film, which was separated from the DRC along with the outer ring around the disk prior to PALS measurements. Some of the samples were polymerized by illuminating them with a curing dental wireless LED light source (LED.T4 SEASKY, Beijing, China), emitting light in the range of 420–480 nm with a power density output of ~900 mW/cm². Under illumination, the guide tip of the light source was maintained just above the sample surface (at a distance of 7 mm) so that the light beam completely covered the sample surface. The batch of non-polymerized DRC samples was marked Dent 0, and further batches of photopolymerized samples were marked with numbers corresponding to the light curing duration in seconds (Dent 5, Dent 20, Dent 40, and Dent 60).

The methodology of the PALS studies was identical to that of our recent research.^{11–13} The raw PAL spectra were registered with a fast-fast coincidence system of 230-ps resolution based on 2 Photonis XP2020/Q photomultipliers coupled to BaF2 scintillator detectors (Scionix Holland B.V., Bunnik, the Netherlands) and ORTEC[®] electronics (ORTEC, Oak Ridge, USA). To ensure high reliability, each spectrum involved 1 M of elementary positron annihilation events, accumulated at a temperature of 22°C and a relative humidity of 35%,²² using an Na isotope of ~50 kBq activity as a positron source sandwiched between 2 tested samples. The PAL spectra were processed using LT v. 9.0 program,²⁵ stabilizing the average positron lifetime, τ_{av}^{Σ} as:

$$\tau_{av}^{\Sigma} = \sum_{i} I_{i} \tau_{i} , \qquad (1)$$

where τ_i and I_i denote positron lifetime and the intensity of the corresponding fitting components (the accuracy in lifetime τ_i and intensity I_i was 5 ±0.005 ns and ±0.5%, respectively).

The best fit of the collected PAL spectra for polymeric materials is achieved via mixed channels of trapping, which occurs from defect-related positron traps and bound positron-electron states, i.e., positronium. This can be solved through the multi-component fitting of the PAL spectrum with 3 or 4 single exponentials under unconstrained (free-fitting components) or constrained (used most often for some fixed fitting parameters, such as the shortest positron lifetime, maintained close to 0.125 ns) decomposition procedures and normalized component intensities (i = 3 or 4)

$$\sum_{i} I_i = 1.$$
 (2)

Thus, the fitting covers realistic channels caused by positrons, which annihilate from delocalized states in defect-free bulk, and those trapped from spatially-extended free-volume defects (positron trapping) and Ps states through "pick-up" annihilation with an electron from the surrounding material (Ps decaying).

Ignoring the contribution from Ps decay, these spectra can be parameterized in terms of the canonical two-state simple trapping model (STM) with one kind of defect, parameters of defect-free lifetime t_b , the trapping rate in defects k_d , and the percentage of trapped positrons h.^{6,8,10} The other channel is caused by annihilation from the Ps state as free particles or those interacting with electrons from the environment.^{7,9,10} In a ground state, Ps exists as para-Ps (antiparallel spins), decaying intrinsically with 2 g-quanta and a 0.125-ns lifetime in a vacuum, and as ortho-Ps (parallel spins), decaying with 3 g-quanta and a 142-ns lifetime. In matter, since positron wave function overlaps with electron wave function outside, annihilation with such electrons having an antiparallel spin decreases their lifetime to 0.5-10 ns, resulting in 2 gamma-rays "pick-off" annihilation. Ps localized in free-volume holes provides an indication on their mean radii R in terms of τ_3 lifetime (I_3 value correlates with the density of Ps sites) with respect to the Tao-Eldrup equation:

$$\tau_3 = 0.5 \cdot \left[1 - \frac{R}{R + \Delta R} + \frac{1}{2\pi} \cdot \sin\left(\frac{2\pi R}{R + \Delta R}\right) \right]^{-1} \quad (3)$$

where $\Delta R = 0.166$ nm is the fitted empirical layer thickness.⁷

By fitting Equation 2 with the measured τ_3 values, radius R_3 and the free volumes V_f can be determined, making it possible to calculate the fractional free volume f_v^3 using the empirical constant, C = 0.0018 Å^{-3.7}

$$f_{\nu}^{3} = C \bullet I_{3} \bullet V_{f} \tag{4}$$

The PAL spectra in polymer–filler DRCs are known to be composed of mixed positron/Ps trapping channels.^{11–13} If Ps-decay and positron-trapping sites are interconnected so that no changes occur in other channels, we can treat these spectra with x3-x2-CDA.^{20–23} Within this approach, the experimental x3-term PAL spectra are transformed into the generalized x2-term form for host (initial or nonpolymerized) and modified (polymerized) DRCs. At this stage, we can simply resolve an additional second component (t_{int} , I_{int}) for a polymerized DRC with defect-related lifetime t_{int} and intensity I_{int} , as well as compensate component with the input in the first channel (t_n , I_n), assuming a reasonable condition of full inter-channel equilibrium. The interchangeable Ps/positron traps in the polymerized DRC can be parameterized accepting (t_n , I_n) and (t_{int} , I_{int}) as the first and second components, respectively, of the x2-term decomposed spectrum for some hypothetical medium which obeys the formalism of canonical twostate STM.^{6,8,10} The defect-related lifetime t_{int} in this model reflects the appearing/disappearing traps depending on the positive/negative sign of both I_n and I_{int} intensities.²⁰

In case of a stronger input from Ps decaying in the x3-term PAL spectrum, positron trapping can be defined in terms of the same STM, assuming 2 additional contributions from trapped positrons (the positron trapping component) and o-Ps (the o-Ps trapping component).^{12,26} This model with 2 additional positron-trapping defects with κ_{d1} and κ_{d2} annihilation rates, defined as

$$\kappa_{d1} = I_2 \left(\frac{1}{\tau_1} - \frac{1}{\tau_2} \right) \tag{5}$$

and

$$\kappa_{d2} = I_3 \left(\frac{1}{\tau_1} - \frac{1}{\tau_3} \right),$$
(6)

allows a more correct estimation of bulk lifetime t_b related to annihilation from Bloch states²⁰:

$$\tau_{b} = \left(\frac{I_{1}}{\tau_{1}} + \frac{I_{2}}{\tau_{2}} + \frac{I_{3}}{\tau_{3}}\right)^{-1}.$$
 (7)

Results and discussion

The PAL spectra of ESTA-3[®] DRC in the initial nonpolymerized state (Dent 0) and after respective 60-second light exposure (Dent 60 sample) subjected to free x3-term decomposition are depicted in Fig. 1a and 1b, respectively. The narrow-restricted statistical scatter of variance tightly grouped around the horizontal axis at the bottom of Fig. 1 demonstrates that PALS measurements are adequately described within this decomposition procedure. The respective best-fit parameters, positron-trapping and Ps-decay modes are presented in Tables 1 and 2.

With respect to these data, the annihilation in all ESTA-3[®] DRC samples can be identified as mixed positron/Ps trapping, where the 3rd Ps decay component originates from free-volume holes in the polymer matrix,



Fig. 1. Positron annihilation lifetime (PAL) spectra of non-polymerized dental restorative composite (DRC) Dent 0 (a) and polymerized DRC Dent 60 (b), reconstructed from unconstrained x3-fitting at the general background of source contribution; the bottom insets show the statistical scatter of variance – mean square deviation (MSD).

Table 1. The best-fit PAL spectra parameters for ESTA-3[®] DRC determined with an unconstrained x3-term decomposition procedure

DRC exposure [s]	[FIT-1]	τ ₁ [ns]	τ ₂ [ns]	τ ₃ [ns]	<i>l</i> 2 [a.u.]	<i>I</i> 3 [a.u.]	τ _{avg} [ns]
Dent 0	0.01	0.202	0.501	2.030	0.430	0.075	0.468
Dent 5	0.07	0.204	0.512	1.924	0.410	0.077	0.465
Dent 20	0.04	0.208	0.518	1.813	0.410	0.080	0.462
Dent 40	0.06	0.208	0.521	1.779	0.410	0.081	0.463
Dent 60	0.01	0.211	0.529	1.768	0.390	0.080	0.460

Table 2	2. The best-fit P/	AL spectra parameters fo	or ESTA-3® DR	C determined with an	n unconstrained x-term	decomposition proce	dure
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			Ps-decaying modes						
[s]	τ _{avg} tr [ns]	τ _b [ns]	<i>к</i> _d [ns ⁻¹]	τ ₂ –τ _b [ns]	τ ₂ /τ _b [a.u.]	η [a.u.]	<i>R</i> ₃ [nm]	<i>V_f</i> [10 ⁻³ nm ³]	f _v ³ [%]
Dent 0	0.340	0.279	1.36	0.222	1.80	0.27	0.291	103	1.40
Dent 5	0.342	0.280	1.32	0.232	1.83	0.27	0.280	92	1.28
Dent 20	0.345	0.283	1.28	0.235	1.83	0.27	0.270	82	1.18
Dent 40	0.346	0.283	1.27	0.238	1.84	0.26	0.267	80	1.16
Dent 60	0.347	0.284	1.21	0.245	1.86	0.26	0.266	80	1.12

and the 2nd component is defined by positron traps located mainly in the filler.¹² A comparative presentation of the x3-term-decomposed PAL spectra for the non-polymerized Dent 0 and the polymerized Dent 60 samples in Fig. 2 speaks in favor of a decrease in average positron lifetime t_{avg} under polymerization due to a shorter "tail" in the histogram of positron annihilation events connected with Ps decay. With longer photopolymerization, the τ_3 lifetime shows a distinct 13% decrease (from 2.030 to 1.788 ns under 60-second exposure), while I_3 intensity clearly grows by 7% (Table 1). The radii of Ps-decay holes in these DRCs estimated in a spherical approximation using Equation 2 show a monotonically decreasing trend from 0.291 nm (for Dent 0) to 0.266 nm (for Dent 60). The sharp decrease in τ_3 results in systematic decaying in the fractional free volumes f_{ν}^{3} was calculated with Equation 4.

In contrast, the changes observed in the 2nd component are opposite to light-curing duration, the τ_2 lifetime demonstrating an increasing trend (from 0.501 ns for Dent 0 to 0.529 ns for Dent 60) and the respective I_2 intensity decreasing (Table 1). Under essential input from Ps decay, as in the case of ESTA-3[®] DRC, parameterization of this channel in terms of a two-state STM is meaningless. Nevertheless, given the obvious reverse trend in both intensities I_3 and I_1 with respect to I_2 (Table 1), these changes in the PAL spectra with increased light curing duration can be attributed to preferential modification in the probability of Ps formation,²⁷ thus favoring positron-to-Ps trapping conversion in polymerized ESTA-3[®] DRC described by x3-x2-CDA.^{20–23}

The more realistic values of defect-free bulk positron lifetime t_b related to positron annihilation from Bloch states can be extracted from STM assuming additional positron-trapping inputs from both trapped positrons



Fig. 2. PAL spectra of non-polymerized DRC Dent 0 (open circles) compared with the polymerized DRC Dent 60 (full red circles), reconstructed from unconstrained x3-term decomposition (the inset shows a comparison of annihilation events accumulated in a peak)

and decayed o-Ps states (with the positron lifetimes τ_2 and τ_3 given in Table 1). This t_b value, estimated by Equation 7, approaches 0.30 ns (Table 4) and is nearly 15% longer than that extracted from the constraint-free x3-term decomposition (Table 2). It is clear from Table 3 that light-curing polymerization leads to a decrease in the rate of "purely positron" trapping k_{d1} (by nearly 16%) compared to the trapping rate of "o-Ps decaying" channel k_{d2} , which remains essentially the same.

