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Protein entrapment in PEGylated lipid nanoparticles
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3 4 **Protein entrapment in PEGylated lipid nanoparticles**

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21 22 **Abstract**

23
24 Defining appropriate delivery strategies of therapeutic proteins, based on lipid nanoparticulate
25 carriers, requires knowledge of the nanoscale organization that determines the loading and
26 release properties of the nanostructured particles. Nanoencapsulation of three cationic proteins
27 (human brain-derived neurotrophic factor (BDNF), α -chymotrypsinogen A, and histone H3)
28 was investigated using anionic nanoparticle (NP) carriers. PEGylated lipid NPs were prepared
29 from self-assembled liquid crystalline phases involving monoolein and eicosapentaenoic acid.
30 Inclusion of the antioxidant α -tocopherol favoured the preparation of stealth hexosome
31 carriers. The purpose of the present work is to reveal the structural features of the protein-
32 loaded lipid nanocarriers by means of high resolution small-angle X-ray scattering (SAXS)
33 and cryogenic transmission electron microscopy (cryo-TEM). The obtained results indicate
34 that protein entrapment is concentration-dependent and may significantly modify the inner
35 liquid crystalline structure of the lipid nanocarriers through changes in the interfacial
36 curvature and hydration.

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39 *Keywords:* BDNF, neurotrophin, protein nanoencapsulation, hexosomes, PEGylated liquid
40 crystalline nanocarriers.
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1. Introduction

Modern methods for protein and peptide drug delivery are based on nanoencapsulation in nanoparticle (NP) carriers (Al-jamal et al., 2011; Azagarsamy et al., 2012; Cortesi et al., 2007; Dai et al., 2006; de Hoog et al., 2012; Géral et al., 2013; Jorgensen et al., 2006; Patton et al., 2005; Plum et al., 2000). Since the emergence of nanomedicine, NP-based delivery strategies have faced various challenges (Allen and Cullis, 2004; Desai, 2012; Dai et al., 2005; Petersen et al., 2012). It has been demonstrated that the physicochemical parameters of lipid-based nanocarriers (size, surface charge, morphology, surface chemistry, stability) may easily be adjusted as to satisfy the requirements for improved drug safety, targeted delivery, appropriate drug release kinetics, and possibility for scaling-up manufacturing (Lim et al., 2012; Martins et al., 2007; Koennings et al., 2007; Carafa et al., 2006; Fujita et al., 1995; Gorodetsky et al., 2004; Guo et al., 2003; Kullberg et al., 2005; Langston et al., 2003; Ramprasad et al., 2003; Ye et al., 2000). Drug delivery applications have shown an essential need of stealth carriers that are stabilized by hydrophilic polymer shells (Freichels, et al., 2011; Keefe et al., 2012; Garcia-Fuentes et al., 2005; Garcia-Santana et al., 2006; Almgren and Rangelov, 2006; Thongborisute et al., 2006). NPs have been surface-modified by polyethyleneglycol (PEG) chains as PEGylation provides reduced immunogenicity and increased circulation time of the vehicles (Arulsudar et al., 2004; Badiie et al., 2007; Chang et al., 2011; Frkanec et al., 2003; Gabizon et al., 1994). Functionalization of the nanocarriers by appropriate ligands (including ligand grafting at the termini of the PEG chains) has favoured targeted protein delivery and has helped avoiding adverse effects (Brgles et al., 2007; Martin et al., 1982; Takeuchi et al., 2003; Torchilin et al., 2001; Visser et al., 2005; Zhang et al., 2005; Wei et al., 2012). Multifunctional lipid-based NPs, involving therapeutic and contrast agents, magnetic components for NP guidance, and/or fluorescence imaging probes, have been developed for theranostic applications (Lesieur et al., 2011; Mulet et al., 2012; Petersen et al., 2012).

Both PEGylated and non-PEGylated liposomes have attracted considerable interest for protein encapsulation (Arifin et al., 2003; Goto et al., 2006, Gregoriadis et al., 1999; Murakami et al., 2006; Rengel et al., 2002; Teiji et al., 2005; Xi et al., 2007; Xu et al., 2012). In such particles, lipid membrane shells isolate the entrapped proteins from the surroundings and serve for efficient protein protection against chemical, physical, or enzymatic degradation (Walde et al., 2001). Furthermore, PEGylation of the NP carriers has contributed to their significantly enhanced bioavailability and minimized side effects (Wang et al., 2012).

Advances in the methods for protein and peptide nanoencapsulation have led to studies of nanostructured lipid particles with multicompartiment organizations (Angelov et al., 2012a; Angelova et al., 2005a, 2011, 2012; Géral et al., 2012; Mulet et al., 2012; Nguyen et al., 2011; Puglia, 2008; Woerle et al., 2007; Yaghmur and Glatter, 2009). Inner nanostructures of liquid crystalline types facilitate the encapsulation of large amount of protein molecules in the nanocarriers and may provide protein delivery at enhanced concentration on target sites (Angelov et al., 2003; Angelova et al., 2003; 2005b, 2005c, 2008, 2011; Clogston et al., 2005; Conn et al., 2010; Garti et al., 2012; Misiūnas et al., 2012; Negrini and Mezzenga, 2012; Rizwan et al., 2011). Factors controlling the encapsulation and release of biomolecules from liquid crystalline nanocarriers include the type of the inner structural organization, the inner

88 nanochannel sizes, interface area, surface charge, functionalization, as well as the NP
89 dimensions (Angelov et al., 2013; Angelova et al., 2003, 2012; Chemelli et al., 2012; Negrini
90 and Mezzenga, 2012; Rizwan et al., 2011). Major types of lipid NPs with internal liquid
91 crystalline structures comprise cubosomes, hexosomes, spongosomes, micellar-type
92 cubosomes, multilamellar liposomes, and nanostructured emulsions (Angelov et al., 2006,
93 2012a, 2012b; Boyd et al., 2006; Conn et al., 2010; Esposito et al., 2005; Dehsorkhi et al.,
94 2011; Géral et al., 2013; Kulkarni et al., 2010; Lai et al., 2010; Mulet et al., 2012; Negrini and
95 Mezzenga, 2012; Phan et al., 2011; Salentinig et al., 2008; Yaghmur and Glatter, 2009).
96 Figure 1 presents examples of lipid NP carriers derived from PEGylated liquid crystalline
97 nanostructures. Such nanocarriers offer unexplored opportunities for protein and peptide drug
98 delivery in view of the suggested link between self-assembled mesophase structure and drug
99 release (Phan et al., 2011).

100 101 **Figure 1** 102

103 High resolution electron microscopy and small-angle X-ray scattering (SAXS) studies
104 (Angelov et al., 2007, 2009, 2011a, 2011b; 2012a, 2012b; Cortesi et al., 2007; Woerle et al.,
105 2007; Yaghmur et al., 2007, 2008) have permitted to visualize the single aqueous pore in
106 cubosome nanocarriers, to control the nanochannel sizes in the inner channel networks as well
107 as to detect the earliest stage of the tetrahedral nanochannel formation in cubic lipid particles.
108 It has been suggested that medium- and large-size protein molecules, which are bigger than
109 the aqueous channel diameters, will locate at the interfaces of the nanocubosome subunits,
110 formed inside the cubosome carriers upon protein nanoencapsulation (Angelova et al., 2005c,
111 2011). The work of Negrini and Mezzenga (2012) has recalled that guest species smaller than
112 the mesophase periodicity will be confined within the aqueous channels and may affect the
113 inner mesophase periodicity, whereas larger species will be expelled and may partition at the
114 grain boundaries of the mesophase domains in the carriers.

115
116 The purpose of the present work is to investigate the structural features related to entrapment
117 of different proteins in PEGylated nanocarriers formed by the nonlamellar lipids monoolein
118 and eicosapentaenoic acid (a representative ω -3 polyunsaturated fatty acid). The antioxidant
119 α -tocopherol was included in the lipid mixture in order to induce the formation of an inverted
120 hexagonal (H_{II}) mesophase structure (Boyd et al., 2006). Brain-derived neurotrophic factor
121 (BDNF), α -chymotrypsinogen A, and histone H3 are considered as examples. All three
122 proteins are basic proteins, i.e. are positively charged at $pH < pI$ (see Table 1). BDNF and α -
123 chymotrypsinogen A are soluble in aqueous medium and do not aggregate under the
124 investigated solution conditions. At variance, histone, which is characterized essentially by α -
125 helical content (Arents et al., 1991), is less soluble and was studied as a model of protein
126 aggregation at elevated concentrations. The α -tocopherol component (promoting the
127 hexosome carrier formation) was not studied in the case of histone H3 encapsulation taking
128 into account the geometrical constraints for entrapment of large protein aggregates inside the
129 fine channels of the hexosome particles. The resulting nanoscale organizations were revealed
130 by cryogenic transmission electron microscopy (cryo-TEM) and X-ray structural analysis
131 (SAXS) in order to evaluate the ability of the investigated PEGylated lipid NPs for protein
132 upload.

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135 2. Materials and Methods

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137 2.1. Materials and samples preparation

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139 Monoolein (MO) (1-monooleoyl-rac-glycerol, C18:1c9, MW 356.54, powder, purity
140 >99.5%), *cis*-5,8,11,14,17 eicosapentaenoic acid (EPA) (20:5, MW 302.45, oil phase,
141 analytical standard, purity \geq 98.5%), α -tocopherol (Vit E) (MW 430.71, Ph Eur grade), D- α -
142 tocopherol polyethyleneglycol 1000 succinate (V₁₀₀₀) (MW 1531, waxy solid, CMC \sim 0.02%
143 by weight) were purchased from Sigma-Aldrich-Fluka (Saint-Quentin, France). The
144 PEGylated lipid 1,2-dioleoyl-*sn*-glycero-3-phosphoethanolamine-N-[methoxy (polyethylene
145 glycol)-2000] (DOPE-PEG₂₀₀₀) (MW 2801.51, powder, purity >99.5%, CMC \sim 2×10^{-5} M)
146 was a product of Avanti Polar Lipids (COGER, France). Carrier-free human recombinant
147 brain-derived neurotrophic factor (hrBDNF, MW 13.6 kDa) was purchased from R&D
148 Systems. The proteins α -chymotrypsinogen A (type II from bovine pancreas, purified by
149 6 \times crystallization, salt-free, lyophilized powder, MW 25.656 kDa) and histone H3 (type III-S
150 lysine-rich fraction, from calf thymus, MW 15.3 kDa) were products of Sigma (Saint-
151 Quentin, France). Phosphate buffer solution (1×10^{-2} M, pH 7) was prepared using the
152 inorganic salts NaH₂PO₄ and Na₂HPO₄ (p.a. grade, Fluka, Saint-Quentin) and MilliQ water of
153 resistivity 18.2 M Ω .cm (Millipore Co., Molsheim).

154 Liquid crystalline lipid NP formulations were prepared by the method of hydration of a
155 dry lipid film followed by physical agitation (Angelov et al., 2011b). The organic solvent
156 (chloroform) was evaporated under flow of nitrogen gas and the resulting lipid mixtures were
157 lyophilized overnight. Towards mesophase formation, lipid assemblies were initially
158 incubated with aqueous buffer during 30 min followed by repeated vortexing. Subsequently,
159 15 min agitation was performed in ice medium using a sonication bath with a moderate
160 frequency (40 kHz, Branson 2510) (Branson Ultrasonics, Geneve). The PEGylated
161 amphiphiles (DOPE-PEG₂₀₀₀ and V₁₀₀₀) served as solubilizing and dispersing agents for the
162 MO/EPA/VitE liquid crystalline phases. The resulting NP formulations were incubated with
163 proteins for several hours, homogenized, and studied by means of SAXS, cryo-TEM, and
164 QELS.