The PAL spectra of ESTA-3[®] DRC in the initial state (Dent 0) and after 60 s of exposure (Dent 60) subjected to partially constrained x4-term decomposition and as-

 Table 4. PAL trapping modes for ESTA-3[®] DRC within an unconstrained x3-term decomposition, assuming 2 additional positron-trapping defect states

DRC exposure [s]	τ _{avg} tr [ns]	τ _ь [ns]	<i>к_{d1}</i> [ns ⁻¹]	<i>к_{d2}</i> [ns ⁻¹]
Dent 0	0.468	0.297	1.27	0.33
Dent 60	0.460	0.304	1.11	0.33

suming $\tau_1 = 0.125$ ns (i.e., fixed at p-Ps self-annihilation lifetime) are depicted in Fig. 3a and 3b, respectively; the best-fit parameters, positron-trapping and Ps-decay modes under this decomposition procedure are presented in Table 4. Such an analysis was shown to be reasonable for polymer–matrix composites, where the basic polymer shows bifurcation in o-Ps lifetimes, as in, for example, some semicrystalline polymers.^{28,29} In this case, the 4th component is attributed to o-Ps pick-off annihilation in holes of amorphous structures ($\tau_4 \approx 2-4$ ns), and the 3rd component is ascribed to o-Ps pick-off annihilation in interstitial free-volume voids of crystalline phase ($\tau_3 \approx 1$ ns).

Still, this is not the current case, since the polymer matrix of ESTA-3[®] DRC based on bisphenol A polycarbonates is solely characterized by x3-term PAL spectra, where the only long-lived component comes from o-Ps decay.^{30–32} Simple physical mixing in the 2nd component of the x4-term-decomposed PAL spectra originating from interfacial holes and other free-volume defects in a solid/polymer phase cannot be excluded to separate realistic physical channels. Therefore, this analysis provides an invalid parameterization of the 2nd component as an artifact of inadequately

Table 3. PAL spectra fitting parameters for ESTA-3[®] DRC within a partially constrained x4-term decomposition ($\tau_1 = 0.125$ ns)

		PAL spectra fitting parameters							
DRC exposure [s]	(FIT-1)	τ ₂ [ns]	τ ₃ [ns]	τ ₄ , [ns	<i>l₂,</i> a.u.	<i>I₃,</i> a.u.	<i>I₄,</i> a.u.	τ _{avg} , ns	
Dent 0	0.01	0.244	0.539	2.070	0.45	0.356	0.072	0.465	
Dent 60	0.01	0.227	0.547	1.788	0.51	0.363	0.077	0.459	



Fig. 3. PAL spectra of non-polymerized DRC Dent 0 (a) and polymerized DRC Dent 60 (b), reconstructed from partially constrained x4-fitting under fixed $\tau_1 = 0.125$ ns at the general background of source contribution; the bottom insets show the statistical scatter of variance - mean square deviation (MSD)

fitting x4. In case of multiple o-Ps decays of the same origin, this component can be easily replaced by apparent lifetime, which is a mean value averaged over all o-Ps components with corresponding intensities.³³ It can clearly be seen from Table 4 that changes in the 3rd component can indeed be ignored, thus transforming the partially constrained (with $\tau_1 = 0.125$ ns) x4-term-decomposed PAL spectra into free x3-term-decomposed ones (Table 1).

It is known that when free-volume voids are mutually inter-transformed under trapping conversion, the x3-term-decomposed PAL spectra can be treated using the x3-x2-CDA for uncured DRCs with a light-cured one (in this case, both I_n and I_{int} are positive); the results of such treatment for the current DRC are presented in Table 5. This analysis shows that positron trapping sites like triple junctions, mainly between agglomerated filler particles with character-defect-specific lifetimes of ~0.34-0.36 ns, disappear under light curing in favor of o-Ps-decaying holes with lifetimes of ~1.7-1.8 ns and corresponding to decreased free volumes in the polymer matrix. These disappearing positron traps are like triple junctions between agglomerated filler particles, located in filler environment, as it follows from the low t_B in Table 5 — with values typical of nanosized glassy particles of silica or zirconia.34 In other words, agglomerated filler particles/nanoparticles are strongly monolithized under light-curing polymerization in these DRCs, caused by photo-induced cross-linking of structural chains in the polymer matrix.

In Table 5, x3-x2-CDA data calculated for Dent 40 in comparison with Dent 60 is also presented, allowing a comparison of the initial (0-20 s) and final (40-60 s)stages of light-curing polymerization. It is noteworthy that these stages differ only by defect-specific t_{int} and defect-free t_B positron lifetimes, meaning that under initial exposure the larger free-volume positron traps (with 0.358-ns lifetimes) disappear in looser filler packing (because $t_B = 0.208$ ns), while the finest free-volume voids (with 0.312-ns lifetimes) disappear under final exposure in a denser filler environment (because $t_B = 0.182$ ns). This feature explains the lower degree of volumetric shrinkage under polymerization in the densely monolithic ESTA-3® DRC as compared with other available loosely monolithic DRCs, particularly, the previously studied DRCs Charisma[®] and Dipol[®].¹¹⁻¹³



Fig. 4. Schematic view of the fragmentation of free-volume Ps and positron traps in light-cured DRC: a) microstructure fragment of agglomerated filler particles (grey) in a non-polymerized DRC matrix (green), containing an o-Ps-trapping void located in the interfacial filler–polymer region (blue-cross-dashed line), o-Ps-trapping holes mainly in the polymer matrix (yellow-cross-dashed line) and positron trapping sites in the filler matrix (red-cross-dashed line); b) the same agglomerate of filler particles in a polymerized DRC matrix (an o-Ps-trapping void in the interfacial filler–polymer region disappears, giving rise to more contracted o-Ps-trapping voids in the surrounding polymer matrix and reduced trapping sites within the agglomerated filler particles)

The results described above lead to a complete protocol of light-curing polymerization for ESTA-3 DRC (Fig. 4). In the initial non-polymerized state (Fig. 4a), these densely packed DRCs are filled in positron traps located preferentially in the filler sub-system (Fig. 4a, red-cross-dashed lines), as well as Ps-decaying voids placed in the interfacial filler-polymer region (blue-cross-dashed lines) and the polymer matrix (yellow-cross-dashed lines). Lightcuring polymerization causes cross-linking of the latter, thus resulting in the fragmentation of the Ps decay sites in the polymer matrix (Fig. 4b, yellow-cross-dashed lines). The o-Ps-trapping voids in the interfacial filler-polymer region (blue-cross-dashed lines, Fig. 4b) are also reduced in size, and some of them disappear, giving rise to more tight contact between the outermost polymer surface, completely covering agglomerated filler particles. Under further progressive polymerization, strong contraction stress suppresses the agglomerate of filler particles, reducing the size and number of intrinsic free-volume positron traps (red-cross-dashed lines in Fig. 4b). Thus, the most substantial changes in free volume mainly take place in the filler sub-system, which is a reason for the low value of the corresponding volumetric shrinkage of this DRC.

 Table 5. Positron-trapping modes for non-polymerized Dent 0 sample, calculated with respect to light-cured ESTA-3[®] DRC samples employing x3-x2

 coupling decomposition algorithm (CDA)

	l comp	onent	ll comp	oonent		e+-	trapping mod	les				
DRC system	τ _n [ns]	<i>I_n</i> [a.u.]	τ _{int} [ns]	l _{int} [a.u.]	τ _{av} [ns]	τ _в [ns]	<i>к</i> _d [ns ⁻¹]	τ _{int} –τ _B [ns]	τ _{int} /τ _в [a.u.]			
Dent 0 – Dent 5	0.173	0.029	0.358	0.031	0.268	0.236	1.539	0.122	1.52			
Dent 0 – Dent 20	0.150	0.049	0.358	0.046	0.250	0.208	1.859	0.150	1.72			
Dent 0 – Dent 40	0.153	0.052	0.350	0.050	0.250	0.211	1.805	0.139	1.66			
Dent 0 – Dent 60	0.149	0.067	0.342	0.064	0.243	0.205	1.862	0.137	1.67			
Dent 40 – Dent 60	0.133	0.017	0.312	0.015	0.217	0.182	2.027	0.130	1.71			

Finally, under the contribution of mixed positron/Ps trapping channels in the overall annihilation process in composites, one of the best estimations of volumetric polymerization shrinkage, whichever the spectra-reconstruction algorithms, is related to the average lifetime defined as mass center of the registered PAL spectrum defined by Equation 1. As follows from Table 1, light curing results in a decrease in t_{avg} , from 0.468 ns for non-polymerized DRCs to 0.460 ns for completely polymerized DRCs. The relative change (1.7%) happens to be surprisingly close to the polymerization volumetric shrinkage of 1.5%, which is characteristic of ESTA-3[®].²⁴

Conclusions

Some peculiarities of volumetric shrinkage under photopolymerization are studied using PALS in a densely packed DRC — the commercially available acrylate-based composite ESTA-3[®]. The PAL spectra are reconstructed from unconstrained x3-term and partially constrained x4-term fitting routes assuming the shortest lifetime fixed at a theoretical value of intrinsic para-Ps self-annihilation (0.125 ns), and a simple trapping model assuming additional inputs from trapped positrons and decayed o-Ps states.

With respect to the data obtained, the annihilation in these DRCs is identified as mixed positron/Ps trapping, where the contribution from o-Ps decay is caused by free-volume holes in the polymer matrix and interfacial filler-polymer voids, and the free positron annihilation is defined by free-volume holes between the filler particles. The most adequate model-independent estimation of photopolymerization volumetric shrinkage is achieved using the average positron annihilation lifetime. A meaningful description of the transformations between Ps- and positron-trapping sites under light curing was developed on the basis of a semi-empirical model exploring the x3-x2-CDA. Under polymerization, the most substantial changes in free volume occur mainly in the filler sub-system, which is the reason for the low value of corresponding volumetric shrinkage of this DRC.

ORCID iDs

Olha Shpotyuk [©] https://orcid.org/0000-0002-9572-1817 Adam Ingram [©] https://orcid.org/0000-0002-8424-2298 Oleh Shpotyuk [©] https://orcid.org/0000-0002-2455-1857 Andrii Miskiv [©] https://orcid.org/0000-0001-7762-5867 Nina Smolar [©] https://orcid.org/0000-0001-8593-5435

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Biomedical application of greenly synthesized silver nanoparticles using the filtrate of *Trichoderma viride*: Anticancer and immunomodulatory potentials

Bukola Christianah Adebayo-Tayo^{1,A,C–F}, Gbemisola Elisabeth Ogunleye^{1,B–F}, Omonike Ogbole^{2,C,F}

¹ Department of Microbiology, University of Ibadan, Nigeria

² Department of Pharmacognosy, University of Ibadan, Nigeria

A – research concept and design; B – collection and/or assembly of data; C – data analysis and interpretation; D – writing the article; E – critical revision of the article; F – final approval of the article

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Address for correspondence Bukola Christianah Adebayo-Tayo

E-mail: bukola.tayo@gmail.com

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Abstract

Background. Green route biosynthesis of silver nanoparticles using *Trichoderma viride* (*T. viride*) filtrate (TVFSNPs) can serve as an alternative to antibiotics and as an effective drug delivery to combat cancer and act as an immune-stimulator.

Objectives. To biosynthesize silver nanoparticles (SNPs) with *T. viride* filtrate using green route and to characterize and determine the cytotoxic and immunomodulatory potential of nanoparticles.

Material and methods. *Trichoderma viride* filtrate was used for biosynthesizing SNPs. The biosynthesized SNPs were characterized using UV-visible spectroscopy, Fourier transform infrared spectroscopy (FTIR), scanning electron microscopy (SEM) and energy dispersive X-ray (EDX). The cytotoxic properties against Hep-2C and rotavirus and the immunomodulatory potential were evaluated.

Results. *Trichoderma viride* filtrate was able to bio-reduce AgNO₃ to SNPs. The surface plasmon resonance peak was at 450 nm. The presence of aldehydes, amino acids, ethers, esters, carboxylic acids, hydroxyl groups, and phenol among others indicates the capping and stabilization of proteins in the nanoparticles. The nanoparticles were spherical with a size of 0.1–10.0 nm. The EDX analysis revealed a strong signal of silver (Ag). The TVFSNPs had a cytotoxic effect on Hep2C and rotavirus in a dose-dependent manner and increased the production of immunoglobulin (Ig) A (IgA) and IgM.

Conclusions. *Trichoderma viride* filtrate contained some biochemicals that can bio-reduce silver nitrate (AgNO₃) for SNPs biosynthesis. The anticancer and immunostimulatory potential justifies the biomedical application and biotechnological relevance of *T. viride*.

Key words: cytotoxicity, immunomodulation, Trichoderma spp, filtrate, biosynthesized silver nanoparticles

Introduction

Nanobiotechnology is a new research field of biotechnology and engineering which involves which involve investigating nanoparticles synthesis which involve investigating nanoparticles synthesis and regulating the connection at a cellular level between synthetic materials and biological systems.^{1,2} Biosynthesis of metal nanoparticles is of great interest in nanoscience.³ Noble metals such as gold, silver, platinum, and lead are used in the biosynthesis of nanoparticles, in which silver (Ag) is crucial for nanoparticles biosynthesis in biomedicine.

Nanoparticles have various applications in opto-electronics, diagnostic biological probes and catalysis.^{3,4} Nanoparticles can be synthesized chemically, physically and biologically. It is difficult to prepare silver nanoparticles (SNPs) with well-defined size using chemical methods; besides, they are toxic to the environment due to the use of toxic chemicals reducing agents such as borohydride, citrate, or other organic compounds. Physical methods give a low yield of nanoparticles, while the biological methods are eco-friendly, cost-effective have low toxicity, biocompatibility and a better control over size and shape of SNPs.^{5,6}

Fungi like Trichoderma viride (T. viride), Trichoderma reesei (T. reesei), Alternaria flavus (A. flavus), Aspergillus niger (A. niger), Fusarium oxysporum (F. oxysporum) and Penicillium spp. are excellent sources of extracellular enzymes which influence nanoparticles synthesis.^{2,4} Fungi have potential in the production of nanoparticles at a faster rate on a large scale.⁴ Trichoderma spp. that frequently colonize soils, decaying wood and vegetable matter. They are the dominant part of the soil microflora in different habitats, have diverse metabolic capabilities and aggressively competitive nature.⁷ Trichoderma spp. are highly resistant to to biochemicals, chemicals and toxins. Most are strong opportunistic invaders, fast growing, prolific producers of spores and powerful antibiotics.8 Trichoderma species contain strains of vast economic importance, owing to their production of antibiotics and industrial enzymes and they act as biological control agents against plant pathogens.9,10 Some have an antagonistic activity against phytopathogenic fungi by using substrate colonization, antibiosis and mycoparasitism as the main mechanisms. This antagonistic potential is the basis for effective application of different Trichoderma strains as an alternative to chemical control against a wide variety of fungal plant pathogens.¹¹ They are prolific producers of extracellular proteins. For instance, different strains produce more than 100 different metabolites that have antibiotic activities.8 Based on an eco-friendly approach, low toxicity, biocompatibility and immunomodulation, the potential of greenly synthesized nanoparticles and their applications in various fields cannot be overemphasized. However, nanoparticles can also act as an immunomodulatory agents alone or in combination with established therapeutic immunomodulatory agents. The use of fungi for the biosynthesis of SNPs provides advantages over chemical and physical methods, as it is cost-effective and environmentally friendly, and fungi can be used on a large scale. This study involves the biosynthesis and characterization of SNPs from *T. viride* and investigates its cytotoxic properties and immunomodulatory activities.

Material and methods

Culture collection

Trichoderma viride, which were previously isolated from soil samples, were obtained from the culture collection of the Microbial Physiology and Biochemistry Laboratory, Department of Microbiology, University of Ibadan, Nigeria. The culture was kept in potato dextrose agar and the stock culture was stored at 4°C and sub-cultured from time to time.

Cancer cell lines (human rhabdomysarcoma (RD) and laryngeal carcinoma (Hep-2C)) were supplied from the Centre for Disease Control (CDC), Atlanta, Georgia and maintained in WHO Polio Laboratory, Department of Virology, University of Ibadan, Nigeria. Ethical approval for the study was obtained from the University of Ibadan Animal Care and Use Research Ethics Committe.

Production of cell filtrates of *Trichoderma viride*

The cell filtrate of *T. viride* was produced by inoculating pure culture of *T. viride* into a sterile malt extract broth (MEB) and incubated at 25°C for 5 days. The medium was filtered using Whatman filter paper No. 1, the crude filtrates were collected and used for further studies.

Biosynthesis of SNPs using Trichoderma viride

The biosynthesis of SNPs using *T. viride* was done using modified method of Devi et al.³ Fifty milliliters of the cell filtrate was mixed with 50 mL of 1 mM aqueous solution of silver nitrate (AgNO₃) prepared freshly in deionized water. The whole mixture was incubated at 25°C in dark place for 2 days. A flask with no addition of Ag⁺ was used as a control. Formation of a brown solution from a colorless solution indicates SNPs biosynthesis.

Characterization of the biosynthesized SNPs

Formation of SNPs was observed visually for color change in comparison to control. The bio-reduction was monitored using UV-visible spectrum Lambda 25 UV/Vis spectrophotometer. UV/V with the resolution of 0.5 nm.¹² Fourier transform infrared spectroscopy (FTIR) was used to characterize the functional groups of SNPs. The dried

SNPs were analyzed using potassium bromide (KBr) pellet (FTIR grade) method in a ratio of 1:100. The spectrum was recorded using JASCO Corporation 2967-5 (Ishikawa-cho, Hachioji-shi Tokyo, Japan) FT/IR-6300 in the range of 500–4000 cm⁻¹ at a resolution of 4 cm^{-1.3} The scanning electron microscopy (SEM) analysis of the gold-coated dried SNPs was done using a coater (JEOL, Akishima-shi, Japan; Model No. JFC-1600) and the images of SNPs were obtained using a scanning electron microscope (ZEISS EVO-MA v. 10; Carl Zeiss AG, Oberkochen, Germany).¹³ The energy dispersive X-ray (EDX) analysis of the SNPs was done at a voltage of 4 keV and current of 350 µA.¹³

MTT assay

The cytotoxicity assay of the samples was determined using MTT (3-4, 5-dimethyl thiazole-2yl)-2, 5-diphenyl tetrazolium bromide) assay. The cell filtrate and the SNPs biosynthesized with *T. viride* filtrate (TVFSNPs) were redissolved in dimethyl sulfoxide (DMSO) to give a concentration of 10 mg/mL, respectively. The stock (0.1 mL) was added to 0.9 mL of maintenance medium containing antibiotics to obtain a dilution of 1000 μ g/mL (neat). Ten-fold serial dilutions of the samples were made from the "neat" using maintenance medium as diluent to obtain different concentrations. Fifty microliters of each diluent was dispensed into 96-well microtiter plates already seeded with monolayer of RD and Hep-2C in triplicates. The plates were incubated at 37°C in a carbon-dioxide environment and the cells were observed under microscope after 72 h.

The MTT colorimetric assay was used to evaluate the reduction of viability of cell cultures in the presence and absence of metabolites. The ability of the SNPs to be cytotoxic was measured using the tetrazolium dye (MTT), which is metabolized by mitochondrial enzymes of viable (surviving) cells to an insoluble, colored formazan product. The level of metabolism that occurs in the individual well of the 96well microtiter plate is dependent on the number of healthy viable cells present. The plates were placed on a shaker for 15 min, after which absorbance of insoluble formazan salts was assessed at 492 nm wavelength on a multi-well spectrophotometer (Titertek Uniskan, Thermo ScientificTM MultiskanTM GO UV/Vis microplate spectrophotometer).¹⁴

Immunommodulatory activity

This study was conducted using female Swiss albino mice aged 6 weeks, weighing 20 ± 4 g. They were fed with rat pellets and given water ad libitum. The animals were allowed to acclimatize to the laboratory environment for 2 weeks and were later divided into groups for the experiment. Group 1 and 2 served as the control; Group 3 was administered with TVFSNPs and Group 4 was administered *T. viride* fungal filtrate (TVF). All the procedures used in this study conformed to the guidelines for care and use of animals in research and teaching.

Determination of IgG, IgM and IgA

The immunoglobulin (Ig) G (IgG), IgA, IgM of the treated and untreated mice was determined by diluting the blood serum samples and the control samples in 0.9% saline (1:10). Twenty microliters of the diluted samples was added to 900 μ L of phosphate buffer and labeled sample A2. The absorbance of sample A1 was taken at 340 nm. One hundred microliters of antibody reagents was added into the prepared samples and mixed properly. The reaction mixture was incubated for 5 min. Absorbance of sample A2 and the control was taken at 340 nm.

Statistical analysis

The analysis of variance (ANOVA) and SPSS v. 25 were used to statistically evaluate the data. Values are represented as the mean ±standard deviation (SD) of the 3 replicates of each experiment.

Results and discussion

Biosynthesis and characterization of SNPs

The cell filtrate of *T. viride* was used for biosynthesis of SNPs. Figure 1 shows the visual detection of SNPs biosynthesized using filtrate from *T. viride*. Changes in color from yellow to dark brown were observed.

Nanoparticles possess more surface atoms than microparticles, which enhances their functional capabilities. Biocompatible synthesis of metal nanoparticles was encouraged to exploit the biological sources of nanoparticles, because it is cost-effective.¹⁰

The *T. viride* filtrate bio-reduced AgNO₃ for SNPs biosynthesis. The bio-reduction potential of the filtrate from *T. viride* is in accordance with the work by Vahabi and Karimi,¹⁶ who reported that *T. reesei* is an eco-friendly fungus which biosynthesizes SNPs in a large-scale production, in which there was a change in color from yellow to dark brown.



Fig. 1. Visual detection of silver nanoparticles (SNPs) biosynthesized with *Tricoderma viride* filtrate (TVFSNPs)

A – silver nitrate (AgNO $_3$) solution; B – T. viride fungal filtrate (TVF); C – TVFSNPs.

The spectra obtained from the biosynthesized TVFSNPs are shown in Fig. 2. A broad-band spectrum between 350 nm and 550 nm was observed for TVFSNPs and the surface plasmon resonance (SPR) peak was at 450 nm, indicating the formation of SNPs.