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166 2.2. Small-angle X-ray scattering (SAXS)

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168 SAXS experiments were performed at the P12 BioSAXS beamline of the European Molecular
169 Biology Laboratory (EMBL) at the storage ring PETRA III of the Deutsche Elektronen
170 Synchrotron (DESY, Hamburg, Germany) at 20 °C using a Pilatus 2M detector (1475 x 1679
171 pixels) (Dectris, Switzerland) and synchrotron radiation with a wavelength $\lambda = 1$ Å. The
172 sample-to-detector distance was 3 m. The q -vector was defined as $q = (4\pi/\lambda) \sin \theta$, where 2θ
173 is the scattering angle. The q -range was calibrated using the diffraction patterns of silver
174 behenate. The experimental data were normalized with respect to the incident beam intensity.
175 The background scattering of the solvent buffer was subtracted. The solvent scattering was
176 measured before and after every lipid NP or protein-containing sample in order to control for
177 eventual sample-holder contamination. Eight consecutive frames comprising measurements
178 for the solvent, the sample, and the solvent were acquired. No measurable radiation damage
179 was detected by the comparison of eight successive time frames with 5 s exposures. The final
180 scattering curve was obtained using the program PRIMUS by averaging the scattering data

181 collected from the measured frames. An automatic sample changer adjusted for sample
182 volume of 15 μL and a filling cycle of 20 s was used.

183

184 2.3. Cryogenic transmission electron microscopy (Cryo-TEM)

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186 For cryo-TEM studies, a sample droplet of 2 μL was put on a lacey carbon film covered
187 copper grid (Science Services, Munich, Germany), which was hydrophilized by glow
188 discharge for 15 s. Most of the liquid was then removed with blotting paper, leaving a thin
189 film stretched over the lace holes. The specimens were instantly shock frozen by rapid
190 immersion into liquid ethane and cooled to approximately 90 K by liquid nitrogen in a
191 temperature-controlled freezing unit (Zeiss Cryobox, Zeiss NTS GmbH, Oberkochen,
192 Germany). The temperature was monitored and kept constant in the chamber during all the
193 sample preparation steps. After the specimens were frozen, the remaining ethane was
194 removed using blotting paper. The specimen was inserted into a cryo transfer holder
195 (CT3500, Gatan, Munich, Germany) and transferred to a Zeiss EM922 Omega energy-filtered
196 TEM (EFTEM) instrument (Zeiss NTS GmbH, Oberkochen, Germany). Examinations were
197 carried out at temperatures around 90 K. The TEM instrument was operated at an acceleration
198 voltage of 200 kV. Zero-loss-filtered images ($\Delta E = 0$ eV) were taken under reduced dose
199 conditions (100-1000 e/nm^2). All images were recorded digitally by a bottom-mounted
200 charge-coupled device (CCD) camera system (Ultra Scan 1000, Gatan, Munich, Germany)
201 and combined and processed with a digital imaging processing system (Digital Micrograph
202 GMS 1.8, Gatan, Munich, Germany). All images were taken very close to focus or slightly
203 under the focus (some nanometers) due to the contrast enhancing capabilities of the in-column
204 filter of the used Zeiss EM922 Omega. In EFTEMs, deep underfocussed images can be totally
205 avoided.

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207 2.4. Quasi-elastic light scattering (QELS)

208

209 Particle size distributions in the investigated dispersed lipid samples were determined using a
210 Nanosizer apparatus (Nano-ZS90, MALVERN, Orsay) equipped with a Helium-Neon laser of
211 633 nm wavelength. The samples were diluted to 1 mM lipid concentration prior to
212 measurement in 1 cm thick cells and analyzed in an automatic mode using the following
213 experimental parameters: temperature 25 $^{\circ}\text{C}$; scattering angle, 90° ; refracting index, 1.33;
214 environment medium viscosity, 0.890 cP. The average hydrodynamic diameter, d_h , was
215 calculated considering the mean translational diffusion coefficient, D , of the particles in
216 accordance with the Stokes-Einstein law for spherical particles in the absence of interactions:
217 $d_h = k_B T / 3 \eta \pi D$, where k_B is the Boltzmann constant, T is temperature, and η is the viscosity of
218 the aqueous medium. Three measurements with the same cell were averaged for every
219 sample. The protein solutions were investigated at chosen concentrations (Table 1). The
220 results were analyzed using the MALVERN Zetasizer software (version 6.11).

221

222

223 3. Results and discussion

224

225 Sterically stabilized lipid nanocarriers were prepared by hydration of mixed lipid films
226 consisting of self-assembled MO/EPA/VitE or MO/EPA mixtures and functionalized by the
227 PEGylated amphiphiles DOPE-PEG₂₀₀₀ or V₁₀₀₀. Monoolein (MO) and α -tocopherol (VitE)
228 are neutral lipids of nonlamellar propensities, whereas eicosapentaenoic acid (EPA) is a ω -3
229 polyunsaturated anionic lipid. The role of α -tocopherol (VitE) is to increase the interfacial
230 curvature of the cubic-phase forming lipid monoolein as well as to induce the formation of
231 inverted hexagonal phase structures. The latter may provide sustained release of entrapped
232 proteins from nanochanneled-type carriers. The investigated PEGylated amphiphiles form
233 PEGylated micelles in individual assemblies at concentrations above their critical micellar
234 concentrations (CMC). The molar percentages of these PEGylated components, included in
235 the studied liquid crystalline lipid structures, were optimized in a manner ensuring only a
236 partial shield of the charges of the lipid NPs, which facilitate the protein entrapment through
237 electrostatic interactions. In the following, we present the structural results obtained for lipid
238 NPs (MO/EPA/VitE/V₁₀₀₀ or MO/EPA/DOPE-PEG₂₀₀₀) interacting with the proteins BDNF,
239 α -chymotrypsinogen A, or histone H3. Taking into account the possible aggregation of
240 histone, the latter was not selected for studies with the H_{II} phase carriers. The associated form
241 of histone would have a minor chance for loading into the nanochannels of hexosome carriers
242 formed by the self-assembled MO/EPA/VitE/V₁₀₀₀ (71/17/8/4 mol.%) mixture.