Strong SPR is very important in the synthesis of nanoparticles and it is characterized by UV-visible absorption spectroscopy. This result is similar to the study by Kanmani and Lim,¹⁷ in which SNPs showed a strong SPR peak at 400–550 nm with a broad band and size, indicating the formation of SNPs.¹⁷ Guangquan et al.⁵ reported that UV-visible spectra of the cell filtrate with AgNO₃ showed a strong broad peak at 440 nm, indicating the presence of SNPs.⁵

The FTIR analysis of TVFSNPs is shown in Fig. 3. 13 bands were present at 3425.69, 2895.25, 2359.02, 1633.76, 1404.22, 1330.93, 1149.61, 1074.39, 968.3, 931.65, 891.14, 738.76 and 597.3 cm⁻¹. The peaks at 3245.69 cm⁻¹ and 2895.25 cm⁻¹ were attributed to O-H stretch of alcohol and C-H symmetrical stretching of aldehydes. The absorption peaks at 2359.02 cm⁻¹ and 1633.76 cm⁻¹ were also attributed to the presence of COOH overtone and the presence of C=O stretch of carboxylates. The absorption peaks at 1404.22 cm⁻¹ and 1330.93 cm⁻¹ corresponded to C-N stretch of primary amide and C-N stretch of secondary amine. The peaks at 1449.61 cm⁻¹ and 1074.39 cm⁻¹ indicated the presence of S=O sulfonic esters and C-N stretch of aliphatic amines. The absorption peaks at 968.3 cm⁻¹, 931.65 cm⁻¹ and 891.14 cm⁻¹ corresponded to C=CH₂ alkenes out-ofplane bend, P-O-P stretch of pyrophosphate and C-O of epoxide. The absorption peaks at 738.76 cm⁻¹ and 507.3 cm⁻¹ indicated the presence of C-H and disulfide. From the obser-



Fig. 2. UV-visible absorption spectra of TVFSNPs and TVF



Fig. 3. Fourier transform infrared spectroscopy (FTIR) spectrum of TVFSNPs

vation in the spectrum, the presence of alcohols, aldehydes, carboxylic acids, alkenes in the samples may be responsible for the reduction of $AgNO_3$ to SNPs.

The FTIR spectra of TVFSNPs showed that different functional groups were present. Aldehydes, amino acids, ethers, esters, carboxylic acids, hydroxyl groups, phenol among others are responsible for the synthesis of SNPs. Carbonyl groups from the amino acid residues and peptides of proteins have a strong ability to bind to Ag. These proteins serve as a capping and stabilizing agent. Sonal et al.¹⁷ reported that the biomolecules, especially proteins from the filtrate of *F. oxysporum*, were responsible for synthesizing and stabilizing SNPs.

The TVFSNPs were further characterized by SEM, which showed the morphology and size of the biosynthesized SNPs. The SEM micrograph is shown in Fig. 4. The TVFSNPs were spherical and 0.01–10.0 nm in size.

A scanning electron microscope is an important tool for the characterization of SNPs.^{15–18} The shape of the TVFSNPs is in agreement with the study by Amal and Azzah,² who reported that nanoparticles are spherical with a small percentage of elongated particles with a variation in particle size, 5 nm for *F. oxysporum*, 20 nm for *A. niger* and 25 nm *Alternaria solani* (*A. solani*).

The EDX analysis of biosynthesized TVFSNPs is shown in Fig. 5. Silver had the highest intensity in the range 0.0001–0.2574.

The EDX analysis was used to determine the elemental composition of samples. Strong signals from Ag atoms in the nanoparticles were observed, while there were weaker signals from carbon, oxygen, sulfur, phosphorus, magnesium and sodium atoms. The presence of a strong Ag peak is a result of SPR. The carbon, oxygen, sulfur, phosphorus, magnesium and sodium signals may be due to the X-ray emission from proteins or enzymes present in the cell wall of the organisms. The presence of other EDX peaks for chlorine, sodium and oxygen was as a result of mixed precipitates present in the extract. Pnyabrata et al. had similar report.^{19–20}



Fig. 4. A scanning electron micrograph of TVFSNPs



Fig. 5. Energy dispersive X-ray (EDX) analysis of TVFSNPs

Cytotoxicity assay of the TVFSNPs against Hep-2C and rotavirus cell lines

Cytotoxicity activity against hepatitis-2C (Hep-2C) and rotavirus cell lines was evaluated at different concentrations by MTT assay. Table 1 shows the IC_{50} (µg/mL) and dose-dependent values for the in vitro cytotoxic activity against Hep-2C cell lines. It was observed that TVFSNPs inhibited the viability of Hep-2C cell lines in dose-dependent manner. Silver nanoparticles were not toxic at lower doses, while mild cytotoxicity was recorded at higher doses.

Table 2 shows the IC_{50} (µg/mL) and dose-dependent values for the in vitro cytotoxic activity against rotavirus cell lines. The TVFSNPs did not exhibit significant cytotoxicity at their lower concentrations, while cytotoxicity increased at higher concentrations.

Cytotoxicity increased at higher TVFSNPs concentrations. The ability of the TVFSNPs to increase toxicity at a higher concentration may be due to metal nanoparticles overaccumulating inside the cell. It may also be due to the fact that SNPs interfere with the proper functioning of cellular proteins and induce subsequent changes in cellular chemistry. The cytotoxicity impact of SNPs in biological systems depends on their physiochemical properties.²¹ Vimbela et al.²² reported a dose-dependent cytotoxicity effect of nanoparticles against J774 and THPI cell lines, in which there were no cytotoxic effects at low doses (10 μ g), whereas mild cytotoxicity effects were observed at high doses of 100–150 μ g. Raman et al. reported the dose-dependent cytotoxicity potential of *Melia azedarach* SNPs against HeLa cells.²⁴

The anti-proliferative effect of SNPs on cancer cell line has been reported.^{24,25} Choi et al. reported the cytotoxicity potential of SNPs on A2780 ovarian carcinoma cells and ovarian cancer stem cells at a high concentration. The cells are more sensitive to the treatment with SNPs.²⁵

Immunomodulatory activity of TVSNPs

The immunomodulatory activity of the fungal filtrate and TVFSNPs is shown in Table 3. There was a significant difference in the immunomodulatory activity of the treatments using the biosynthesized TVFSNPs and the TVF on the treated mice.

Group 2, which included mice treated with sheep red blood cells, had the highest IgG. The IgA of the treated mice ranged from 75 to 258 mg/dL. Group 3 (mice treated with TVFSNPs) had the highest IgG, while Group 4 (mice treated with TVF) had the lowest IgG. The IgM of the treated mice ranged from 96 to 24 mg/dL. Group 3 had the highest IgM, while Group 4 had the lowest IgM.

The immunomodulatory potential of TVFSNPs based on in vivo immunological activity was investigated. The TVFSNPs showed significant immunostimulation of IgA and IgM. The ability of TVFSNPs to stimulate IgA and IgM in the immune system of the mice may be due to the easy engulfment of macrophages to the SNPs. Serum glycoproteins are stimulated to produce a subpopulation of white blood cells called lymphocyctes. This could be as a result of the nanoparticles stimulating macrophages activity which evolve from immune system to protect

Table 1. IC₅₀ (µg/mL) and dose-dependent values for the in vitro cytotoxic activity against Hep-2C cell lines

Complete	Concentration [µg/mL] ±SEM								
Samples	0.01	0.1	1	10	100	1000	ις ₅₀ [μg/mL]		
AgNO ₃	0.627 ±0.02 ^c	25.013 ±0.21ª	27.729 ±0.03 ^b	34.036 ± 0.02^{b}	38.46 ± 0.04^{d}	55.793 ±0.03 ^c	50.02 ± 0.02^{b}		
TVFSNP	0.623 ±0.01°	8.591 ±0.02°	20.348 ± 0.06^{d}	26.823 ± 0.04^{d}	47.89 ±0.21°	51.146 ± 0.03^{d}	54.27 ± 0.02^{a}		
TVF	1.316 ±0.03 ^b	5.406 ±0.01 ^d	22.187 ±0.06 ^c	27.583 ±0.02 ^c	49.756 ±0.09 ^b	69.303 ±0.04ª	37.83 ± 0.03^{d}		
CTX	20.163 ±0.05ª	22.75 ±0.03 ^b	41.093 ± 0.08^{a}	54.556 ±0.09ª	73.546 ±0.24ª	67.946 ± 0.02^{b}	47.19 ±0.02 ^c		

SEM – scanning electron microscopy; CTX – anticancer drug. Data presented as mean ± standard deviation (SD).

ī able 2. IC ₅₀ (μg/mL) and dose-dependent v	values for the in vitro cytotoxic activity of against rotavirus cel	l lines
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Samples -	Concentration [µg/mL] ±SEM								
	0.01	0.1	1	10	100	1000	IC₅₀ [µg/mL]		
AgNO ₃	2.083 ±0.02 ^c	17.951 ±0.02 ^b	22.386 ±0.02 ^c	24.113 ±0.02 ^c	25.163 ±0.03 ^c	96.606 ±0.02ª	31.00 ±0.06 ^c		
TVFSNP	2.976 ± 0.02^{b}	19.956 ±0.02ª	27.786 ± 0.03^{b}	32.016 ±0.03 ^b	35.206 ± 0.03^{b}	82.256 ± 0.03^{d}	38.33 ± 0.04^{b}		
TVF	3.883 ±0.03ª	12.689 ±0.03 ^c	18.156 ±0.04 ^d	20.653 ±0.03 ^d	22.662 ±0.02 ^d	86.146 ±0.02 ^b	28.54 ± 0.03^{d}		
CTX	3.612 ± 0.02^{a}	9.475 ±0.03 ^d	34.533 ±0.02 ^a	55.303 ±0.02ª	73.173 ±0.02ª	84.596 ±0.03 ^c	49.05 ± 0.02^{a}		

S/N	Group	SRBC	SNPs	FF	lgG [mg/dL]	lgA [mg/dL]	lgM [mg/dL]
1	GRP1a	-	-	-	0.000	0.000	0.000
2	GRP1b	-	-	-	79 ± 0.65^{b}	171 ±0.97°	38 ±0.12 ^c
3	GRP2	+	-	-	118 ±0.23 ^a	230 ±0.45 ^b	73 ±0.26 ^b
4	GRP3	-	+	-	48 ±0.27 ^d	258 ±0.73ª	96 ±0.22ª
5	GRP4	-	-	+	63 ±0.39°	75 ±0.81 ^d	24 ±0.17 ^d

Table 3. Immunomodulatory activity of TVFSNPs

n = 6; p < 0.05 - significant difference; GRP1a - mice not exposed to cigarette smoke and not treated; GRP1b - mice exposed to cigarette smoke and not treated; GRP2 - mice administered sheep red blood cells; GRP3 - mice administered TVFSNPs; GRP4 - mice administered TVF; SNPs - silver nanoparticles; FF - fungal filtrate; SN - serial number, SRBC - sheep red blood cell.

the host from potentially pathogenic agents, eliminate neoplastic cells and to reject non-self-components. Swarnakar et al. reported that the chemically synthesized nanoparticles act as an immunomodulatory agent alone or in combination with established therapeutic immuno-modulatory agents, and can be a targeted drug/vaccine delivery vehicle to macrophages.²⁷

Conclusions

The filtrate from *T. viride* mediated the biosynthesis of SNPs, which were spherical in shape and nontoxic at a lower concentration. The TVSNPs exhibited cytotoxicity against Hep-2C cell line and RD cell line in a dose-dependent manner and had immune-stimulation potential by increasing the production of IgA and IgM. The anticancer and immunomodulatory potential of TVSNPs justifies its biomedical application and showcases the biotechnological relevance of the fungus.