243

244 *3.1. Human recombinant brain-derived neurotrophic factor (BDNF)*

245

246 Small-angle X-ray scattering (SAXS) patterns of PEGylated lipid NPs studied for
247 nanoencapsulation of the neurotrophin BDNF are shown in Figure 2a. The SAXS curve
248 presented in the inset characterizes the NPs structure (MO/EPA/VitE/V₁₀₀₀, 71/17/8/4 mol.%)
249 formed before the addition of the therapeutic protein. BDNF exerts its neuroprotective
250 bioactivity at concentrations in the nanogram range. Therefore, the nanoencapsulation studies
251 should take into account that BDNF can cause adverse effects in a concentrated state. For this
252 reason and because of its high cost, the interaction of recombinant human BDNF with lipid
253 NPs was studied at a chosen relatively low protein concentration of 8 μ g/ml. Under these
254 conditions, BDNF was completely soluble in the aqueous medium (Table 1). The positively
255 charged protein was allowed to interact with the nanocarriers involving the anionic lipid EPA.

256

257 The analysis of the obtained SAXS patterns established that both blank (MO/EPA/VitE/V₁₀₀₀)
258 and protein-loaded lipid NPs have inner mesophase structures of an inverted hexagonal (H_{II})
259 type (Fig. 2a). The formation of stable PEGylated hexosomes in the lipid formulations was
260 favoured by the hydrophobic component VitE, which essentially increases the lipid
261 monolayer curvature and augments the nonlamellar propensity of the mixture. In addition,
262 VitE provides an antioxidant functionality of the carriers, which is of interest for their
263 therapeutic applications. The included higher percentage of VitE (8 mol%) with regard to the
264 PEGylated component V₁₀₀₀ (4 mol.%) contributes to compensate the decrease of the
265 monolayer curvature, due to the PEGylation, and to induce a nonlamellar supramolecular

266 organization of hexagonally-packed aqueous channels (Fig. 1a). The resolved Bragg peaks,
267 spaced in the ratio $1: \sqrt{3}: \sqrt{4}: \sqrt{7}$, determine an inner H_{II} -lattice periodicity of 6.53 nm. The
268 water channel diameter, D_w , was calculated using a literature method (Turner and Gruner,
269 1992). The protein hydrodynamic size, d_h , was determined by quasi-elastic light scattering
270 (QELS) (see Table 1). The obtained results indicate that the aqueous channels in the
271 hexosome nanocarriers are sufficiently large ($D_w = 3.42$ nm) to accommodate the soluble
272 protein BDNF ($d_h = 2.3$ nm).

273 274 **Figure 2** 275

276 Both the SAXS (Fig. 2a) and the cryo-TEM (Fig. 2b) results confirmed that BDNF does not
277 modify the structural periodicity of the lipid nanocarriers at the investigated protein
278 concentration. Figure 2b shows the characteristic morphology of the hexosome NPs. The inset
279 presents the Fast Fourier transform (FFT) derived from the cryo-TEM image. It reveals the
280 inverted hexagonal (H_{II}) mesophase periodicity corresponding to an ordered structure of
281 aqueous nanochannels available for BDNF loading. The hexosome particles in the
282 MO/EPA/VitE/V₁₀₀₀ (71/17/8/4 mol.%) formulation displayed mean hydrodynamic diameters
283 of ~400 nm in QELS measurements. This is in agreement with the electron microscopy
284 results. A coexisting fraction of small vesicles ($d_h = 38$ nm) was also observed in the cryo-
285 TEM and QELS studies as a result of nonequilibrium effects related to the dispersion of the
286 nanoparticulate system under energy input.

287 288 *3.2. α -Chymotrypsinogen A* 289

290 The NP carriers studied above (MO/EPA/VitE/V₁₀₀₀, 71/17/8/4 mol.%) were allowed to
291 interact also with the positively charged enzyme α -chymotrypsinogen A of concentration 4
292 mg/mL. The obtained results revealed that the protein, displaying surface activity under these
293 conditions, affected the curvature of the lipid assembly. The SAXS patterns (Fig. 3a) and the
294 cryo-TEM images (Fig. 3b) clearly demonstrate that the performed nanoencapsulation
295 resulted in a structural change of the H_{II} -phase lipid nanocarriers (MO/EPA/VitE/V₁₀₀₀,
296 71/17/8/4 mol.%) (Fig. 3a, inset) toward protein-loaded NPs with new structural and
297 morphological features. The SAXS pattern of the protein-containing NPs (Fig. 3a)
298 corresponds to the form factor of the NP scattering rather than to Bragg diffraction peaks of
299 an inner periodic structure. The blue bars (which mark the positions of the H_{II} -phase peaks of
300 the blank NPs) show that the Bragg peaks are vanished in the presence of α -
301 chymotrypsinogen A as a result of the hexosome NP transformation into another type of NPs.

302 303 **Figure 3** 304

305 Indeed, the cryo-TEM image (Fig. 3b) shows double vesicular structures in the protein-loaded
306 lipid NP formulation. The mean hydrodynamic diameter of the α -chymotrypsinogenA-loaded
307 particles determined by QELS ($d_h = 458$ nm) is slightly different from that of the blank

308 hexosome carriers ($d_h \sim 400$ nm). Coexisting bilamellar lipid NPs ($d_h \sim 80$ nm) were also
309 observed (Fig. 3b, inset). They are likely obtained upon the membrane fragmentation (from
310 larger to smaller particles), which is provoked by the surface-active protein. The darker
311 interior of the bilamellar vesicles is due to thickness variation (the transmission is reduced
312 because the electrons must pass through extra bilayers). No evidence for protein aggregation
313 is obtained at the studied concentration.