ORCID iDs

Bukola Christianah Adebayo-Tayo

https://orcid.org/0000-0003-2404-1686

Gbemisola Elizabeth Ogunleye 💿 https://orcid.org/0000-0003-2344-8177 Omonike Ogbole 💿 https://orcid.org/0000-0002-6487-9494

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Strategy to modulate the tumor microenvironment using nanoparticles

Harshita Agrawal^{A–F}, Rishabha Malviya^{A–F}, Pramod Kumar Sharma^{A–F}

Galgotias University, Greater Noida, India

A – research concept and design; B – collection and/or assembly of data; C – data analysis and interpretation; D – writing the article; E – critical revision of the article; F – final approval of the article

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Address for correspondence Harshita Agrawal E-mail: harshita28497@gmail.com

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Abstract

Tumors are considered as one of the deadliest diseases to affect the human body. Nowadays, nanoparticles, which are based on enhanced permeability and retention, have become prevalent in the treatment of tumors, as they have numerous advantages over conventional treatments of tumors. Recently, it has been reported that tumors are complex networks which comprise of neoplastic as well as non-neoplastic cells. The non-neoplastic cells, collectively called as stroma, assists in tumor progression and also in their survival. In this review, we summarize the strategies which help to modulate the tumor microenvironment in order to enhance nanoparticle delivery for the treatment of a tumor; this comprises of three mains factors: improving tumor perfusion, facilitating nanoparticles extravasation and enhancing interstitial transport of nanoparticles. These strategies are beneficial due to the development of a new combination of therapeutic agents. The major role of the tumor microenvironment at the time of initiation and progression is to modify the fundamentals of tumor biology and also to improve molecular diagnostics and therapeutics. This review emphasizes the properties and characteristics of the tumor microenvironment that are utilized to develop drug delivery systems by nanotechnology, which aim to target tumor cells and tumor microenvironment.

Key words: nanoparticles, tumor stroma, tumor perfusion, tumor vessel normalization, tumor vessel disruption

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Introduction

A tumor is defined as a self-determining, sovereign disease of neoplastic cells. In recent days, the delivery of nanoparticle to cancerous cells has attracted vast attention in the field of the treatment of tumor.¹ Nanoparticles show advantages over drugs which is based on enhanced permeability and retention (EPR) effect. The basic properties of EPR are highly permeable tumor vessels that allows the permeability of particles which includes proteins, micelles, macromolecules, liposomes and other particles that are large enough to avoid renal clearance and causes enhanced retention of those extravagated particles.² Therefore, the main principle behind targeting with EPR effect that tumor targeted by nanoparticles delivery has gained huge success. Extensive literature discloses that EPR drug delivery was compromised by tumor microenvironment (TME).3 Tumor microenvironment is characterized by irregular vascular distribution, poor blood flow, elevated tumor interstitial fluid pressure, rich matrix, and abundant tumor stroma cells. The tumor microenvironment is an important part of tumor tissues, which functions as the soil for the seeds; it is the tumor microenvironment that is responsible for tumor cells proliferating, differentiating and promoting tumor growth. The TME consists of varieties of cells, namely, fibroblasts, myofibroblasts, adipocytes, immune cells, blood vasculature, lymphatic vasculature, and extracellular matrix.⁴ The tumor microenvironment and its cells have some significant irregularities, such as an acidic pH, hyperthermia, altered redox potential, up-regulated proteins, which can have an antitumor application, that is, by using stimulus-responsive nanopreparations.⁵ Thus, nanotechnology has become a developing field for stimulus-responsive nanopreparations in tumors, employing the altered tumor microenvironment to ease the accumulation of provided chemotherapy at the tumor site, which allows for the specific targeting of the tumor and also enables tumor microenvironment to achieve tumor growth inhibition.⁶ It is important to understand the basic difference between a tumor and cancer. In cancer the cellular growth is uncontrollable and it also spreads all over the body, but in the case of tumor, cancer develops when lump is formed inside the body due to abnormal cellular growth. A tumor may or may not develop into cancer. A tumor converts into cancer when it is malignant.

This literature will focus on the strategies applied to modulate the immune response as well as various aspects of TME targeted by nanoparticles. Extensive literature survey reflects that the tumor microenvironment plays a crucial role in the development, proliferation, and metastasis of tumors. Many of the conventional therapies designed to eradicate tumors fail because of the tumor microenvironment; therefore, nanoparticles take a lead into the properties of the tumor microenvironment.⁷ Different strategies are applied to improve the therapeutic benefits of nanoparticles, which include employing active targeting nanoparticles, developing tumor-responsive drugs, optimizing the physiochemical parameters of nanoparticles, such as their shape, charge, and size. This review focuses on immune response modulating and also TME aspects targeted by nanoparticles delivery. The TME is framed by developing a tumor, and for tumor progression, both the cells, i.e., tumor cells as well as stroma cells, are provide benefit. Therefore, the logic for developing stroma cells at the tumor site has not been understood clearly. Stroma cells are basically a collection of cells which consist of immune cells, smooth muscle, vascular muscle, fibroblasts, endothelial, as well as extracellular matrix, along with the secreted molecules which behave in paracrine and autocrine manners to enhance the survival of tumor cells.8 The growth of the tumor is revitalized by some of the growth factors and also by chemokines, which are produced by the immune cells in the stroma and also altered fibroblasts, which then engage more stromal cells. Consequently, the TME modification was considered as an important tool for nanomedicine delivery improvement. Hence, it is reported that delivery of the nanoparticles to the site of the tumor is based on two types of mechanism, namely active and passive mechanism. In a passive mechanism, nanoparticles, which have properties of long systemic circulation, have the ability to assemble in the interstitial space, where the selective collection is attained by enhanced permeability and retention effect. In the case of active mechanism, the nanoparticles are attached with molecular ligands, such as cell specific ligands, biological proteins, antibodies, peptides, etc. These ligands improve the cellular uptake of nanoparticles via receptor-mediated endocytosis.9-11

Strategies to modulate tumor microenvironment

There are several strategies used for modulating tumor microenvironment to enhance the nanoparticles delivery for the treatment of tumor and they are divided into the following three categories: improving tumor perfusion, facilitating nanoparticles extravasation and enhancing interstitial transport of nanoparticles (Fig. 1).¹



Tumor vessel normalization

The newly formed tumor vessels are always curvy and drippy, which allows nanoparticles extravasation, but, at the same time, this increases interstitial fluid pressure, which helps in preventing adequate blood flow of nanoparticles. The goal is to improve nanoparticle delivery for the treatment of a tumor; for this the vessels need to be normalized, which has been found to be an efficacious approach to improve nanoparticle delivery. During normalization of vessels, the abnormal phenotype of tumor vessels transforms into the phenotype, which seems to closely resemblefully functional normal vessels by mending the basement membrane and increasing coverage rate of pericytes and eventually decreases leakiness of vessel.¹² Hence, optimization in the tumor vessel structure can ultimately decrease the extravasation of fluid and also lowers interstitial fluid pressure and this cause's tumor blood flow to restore which can improve vascular transport of nanoparticles (Fig. 1). In this review, 4 strategies have been discussed for vessel normalization to improve nanoparticle delivery for the treatment of the tumor. The foremost strategy is capable of improving only the delivery of drugs which have a small molecular weight or drugs which have a small molecular weight compared to the nanoparticles, which range from 20 to 40 nm, but minimizes the delivery of nanoparticles which have a large molecular weight.¹³ This occurs because large nanoparticles reduce the endothelial gap of vessels of the tumor. The treatment for a tumor in the second strategy by nanoparticles is delivered during the normalization window. The treatment for a tumor in the second strategy by nanoparticles is delivered during the normalization window. Thirdly, it is necessary to prevent excessive elimination of tumor vessels; in order to achieve this appropriate dose of vascular normalizer is highly recommended. Lastly, this strategy is only applicable in the case of highly permeable tumors and not for desmoplastic tumors, because, as we know, vasculatures are highly constricted in the desmoplastic tumors.¹⁴

Tumor vessel disruption

In tumor tissues, vasoconstriction arbitrates via vasoconstrictive endothelin-1 (ET1) and also via its receptor, i.e., ETA, which is essential for maintaining the contractile tone of tumor vessels. The articulation level of ETA and ET1 for tumor vessels was found to be 13-fold and 5-fold elevated than normal vessels size.¹⁵ Therefore, a selective antagonist, i.e., BQ123, inhibits signaling between ET1 and ETA and tumor vessel dilation, and it also triggers a tumor-specific increase in blood flow. The increase in blood flow is caused by BQ123, which can improve the delivery of the free drug to tumors. Moreover, it was found that BQ123 can increase nanoparticle delivery for tumor treatment.¹⁶

Inflammatory mediators

Tumor necrosis factor alpha, VEGF, and nitric oxide (NO) donors¹⁷ are some of the inflammatory mediators which have the ability to enhance vascular permeability. This enhanced vascular permeability can be used to enhance the accumulation of nanoparticles in tumors higher than control group, i.e., 2 to 6-fold higher. After vascular permeability is enhanced, vasodilatation and blood flow need to improve. This improvement occurs by means of inflammatory mediators. These inflammatory mediators, which give a series of effect, can also participate in the elevation of interstitial fluid pressure against nanoparticles delivery.¹⁷ Hence, the accumulation of nanoparticles in tumor cells apparently depends on these factors.

Depletion of pericyte

In a desmoplastic tumor, pericytes coverage rates on endothelium were about 70% higher than in highly permeable tumors, which ultimately restricts the transvascular movement of nanoparticles into tumor interstitium. Therefore, certain strategies are being developed to reduce the coverage rate of pericytes of the endothelium by using a low dose of an LY36947 and TGF-b and also to increase size gaps between the endothelium. This can increase the therapeutic benefits of many drugs.¹⁸ In a literature review, therapeutic benefits of gemcitabine loaded liposomes delivered for pancreatic tumor and also Doxilloaded liposomes for diffusion type gastric tumor have been reported.¹

Depletion of platelets

It is known that homeostasis is triggered by platelets, which play the primary role in thrombus formation. Apart from this role, platelets also contribute to tumor progression and metastasis. Additionally, tumor vascular homeostasis is also supported by platelets as well as the integrity of tumor vessels.¹⁹ Extensive studies have revealed that a reduced number of platelets causes severe blood flow at the tumor site and can also causes leakiness of tumor vasculature. A study has reported that, platelets reduction in thrombocytopenic mice increase efficiency of chemotherapy for breast cancer. Another study has found that TME responsive nanoparticles have the ability to deliver antibodies to deplete the selective platelet in tumor tissues; this was done to avoid bleeding in normal organs of the body.²⁰ Following this, vascular permeability was augmented and, as a result, nanoparticle delivery for tumor treatment was improved. It has been concluded that the depletion of platelets is a reliable means of augmenting transvascular delivery for treatment of tumors through nanoparticles.²¹

Physical stimulus

Physical stimulus includes radiation, which can improve nanoparticles delivery for tumor.²² A literature survey reveals that there are various mechanisms wherein radiation can regulate the growth of vascular endothelial factor, and this is regulated by activating the HIF1 factor, i.e., the hypoxia-inducible factor 1, and also by multiple mitogen-activated protein kinase-dependent pathways which enhance tumor vessel permeability.23 Therefore, after an extensive literature survey, results have revealed that permeability of tumor vessels permeability of imagingcontrast agent with the molecular weight above 200 kDa was increased by 32.8% after irradiation. Moreover, radiation has the capacity to kill the tumor cells, which are sensitive in nature. It is concluded that the density of cells helped in diminishing compression stress of tumor cells and hence enhancing the blood flow of tumors, and the effect of radiation on tumors is dependent on the dose, time and tumor type.^{24,25}

Conclusions

Nanoparticle drug delivery has attracted considerable attention in the treatment of tumors. Nanoparticles in the tumor microenvironment provide a universal approach for anti-tumor therapy. Tumors are highly heterogeneous and, hence, growth is done in a complex microenvironment. The responsive peptide-base nanoformulations are also used for Improved Tumor Therapy. Tumor microenvironment consists of fibroblasts, immune cells, and extracellular matrix components. It is pivotal to formulate nanoparticles for a tumor which can easily adapt the tumor microenvironment and enhance the targeting of the drugs to the tumor cells. Recent advancements have been made in nanoparticle technology, allowing the development of tumor vasculature-targeted drug delivery, which can enhance the therapeutic efficacy of various anti-tumor medicines. Nanoparticles can directly affect the immune cells as well also their responses within the TME and they can also be functionalized to improve the particular subpopulations of immune cells, such as NK cells, DCs, and T cells.