314

315 3.3. Histone

316

317 PEGylated lipid NPs (MO/EPA/DOPE-PEG₂₀₀₀ (69/28/3 mol.%) were incubated with histone
318 H3, which is a basic protein of prevailing α -helical content. The employed lipid mixture did
319 not display a propensity for hexosome formation similarly to the recently reported NPs
320 involving DOPE-PEG₂₀₀₀ (Angelov et al., 2012b). The mean particle size in the blank NP
321 formulation (MO/EPA/DOPE-PEG₂₀₀₀, 69/28/3 mol.%), determined by QELS, was $d_h = 142$
322 nm and was attributed to coexisting small cubosomes and vesicles (see the histogram in
323 Figure 4b). The solution scattering of histone is presented in Fig. 4a together with the derived
324 pair distance distribution function $\rho(r)$ (inset). The size of the histone octamer, estimated from
325 these SAXS results, is 4.5 nm. The QELS data (Fig. 4a, red histogram) showed that the
326 histone units (4.5 nm) begin to associate into aggregates at the studied solution concentration.
327 The hydrodynamic particle diameter of the associated protein was $d_h = 255$ nm at
328 concentration of 4 mg/ml (Fig. 4a, inset).

329

330

330 Figure 4

331

332 Figure 5a (inset) shows the NP scattering of the blank MO/EPA/DOPE-PEG₂₀₀₀ (69/28/3
333 mol.%) carriers. The observed SAXS is typical for a mixture of membrane-type lipid
334 nanocarriers. Attempts to load these small cubosomes and vesicles with histone (4 mg/ml) did
335 not permit significant entrapment of the protein inside the NPs, because of its associated state
336 in solution. The SAXS pattern of the particles incubated with protein is shown in Fig. 5a. The
337 performed QELS investigation also confirmed the aggregation of histone in lipid NP
338 formulations (Fig. 4b, right panel). The particle size distributions in a blank lipid NP
339 formulation and in a protein-containing lipid (MO/EPA/DOPE-PEG₂₀₀₀, 69/28/3 mol.%)
340 formulation determined mean NP diameters of $d_h = 142$ nm and 220 nm, respectively.

341

342

342 Figure 5

343

344 The obtained cryo-TEM image (Figure 5b) shows a noticeable phase separation of the protein
345 from the lipid NPs (MO/EPA/DOPE-PEG₂₀₀₀, 69/28/3 mol.%). The difficulty to entrap histone,
346 associated in aggregates, into such small PEGylated NP carriers implies that larger lipid
347 particles or even bulk liquid crystalline phases would be more appropriate for confinement
348 and encapsulation of this hydrophobic α -helical protein. At variance, BDNF and α -
349 chymotrypsinogen A appeared to be homogeneously distributed in the investigated NP

350 systems and can be entrapped both in hexosome and vesicular carriers of similar lipid
351 compositions.

352

353 **4. Conclusion**

354

355 Further to the recently reported protein-containing PEGylated cubosomes (Angelov et al.,
356 2012a), the present study of nanostructured liquid crystalline lipid NPs demonstrates that the
357 interaction of PEGylated hexosomes with cationic protein molecules may lead to either
358 preservation or dramatic changes in the inner structure of the NPs. The obtained results
359 revealed that the entrapped protein, depending on its concentration and amphiphilicity, may
360 influence the curvature of the lipid assemblies and even transform the internal nanostructure
361 of channels into a different structural organization. Efficient protein encapsulation was
362 achieved for recombinant BDNF and α -chymotrypsinogen A. Histone in its aggregated state
363 showed a tendency to phase separate from the lipid NP carriers at the investigated protein
364 concentration. The outcome of this structural study confirms that SAXS, QELS and cryo-
365 TEM measurements are very powerful methods in the design of protein drug delivery carriers
366 and should be recommended as tools of ultimate pharmaceutical relevance permitting to
367 control the protein nanoencapsulation process.

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Figure captions

Figure 1. Examples of nanoparticulate lipid carriers that may be derived from PEGylated liquid crystalline lipid phases: (a) hexosome, (b) bilamellar vesicle, and (c) spongosome particles.

Figure 2. Small-angle X-ray scattering (SAXS) patterns (a) and cryo-TEM image (b) of a PEGylated nanoparticulate lipid system (MO/EPA/VitE/V₁₀₀₀, 71/17/8/4 mol.%) interacting with the neurotrophic protein BDNF (brain-derived neurotrophic factor) of solution concentration 8 µg/ml. The blue bars indicate the positions of the Bragg reflections (spaced in the ratio 1: $\sqrt{3}$: $\sqrt{4}$: $\sqrt{7}$) of an inverted hexagonal (H_{II}) lattice structure, which is present in both blank (inset) and BDNF-loaded NPs (a). The inset in (b) shows the Fast Fourier transform (FFT) image analysis of the hexosome lipid nanocarrier.

Figure 3. SAXS patterns (a) and cryo-TEM images (b) of a PEGylated nanoparticulate lipid system (MO/EPA/VitE/V₁₀₀₀, 71/17/8/4 mol.%) interacting with the protein α -chymotrypsinogen A with solution concentration 4 mg/ml. The blue bars in (a) indicate the positions of the Bragg reflections of the inverted hexagonal (H_{II}) structure, which vanished upon protein loading. The inset in (b) shows a second representative NP population in the protein-containing sample.

Figure 4. (a) SAXS patterns (orange curve), a pair distance distribution function $\rho(r)$ (blue curve, inset), and quasi-elastic light scattering (QELS) size distribution plot (inset) measured with histone solution. The protein concentration is 4 mg/ml. (b) QELS determination of the particle size distributions in blank lipid NP formulation (MO/EPA/DOPE-PEG₂₀₀₀, 69/28/3 mol.%) (left) and of the lipid formulation with incubated histone H3 (4 mg/ml) (right). The maxima of the histograms correspond to the most abundant average hydrodynamic particle diameters. The error bars are given in green.

Figure 5. SAXS patterns (a) and cryo-TEM image (b) of a PEGylated nanoparticulate lipid system (MO/EPA/DOPE-PEG₂₀₀₀, 69/28/3 mol.%) interacting with the protein histone H3 with solution concentration 4 mg/ml.

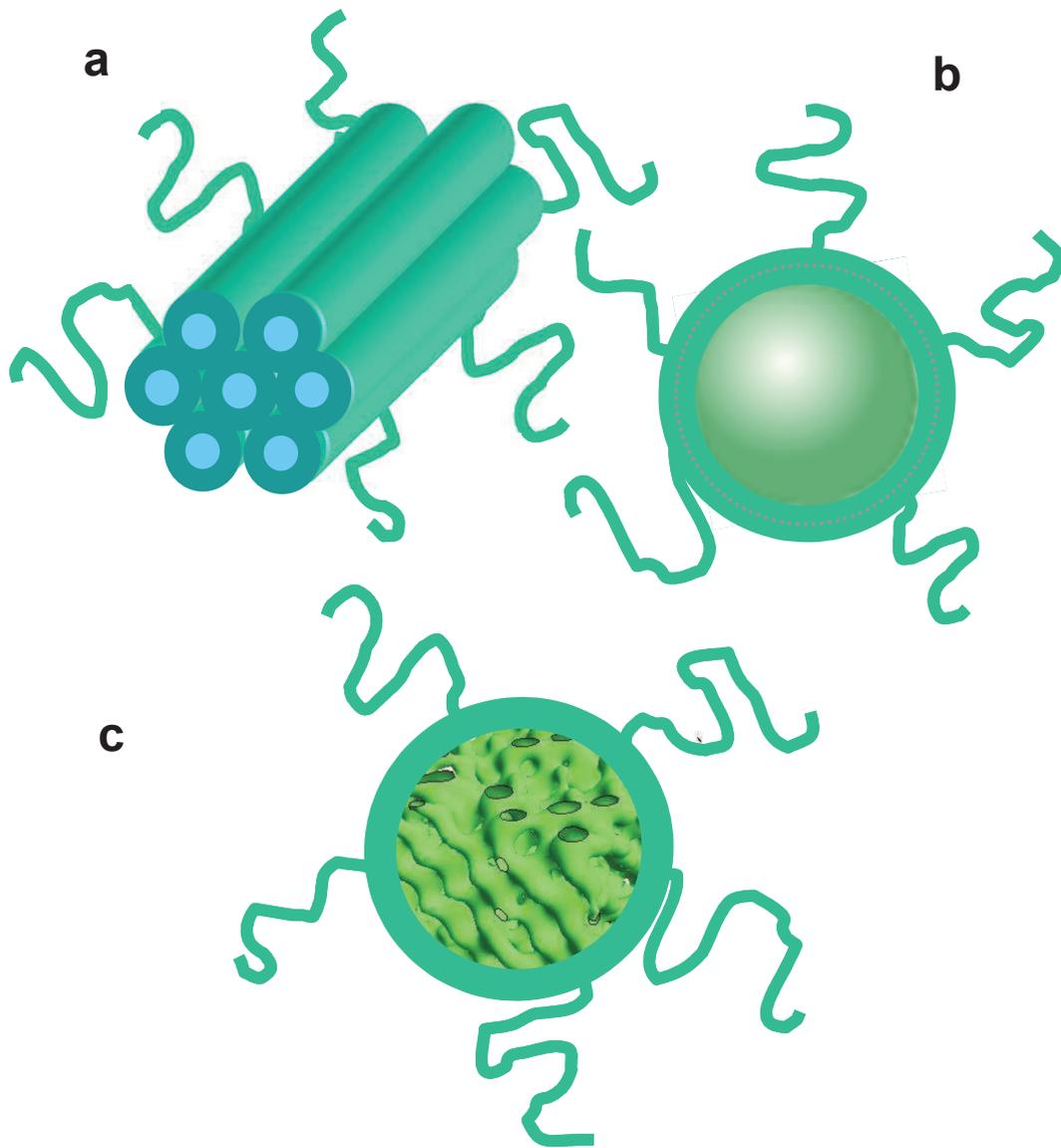


Figure 1

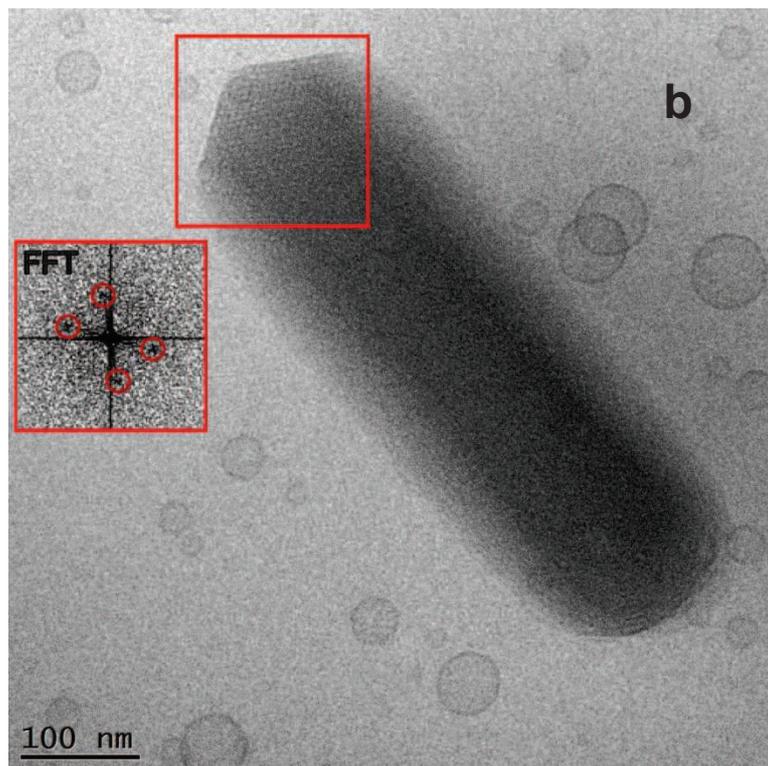
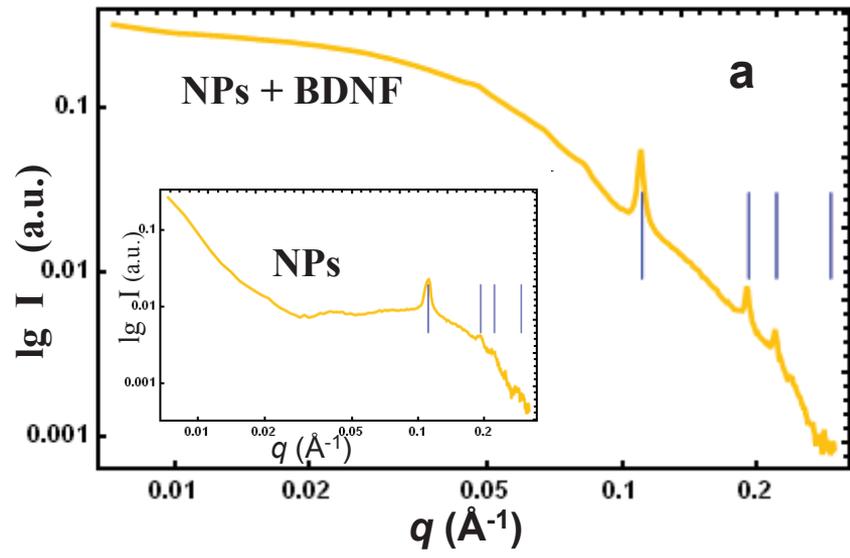