ORCID iDs

Harshita Agrawal () https://orcid.org/0000-0001-5340-6328 Rishabha Malviya () https://orcid.org/0000-0003-2874-6149 Pramod Kumar Sharma () https://orcid.org/0000-0002-2418-7055

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The use of different dialysis membranes in therapy of patients with multiple myeloma

Maciej Szymczak^{1,A-F}, Dorota Zielińska^{2,D,F}, Aleksandra Musiała^{1,D-F}

¹ Department of Nephrology and Transplantation Medicine, Wroclaw Medical University, Poland ² Department of Nephrology and Transplantation Medicine, University Clinical Hospital, Wrocław, Poland

A – research concept and design; B – collection and/or assembly of data; C – data analysis and interpretation; D – writing the article; E – critical revision of the article; F – final approval of the article

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Address for correspondence Maciej Szymczak

E-mail: maciej.szymczak@umed.wroc.pl

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Abstract

Free light chains accumulation is the reason of kidney injury in patients with multiple myeloma. The removal of free light chains can improve patients prognosis and survival, and in some cases allows for dialysotherapy discontinuation. Unfortunately, conventional dialysis is not effective enough in terms of free light chains removal. New high cut-off (HCO) techniques remove free light chains more effectively than conventional dialysis. In some cases, this technique may turn out better than hemodiafiltration. However, there are some differences between specific techniques in the removal of kappa and lambda light chains. Lambda light chains are better removed by polymethyl methacrylate membranes with a change of filter during dialysis. Kappa light chains are thoroughly removed by polymethyl methacrylate membranes and HCO (35,000 Da) polysulfone membranes. Unfortunately, it is very difficult to differentiate between the effect of HCO dialysis therapy and concomitant chemotherapy because some of the data is not fully conclusive. Using the proper technique for an individual patient may give optimally effective treatment results.

Key words: treatment, multiple myeloma, dialysis membranes

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Introduction

Conventional hemodialysis is unable to remove effectively the circulating free light chains in patients with multiple myeloma (MM). New high cut-off (HCO) dialysis techniques make it possible to decrease levels/concentrations of free light chains, especially with simultaneous chemotherapy treatment. Hemodiafiltration with ultrafiltrate regeneration on resin using 'super-high-flux' (polyphenylene super-high-flux (S-HF), with a nominal cut-off of 42 kD) membrane also effectively decreases free light chains concentrations. This kind of hemodiafiltration does not have any influence on albumin concentration.¹ Using HCO membranes allows for stopping dialysis in some patients with MM (3 out of 5 in this study).²

Utilizing HCO membranes was associated with a higher rate of hemodialysis independence at 6 months (56.5% HCO hemodialysis vs 35.4% conventional hemodialysis) and 12 months (60.9% HCO hemodialysis vs 37.5% conventional hemodialysis). The frequency of adverse effects was similar in both groups (43% of complications connected with hemodialysis in the HCO group in comparison to 39% in the conventional group), and mortality was similar in both groups.³

Similar results were achieved in terms of dialysis independency after 6 and 9 months of treatment when HCO dialysis membranes with bortezomib were used -6 out of 10 patients no longer needed dialysis, compared to 2 out of 10 patients undergoing conventional dialysis with bortezomib.⁴

Other authors found that in patients with MM, using HCO membranes results in lower mortality in comparison to conventional membranes. The survival rate after 1 year of treatment was 25% in the group of patients dialyzed using HCO dialyzer compared to 0% when a conventional dialysis was performed. Complete renal response rate, defined as an increase from <50 mL/min to >60 mL/min for at least 2 months, was 10.5% among patients treated with HCO dialyzers compared to 0% among patients treated with conventional dialysis. Partial renal response rate, defined as an increase of estimated glomerular filtration rate (eGFR) from <15 mL/min to 30-59 mL/min, was 15.8% and 5.3%% in HCO dialysis- and conventional dialysis-treated patients, respectively, while minor renal response rate, defined as an increase from <15 mL/min to 15-29 mL/min or from 15-29 mL/min to 30-59 mL/min, was 26.3% and 15.8% in HCO dialysisand conventional dialysis-treated patients, respectively. Increased survival rate of patients and renal response rate correlated with a decrease of free light chains concentration. Total treatment costs were comparable in both groups of patients treated with usage of HCO membranes and conventional dialysis.5 While HCO membranes are more expensive than conventional ones, better overall treatment results lead to decreased total treatment costs, offsetting the higher price of HCO membranes.⁶

Polymethylmethacrylate membranes

The use of adsorptive membranes, such as polymethylmethacrylate-based BK-2.1 membrane, was also associated with better outcomes among patients with myeloma and cast nephropathy.⁷

Combining Theralite 2100 SUPRA device (Bellco, Mirandola, Italy), bortezomib and dexamethasone treatment resulted in a decrease of free light chains concentrations ranging from 72.8% to 99.7% in 3 weeks. Response to treatment was achieved in 80% of patients with acute kidney injury in the course of MM.⁸

High cut-off membranes dialysis effectively diminished free light chains concentrations in patients with acute kidney injury. A total of 11.6 six-hour HCO dialysis sessions per patient were performed, with free light chains decreasing by 93.7% in the course of treatment. Single dialysis session decreased free light chains by about 57.7%.⁹

On the other hand, a comparison of dialysis using polymethyl methacrylate membranes (PMMA), one of the most common HCO dialysis membranes, with conventional dialysis for patients simultaneously treated with bortezomib indicate no differences between these modalities after 3 months of treatment. The results of treatment were dependent on the hematologic response for treatment (56% of patients with hematological response and 6.7% of patients without hematologic response were independent from dialysis).¹⁰

Double polymethacrylate membranes

Nonetheless, it was proved that the double polymethylmethacrylate filter (DELETE system) (Toray BK-F; Toray Industries, Inc., Tokyo, Japan) was effective in terms of free light chain removal in chronic dialysis patients with MM.¹¹

Exchange of PMMA filter after 2 h of dialysis increased lambda light chains removal rates compared to classic PMMA, as it mitigated rapid PMMA saturation with free lambda chains, which diminishes their efficacy in removing the lambda chains. This kind of dialysis is called enhanced adsorption dialysis (EAD). The reason of this phenomenon is fast PMMA saturation with free lambda chains. Saturation of PMMA with free light chains decreases free lambda light chains removal efficacy.

This phenomenon was not observed in kappa light chains removal. It is suggested that the EAD method may be important in the treatment of MM patients with high concentrations of lambda light chains.¹² High cut-off PMMA dialysis removes free light chains mainly through adsorption. In the course of hemodiafiltration, more free light chains are removed than in the used dialysis solution. High cut-off PMMA removes kappa light chains more effectively than hemodiafiltration.¹³

Other membranes

More effective clearance of kappa light chains compared to lambda light chains was observed also in 24 h dialysis using a HCO (35,000 Da) polysulfone membrane.¹⁴ Light chains appear not only in MM; they are classified as free medium urea toxins. Comparison of free dialysis membranes: PMMA, polyphenylene HFR17 filter and conventional polysulfone filter F7HPS in terms of kappa and lambda free light chains removal indicates that PMMA and polyphenylene HFR17 filter are more effective than conventional polysulfone filter F7HPS.¹⁵

Efficacy control

It should be taken into account that dialysis membranes with nominally the same parameters may have a different efficacy of clearance.¹⁶ The structure of monoclonal protein is different in every patient and the real efficacy of free light chains should be controlled. Free light chains concentration should be checked every week of dialysis treatment.¹⁵ Actually, published data indicates that better prognosis is correlated with the extent of free light chain reduction in serum.⁵

Controversies

Contrary to the data indicating the superiority of HCO hemodialysis over conventional dialyzers, there are 2 multicenter randomized controlled trials in which this superiority was not confirmed. In MYRE study (98 participants and 48 hospitals in France), no statistically significant difference was shown in the hemodialysis independence rate between patients treated with HCO compared to conventional hemodialysis for 3 months (41.3% and 33%, respectively, p = 0.42), although a significantly higher clearance of light chains in HCO dialyzers group was noticed.³ Significant difference in hemodialysis independence appeared 6 and 12 months of treatment (56.5% vs 35.4% and 60.9% vs 37.5%, respectively) but, as the authors of MYRE study concluded, these results should be considered exploratory. In EuLITE study (90 patients and 16 hospitals in UK and Germany), hemodialysis independence was observed in 56% of patients treated with HCO dialyzers and in 51% patients in the standard hemodialysis group (p = 0.81). More infections were observed as adverse events in HCO hemodialysis group, including lung infections (26 vs 13 infections, 14 vs 3 lung infections).¹⁷

Summary

The efficacy of HCO dialysis membranes in terms of diminishing free light chains resulted in guidelines of the International Myeloma Working Group Recommendations for the Diagnosis and Management of Myeloma-Related Renal Impairment: The use of HCO dialyzers in combination with anti-myeloma therapy should be considered (grade B).¹⁸ The use of HCO dialyzers in combination with anti-myeloma therapy seems to be a good option for treating patients with MM. However, future studies should precise the indications for this therapy.