Figure 2

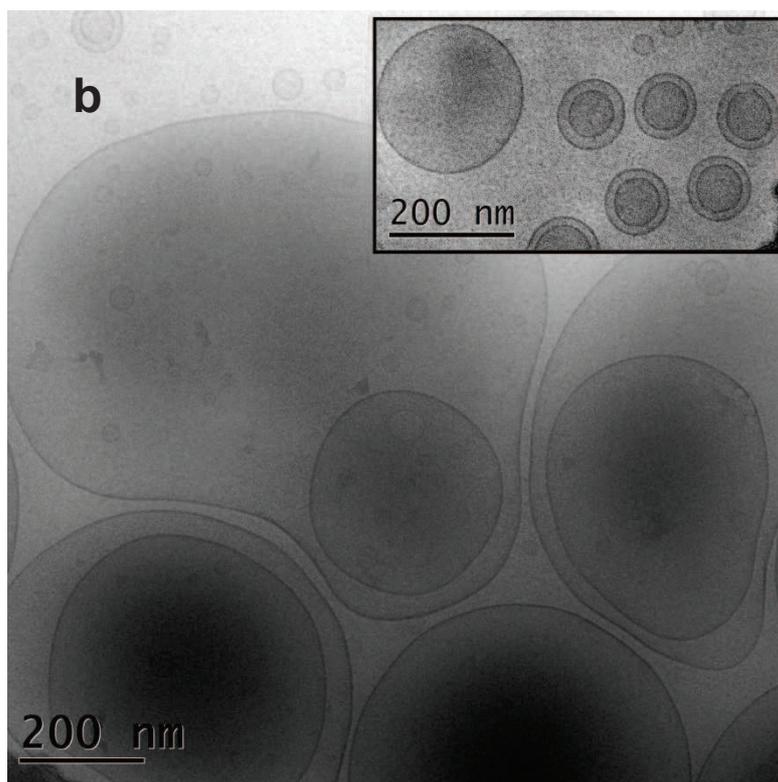
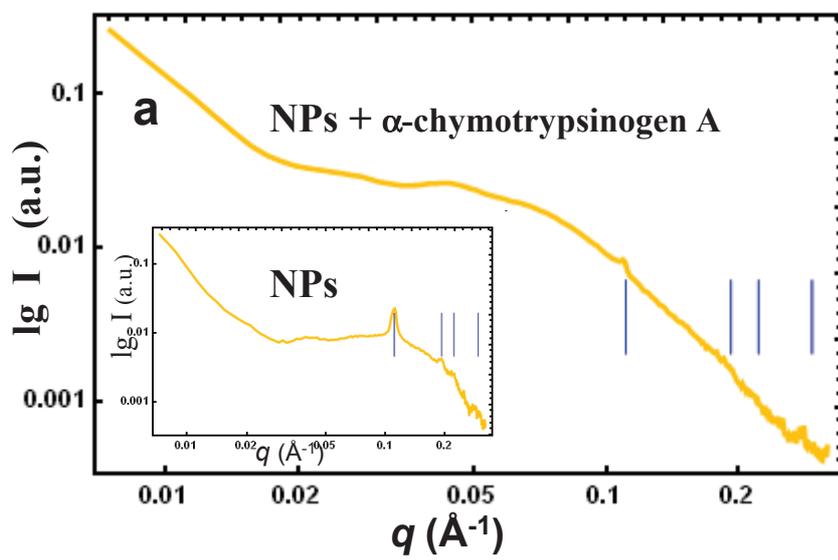


Figure 3

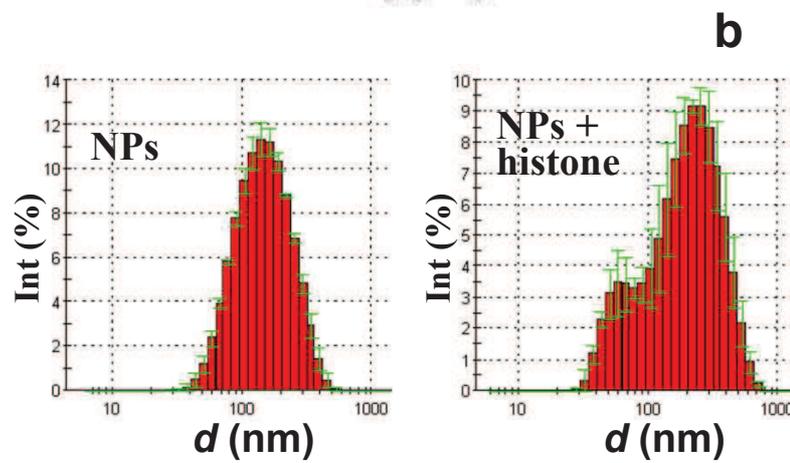
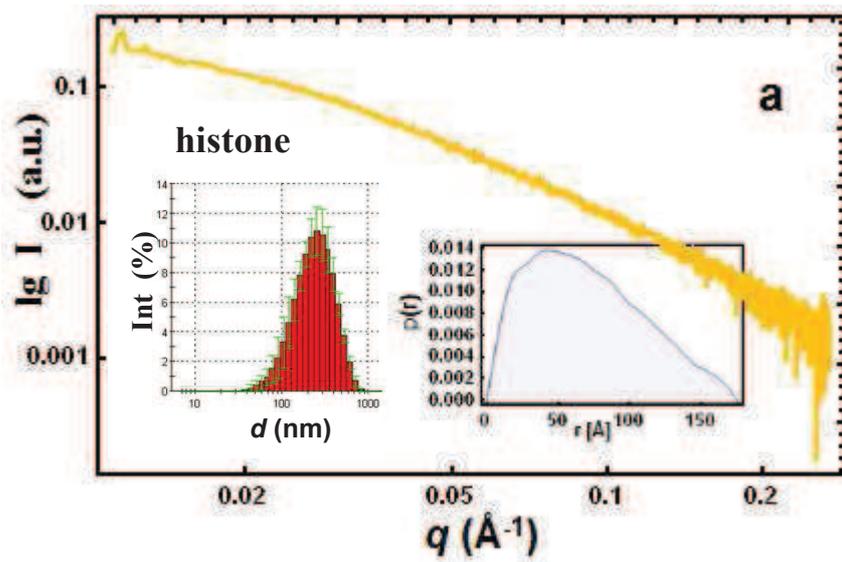


Figure 4

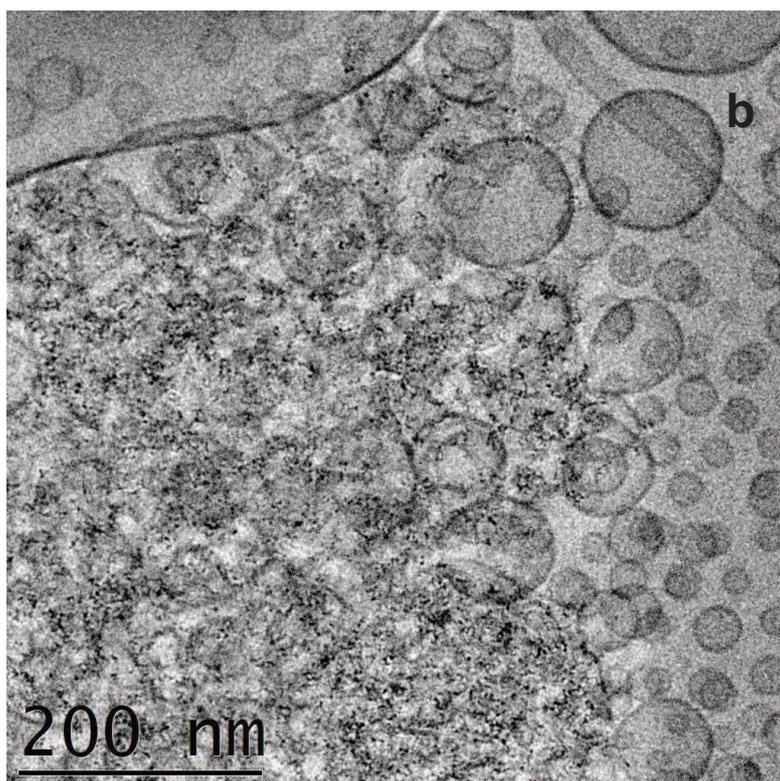
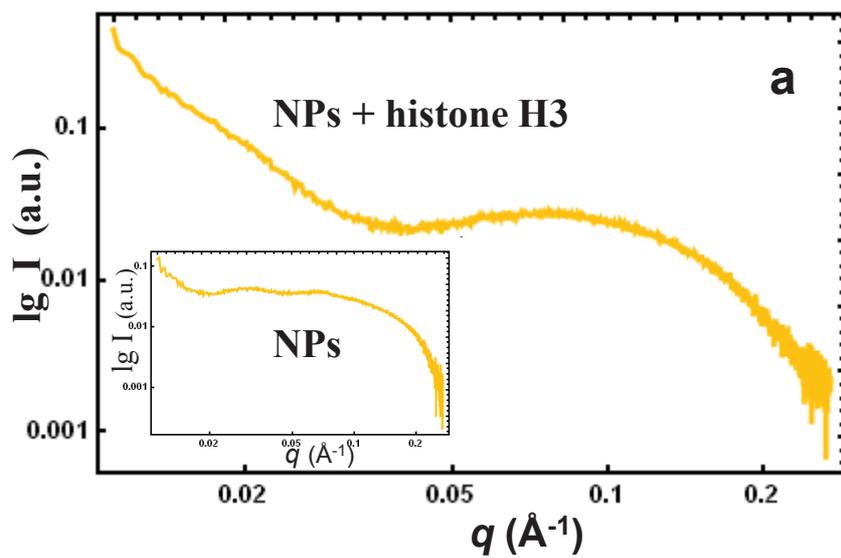


Figure 5

Table 1

Mean particle hydrodynamic diameter, d_h , molecular weight (MW), isoelectric point (pI), and state of protein dissolution/association at the studied concentration in a phosphate buffer aqueous phase. The values of d_h were determined by quasi-elastic light scattering measurements.

Protein	MW [kDa]	pI	concentration	d_h [nm]	state
BDNF	13.6	10.5	8 μ g/ml	2.3	dissolved molecules
α -chymotrypsinogen A	25.6	9.2	4 mg/ml	4.8	dissolved molecules
histone	15.3	10.8	4 mg/ml	255	aggregate of 4.5 nm octamers (Fig.4a)