ORCID iDs

Maciej Szymczak () https://orcid.org/0000-0002-1248-081X Dorota Zielińska () https://orcid.org/0000-0003-1861-2622 Aleksandra Musiała () https://orcid.org/0000-0001-7358-2046

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Comprehensive review of the role of acrylic acid derivative polymers in floating drug delivery system

Beena Kumari^{1,2,A-C}, Aparna Khansili^{2,B,D-E}, Parmita Phougat^{3,B,D}, Manish Kumar^{4,D,F}

¹ Department of Pharmaceutical Sciences, Indira Gandhi University, Rewari, India

² Department of Pharmacy, School of Medical and Allied Sciences, GD Goenka University, Gurugram, India

³ Pandit Bhagwat Dayal Sharma Post Graduate Institute of Medical Sciences, Rohtak, India

⁴ MM College of Pharmacy, Maharishi Markandeshwar (Deemed to be University), Mullana-Ambala, India

A – research concept and design; B – collection and/or assembly of data; C – data analysis and interpretation; D – writing the article; E – critical revision of the article; F – final approval of the article

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Address for correspondence

E-mail: manish_singh17@rediffmail.com

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Abstract

In the development of drug delivery systems, an oral drug delivery system is the preferred route of drug administration. Many components play an important role in developing a drug delivery system. Amongst those components, polymers have evolved with these systems. Macromolecule compounds consisting of many monomer units which are joined to each other by different bonds are known as polymers. For drugs that are absorbed primarily in the upper gastrointestinal tract, floating drug delivery systems offer an additional advantage. The purpose behind this review was to focus on different types of floating drug delivery systems and different types of polymers used in floating drug delivery systems, focusing on acrylic acid derivatives and their applications. In this review, the main emphasis is on acrylic acid derivative polymers, their formulation and grades, and various patents on these types of polymers. Based on the literature survey, mainly 2 types of polymers are used in this drug delivery system; i.e., natural and synthetic. Examples of natural polymers are xanthan gum, guar gum or chitosan, and synthetic polymers include acrylic acid derivatives and hydroxylpropyl methylcellulose (HPMC). Eudragit and Carbopol are the most widely used acrylic acid derivatives.

Key words: acrylic polymers, Eudragit, floating drug delivery system, acrylic acid derivatives, carbomer

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Introduction

A gastro-retentive drug delivery system (floating), which is less dense than gastric fluids, thus remaining buoyant in the stomach for a prolonged period, and which does not affect the gastric emptying rate is known as a floating drug delivery system (FDDS).¹ Floating drug delivery systems are also known as hydrodynamically balanced systems (HBS). The system floats within the gastric contents and the drug is released at the desired rate from the system.^{2,3} The remainder of the system is emptied from the stomach after the release of the drug; as a result, an increased gastric residence time (GRT) and a better control of fluctuations in plasma drug concentration can be achieved. The differences between zero-order controlled release and sustained release are shown in Fig. 1.



Fig. 1. Drug release profile, showing the differences between zero-order controlled and sustained release

Types of floating drug delivery systems

There are various types of commercially available FDDSs^{4,5} through which drugs are administered to the body and the effective controlled release of a drug is achieved. Some of these formulations are described in Table 1.⁶



Polymers used in floating drug delivery systems

In a floating drug delivery system, many polymers are used to target drug delivery at a specific region within the stomach. Both types of polymers, i.e., synthetic and natural, are used in such a system. Natural polymers like chitosan, xanthan gum and sodium alginate are used in a floating system, while synthetic polymers, such as hydroxylpropyl methylcellulose (HPMC), ethyl cellulose and acrylic acid derivatives, are used for the floating drug delivery.⁷ Different natural and synthetic polymers and their properties are listed in Table 2.

Natural polymers have some inherent disadvantages, such as microbial contamination, variation between batches, uncontrolled hydration rate, and loss of viscosity in storage.⁸

Synthetic polymers

Synthetic polymers are macromolecules with very large chains containing a variety of functional groups. They have a very wide range of uses, and are thus becoming more and more important in pharmaceuticals. The uses of synthetic polymers, e.g., as a binder or film coating agent for targeted drug delivery, are very common. Synthetic polymers are either purely synthetic or semi-synthetic, the latter being a modified form of natural polymers.⁹

Some examples of synthetic polymers are Eudragit or Carbopol, which are acrylic acid derivatives, and HPMC.

Name of the product	Active ingredient	Category	Remarks
Madopar	levodopa and benserazide	anti-parkinsonian	floating, controlled-release (cr)
Valrelease	diazepam	anti-anxiety	floating capsule
Gaviscon	Al hydroxide Mg carbonate	antacid (in reflux esophagitis)	effervescent floating liquid alginate preparation
Cytotec	misoprostol	antiulcer	floating dosage form
Topalkan	alginic acid, aluminium and magnesium salts	antacid	floating liquid alginate preparation
Almagate flowcoat	Al-Mg antacid	antacid	floating dosage form

No.	Polymer (type)	Source	Properties
1.	guar gum (natural)	endosperm of seed of cynopsis tetragonolobus	insoluble in organic solvents, strong hydrogen bond
2.	chitosan (natural)	shell of marine invertebrates	nontoxic, biodegrable, biocompatible
3.	xanthan gum (natural)	fermentation of glucose by <i>Xanthomonas campestris</i>	excellent solubility and stability under acidic and alkaline conditions
4.	gellan gum (natural)	Pseudomonas elodea	high gel strength, an excellent stability, process flexibility, high clarity
5.	sodium alginate (natural)	Laminaria hyperboria	acidity/alkalinity ph-7.2 (1% w/v aqueous solution)
6.	Eudragit (synthetic)	acrylamide monomer	Eudragit S and FS are soluble at pH above 7 while Eudragit L is soluble at pH above 6. Eudragit RL, NE 40D, RS, NE 30D, and NM 30D are used to form water-insoluble film coats.
7.	ethyl cellulose (synthetic)	prepared from cellulose, it is a partly O-ethylated cellulose, its ethoxy content (-OC_2H_5) is 44–51%	water-insoluble cellulose ether

Table 2. List of polymers and their properties

Acrylic acid

Byproduct of the production of ethylene and gasoline, acrylic acid is produced by the oxidation of propylene:

 $CH_2=CHCH_3 + \frac{3}{2}O_2 \rightarrow CH_2=CHCO_2H + H_2O$

The IUPAC name of acrylic acid is propenoic acid. It is an organic compound with the formula CH_2 =CHCOOH. It has good solubility with water, ethers, chloroform, and alcohols.¹⁰



Acrylic acid derivatives

There are many derivatives for the preparation of floating microspheres to be used as polymers. Of these numerous polymers, Eudragit and Carbopol are the most commonly used derivatives. A derivative of acrylic and methacrylic acids, such as Eudragit and its various grades – RL, E and RS – are used in the preparation of floating microspheres.¹⁰ The grades RL 100 and RS 100 are both granular in nature and are the most widely used forms of any pH-independent swelling polymer with muco/adhesive properties.¹¹

For sustained-release products and to form water-insoluble film coatings, Eudragit RL, NM 30D, NE 30D, RS, and NE 40D are used. Varying permeability films can be obtained by mixing any 2 polymers, but Eudragit RL films are more permeable than Eudragit RS. In aqueous as well as organic wet-granulation processes, polymethacrylates are also used as binders. To control the release of a drug from a tablet matrix, more (5-20%) dry polymer is used; solid polymers (10-50%) may be used in direct compression processes. To prepare novel gel formulations for rectal delivery and the matrix layers of transdermal delivery systems, polymethacrylate polymers are also used.¹²

History of Eudragit

Before the 19th century, the control of drug release time and its release site was impossible. In order to remove this main drawback, scientists can use polymers to plan and modulate the release of drug. The discovery of Eudragit by Rohm and Haas played a major role in finding the solution to this problem. Over time, various grades of Eudragit have been discovered, with varying degrees of solubility. To coat solid drugs, as with tablets, capsules or granular formulations, Eudragit is used as an excipient. Then, in the 1950s, the use of Eudragit in drug release was first discovered when a coated pill that dissolves in stomach acid was released. Since then, many other variants of Eudragit which control the drug release time have become available, but these are called retard preparations because they release their drugs at intestinal pH due to their resistance to stomach pH.¹³ Eudragit is a trademark of Rohm GmbH and Co. KG. Eudragit is produced through the polymerization of acrylic and methacrylic acids or their esters, such as butyl ester.¹⁴ The different grades of Eudragit are introduced in chronological order in Table 3.

Glass transition temperature

In the description of the physical properties of polymers, glass transition temperature is an important factor. The solidification of an anisotropic polymer melt is

Grade of Eudragit	Year of introduction	Available form	Glass transition temperatures (Tg)	Dissolution properties	Applications
RL 100	1968	granules	63	insoluble	sustained release
RL 30 D	1986	30% aqueous dispersion	55	pH-independent	sustained release
RS 100	1968	granules	65	insoluble	sustained release
RL 12.5	1954	12.5% organic solution	130 (±5)	_	sustained release
RL PO	1972	powder	63	high permeability	sustained release
RS 12.5	1954	12.5% organic solution	130 (±5)	_	sustained release
RS PO	1972	powder	65	low permeability	film coating
NE 40 D	1983	40% aqueous dispersion	-8	pH-independent swelling	film coating
RS 30 D	1986	30% aqueous dispersion	55	pH-independent swelling	sustained release
NE 30 D 30 %	1972	aqueous dispersion	-8	Insoluble, low permeability	film coating

Table 3. Specifications and applications of different grades of Eudragit

described on a macroscopic level. In short, as the temperature is increased, the glass transition or glass–liquid transition is the reversible change in an amorphous product from a solid and moderately brittle "glassy" state into a rubbery or viscous state.¹⁵ The glass transition temperature of different grades of Eudragit is presented in Table 3.

Types of Eudragit polymers



1. Soluble poly(meth)acrylates

Soluble poly(meth)acrylates will dissolve in digestive fluids by forming salt and are able to release a drug at certain pH levels with acidic or alkaline groups.

Applications

Through simple masking and gastric resistance, the drug is delivered to all sections of the intestine for controlled drug release.

2. Insoluble poly(meth)acrylates

Insoluble poly(meth)acrylates are permeable in digestive fluids but insoluble in nature. For example, by pHindependent swelling Eudragit RL and RS polymers are able to control the drug release time in alkaline conditions, while Eudragit NE polymers are able to do so with neutral groups.

Advantages of Eudragit polymers

The advantages of the acrylic acid derivative¹⁶ Eudragit are listed in Fig. 2.



Fig. 2. Advantages of Eudragit polymers

Carbopol

Another acrylic acid derivative with a high mucoadhesive property and a high swelling property is Carbopol; it is very often used in FDDSs. Carbopol is used alone and in combination with other polymers, such as Eudragit or natural polymers, in preparations of floating formulations.¹⁷⁻¹⁹ By using the emulsification solvent evaporation method, floating microspheres can also be prepared with different grades of Carbopol: Carbopol 934, Carbopol 910, Carbopol 940, and Carbopol 941. The different grades of carbomer and their uses, viscosities and properties are described in Table 4. This floating system has been accepted as a process to accomplish controlled drug delivery by delaying the residence time of the dosage form at the site of absorption, thereby enhancing the bioavailability of the active ingredient.^{20–22} The advantages of this polymer are summarized in Fig. 3.



Fig. 3. Advantages of Carbopol polymers



Fig. 4. The role of acrylic acid derivatives in drug delivery

Pharmaceutical applications of acrylic acid derivatives

There are numerous applications of acrylic acid derivatives; they are primarily used as tablet coatings, film forming agents, tablet binders, etc. Eudragit E12.5 is a 12.5% solution in propanol acetone (60:40) with a molecular weight of 32,000 g/mol. It is available as an organic solution and is mainly used as a film coating agent. It appears light yellowish in color and is soluble at a pH of less than 5. It is miscible in ethyl acetate, acetone, alcohols, 1N HCl, dichloromethane, and petroleum ether.

Eudragit E100 is used for a targeted area such as the stomach. It is accessible as tinged granules which are colorless or yellow in color with an amine-like odor. Its properties include great pigment binding capacity, low polymer weight, low viscosity, and good adhesion. The solubility characteristics of Eudragit E100 are similar to Eudragit 12.5. Eudragit grade RSPO is available as a white powder and has a faint amine-like odor, while Eudragit RS 100 is available as a colorless granule with an odor similar to Eudragit RSPO.¹⁵ The description and uses of Carbopol derivatives are presented in Table 4. The role of these polymers is depicted in Fig. 4.

Eudragit E PO is available as a free-flowing white powder which is used as a film coating agent. It is soluble in acetone and alcohols and in a pH of less than 5. Eudragit RS 100, RS 30D, RS 12.5, and RSPO are copolymers with quaternary ammonium groups of methyl methacrylate, ethyl acrylate and a small amount of methacrylic acid ester. The ammonium groups exist as salts and this permeability is an asset. Eudragit grade RS 30 D is available in liquid form. It has squat viscosity, a faint, characteristic odor, and a milky white color.¹⁵ The widespread applications of different acrylic acid derivatives as single polymers or in combination with other natural or synthetic polymers are summarized in Table 5 along with their dosage form and method of preparation.

Different grades of Eudragit, such as RSPO, are available in powder form, while RS 30D, RS 100, and RS 12.5 are accessible in granular form, 30% aqueous dispersion and organic solution (12.5%), respectively; all grades are insoluble. They show pH-independent swelling with low permeability. Different grades of Eudragit are used in various ratios for the controlled and modified release profile.⁵⁹ Out of the many grades of Eudragit, a brief outline on RS 30D, RS 100 and RSPO is provided in Table 6.

Table 4. Different grades o	f carbomers and t	cheir properties
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Viscosity [Pa·s]	Used in dosage forms	Properties		
3,000–7,000	emulgel, liposomal gel	Effective in low fixations and give a low consistency formulation.		
40,000-60,000	emulgel	Effective in thick formulations and very great clarity in water or hydroalcoholic topical gels. Forms clear gels with hydroalcoholic frameworks.		
4,000-11,000	emulgel	Produces low consistency gels and great clarity.		
30,500–39,400	jojoba oil-based emulgel	Effective in thick details, for example, emulsions, suspensions, sustained release formulations, transdermals, and topicals. Forms clear gels with water.		
29,400–39,400	emulgel, liposomal gel	Same properties as 934; however, expected for pharmaceutical plans. "P" = exceptionally purified product		
	Viscosity [Pa·s] 3,000-7,000 40,000-60,000 4,000-11,000 30,500-39,400 29,400-39,400	Viscosity [Pa·s]Used in dosage forms3,000-7,000emulgel, liposomal gel40,000-60,000emulgel4,000-11,000emulgel30,500-39,400jojoba oil-based emulgel29,400-39,400emulgel, liposomal gel		

Drug	Polymer	Dosage form	Method used	Reference
Ofloxacin	ethyl cellulose, sodium bicarbonate, Eudragit RL 30D	pellets	extrusion-spheronization	25
Itraconazole	chitosan	microspheres	ionotropic gelation	26
Norfloxacin	Eudragit®L100, Eudragit®RS 100	microballoons	emulsion solvent diffusion	27
Nifedipine	ethyl cellulose	microspheres	solvent evaporation	28
Bumetanide	Eudragit RS 100, sodium chloride, triethyl citrate	pellets	fluid bed layering and coating	29
Famotidine	Eudragit S 100	microspheres	solvent evaporation	30
Levodopa	gelatin, ethyl cellulose, carbidopa, L-polylactic acid, Eudragit S 100	novel unfolded CR-GRDF	solvent evaporation	31
Acacia catechu	Carbapol, HPMC and sodium CMC	microspheres	solvent evaporation	32
Pantaprazole	Eudragit L 100 and RS 100	microballoons	emulsion solvent diffusion	33
Piroxicam	alginate, pectin and HPMC	beads	ionotropic gelation method	34
Diclofenac potassium	Kollicoat SR 30D, Eudragit NE 30D and RS 30D	pellets	extrusion-spheronization	35
Carvedilol	chitosan	beads	ionotropic gelation method	36
Metformin hydrochloride	polyethylene oxide and Eudragit®L100	matrix tablets	direct compression	37
5- Fluorouracil	ethyl cellulose	microspheres	emulsion solvent diffusion	38
Levodopa	Eudragit®RL 30D, acetyl, triethyl citrate	floating coated mini-tabs	melt granulation and compression	39
Procynanidins	chitosan	capsules containing beads	ionotropic gelation method	40
Riboflavin	Eudragit L and Eudragit S plasticized with triethyl citrate	unfolding dosage form	accordion pill technology	41
Anthocyanin	calcium alginate, calcium carbonate, sodium acetate anhydrous and calcium chloride	microspheres	ionotropic gelation method	42
Diltiazem hydrochloride	sodium alginate, CaCO3, CaCl2, Eudragit RS 30D, and chitosan	floating microspheres	ionotropic gelation method	43
Clarithromycin	ethyl cellulose and HPMC E5	microspheres	solvent evaporation	44
Rabeprazole sodium	MC, Mannitol SD 200, Colorcoat EC4S, Kollidon CL	enteric coated tablet	wet granulation and direct compression	45
Nizatidine	Eudragit S 100 and HPMC	microballoons	emulsion solvent diffusion	46
Riboflavin	Eudragit RS 100 and HPMC	microballoons	emulsion solvent diffusion	47
Metformin	HPMC K4M, ethyl cellulose	microballoons	solvent evaporation	48
Ketoprofen floating	Eudragit S 100 and RL 100	microparticles	emulsion solvent diffusion	49
Meclizide HCL	HPMC K 15M, Eudragit S 100 and RS 100	microspheres	solvent evaporation	50
Riboflavin	Eudragit S 100, PVA, dichloromethane, HPMC, and ethanol	microballoons	emulsion solvent diffusion	51
Repaglinide	PC, PPG	microspheres	solvent evaporation	52
Verapamil	Povidone K 30, talc, Eudragit NE 30 D and L 30 D, triethyl citrate	floating pellets	wet granulation and spheronization	53
Curcumin	ethyl cellulose	microspheres	emulsion solvent diffusion	54
Felodipine	ethyl cellulose	hollow microspheres	emulsion solvent diffusion	55
Riboflavin	Eudragit RS 100 and HPMC	microballoons	emulsion solvent diffusion	56
Fluconazole	Carbopol 934	liposomal gel	simple gelation method	57
Ketoconazole	Carbopol 934 and 940	emulgel	simple gelation method	58

Table 5. List of drugs with their dosage form for gastric retention

Recently, Carbopol- and Eudragit-based formulations were collected for various patents and it was observed that formulations prepared using both of these polymers have been patented for diversified uses. Some of the patented applications are listed in Table 7, e.g., for colonic drug delivery, enhanced stability, improved bioavailability, improved hardness, oral drug delivery, reaction of carbomers, prolonged drug release, etc.⁵⁹

Conclusions

Acrylic acid derivative polymers have made significant contributions to various formulations due to their unique properties. In this article, the role of Carbopol and Eudragit was observed as novel and useful polymers, which can become more important in the future. This comprehensive review of 78 references signi-

Table 6. Specifications of Eudragit RS 30D, RS 100 and RSPO

Drug name	Grade of Eudragit	Method of preparation	Dosage form	Significance	Reference
Oxymatrine	Eudragit RS 30D	extrusion/spheronization	pellets	sustained release of drug for 12 h	60
Stavudine	Eudragit RSPO	solvent evaporation method	microspheres	sustained release	61
Ketoprofen	Eudragit RS 30D	same as in reference 60	pellets	The initial drug release is minimized but the terminal drug release increased more significantly	. 62
Lobenzarit disodium	Eudragit RSPO	direct compression	tablet	slow drug release	63
Ambroxol hydrochloride	Eudragit RS 30D	same as in reference 60	pellets	stable as well as sustained release formulation	64
Verapamil hydrochloride	Eudragit RS 100	wet granulation method	matrix tablets	Coating with Eudragit RS 100 polymer reduced initial drug release.	65
Diclofenac sodium	Eudragit RS 30D	roto agglomeration	pellets	extended drug release for 24 h	66
Terbinafine hydrochloride	Eudragit RS 100	nano preciptation method	nanoparticles as eye drop	improved ocular bioavailability	67
Alfuzosin hydrochloride	Eudragit RSPO	same as in reference 63	tablets	The drug release was prolonged for 20 h.	68
Clotrimazole	Eudragit RS 100	spray drying technique	tablets containing microspheres	controlled intravaginal drug release	69
Theophylline	Eudragit RSPO	rotary tablet press	microtablets	sustained release	70
Genistein	Eudragit RS 100	melt-emulsification technique	nanostructured lipid carrier	Corneal penetration increases 3.3-fold.	71

Table 7. Patents on applications for acrylic acid derivatives

Title of the patent	Invention	Patent No.	Reference
Zinc/pectin beads with a Eudragit coating for colonic delivery	The systems comprise pectin beads which are cross-linked with any divalent cation or zinc which are coated with Eudragit polymers.	US 20080124279	73
With enhanced mechanical properties modified release tablet formulations	For said pharmaceutical formulation Eudragit L00-55 is used which achieves a desired hardness.	US 2007010	74
Enhanced stabilization of misoprostol	Misoprostol was complexed with several grades of Eudragit, such as RS series, RL series, Eudragit S and L; the solid dispersions were stable and showed sustain release.	EP0896823	75
Preparation method for the carbomer	Reaction in a mixed solvent of ethyl acetate and n-hexane and cyclohexane.	201310453464.3	-
Ursodeoxycholic acid-synthetic hydrotalcite- eudragit hybrid, pharmaceutical composition and method for preparing the same	The ursodeoxycholic acidsynthetic hydrotalcite-eudragit hybrid was used for bitter-taste-blocking effect and with high solubility improved body absorption rate.	US 2012015 6263	76
Oral drug delivery formulations	One active substance and minimum 1 coat containing Eudragit E in order to manage pain the preparation may be used for releasing loading dose up to about 55% of a total dose.	US 20150250733	77
Preparation of carbomers	Carbomer portion of the reaction medium is water instead of organic solvent such that the process toward the preparation of non-toxic carbomer, development of green direction.	201410010540.8	-
Coated senna extract granules	With 20% sennosides obtained from Senna extract are granulated with Eudragit grade L 100 and then covered with Eudragit grade L 30 D 55.	Wo/2011/014976	78

fies the uses of various grades of Eudragit and Carbopol polymers, which are the most widely used acrylic acid derivatives. The various drugs, dosage forms, and methods used to prepare formulations based on them have been described with all necessary details. These details are sufficient for the reader to understand the basic role of acrylic acid derivatives in different formulations. Some patents are also discussed in order to describe the current status of these polymers. Therefore, researchers can use this review as a guide to develop drug delivery systems based on acrylic acid derivatives, i.e., using Eudragit or Carbopol.

ORCID iDs

Beena Kumari [©] https://orcid.org/0000-0002-6333-5081 Aparna Khansili [©] https://orcid.org/0000-0001-7471-4266 Parmita Phougat [©] https://orcid.org/0000-0002-8867-8793 Manish Kumar [®] https://orcid.org/0000-0003-2042-1243

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