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### **Chitosan coated human serum albumin nanoparticles: A promising strategy for nose-to-brain drug delivery**

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## Abstract

The aim of the present study was the development of human serum albumin nanoparticles (HSA NPs) as nose-to-brain carrier. To strengthen, the efficacy of nanoparticles as drug delivery system, the influence of chitosan (CS) coating on the performance of HSA NPs was investigated for nasal application. HSA NPs were prepared by desolvation technique. CS coating was obtained adding the CS solution to HSA NPs. The mean particle size was  $241\pm 18$  nm and  $261\pm 8$  nm and the  $\zeta$ -potential was  $-47\pm 3$  mV and  $+45\pm 1$  mV for HSA NPs and CS-HSA NPs, respectively. The optimized formulations showed excellent stability upon storage both as suspension and as freeze-dried product after 3 months. The mucoadhesion properties were assessed by turbidimetric and indirect method. NPs were loaded with sulforhodamine B sodium salt as model drug and the effect of CS coating was investigated performing release studies, permeation and uptake experiments using Caco-2 and hCMEC/D3 cells as model of the nasal epithelium and blood-brain barrier, respectively. Furthermore, *ex vivo* diffusion experiments have been carried out using rabbit nasal mucosa. Finally, the ability of the formulations to reversibly open tight and gap junctions was explored by western blotting and RT-PCR analyzing in both Caco-2 and hCMEC/D3 cells.

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4 **Chitosan coated human serum albumin nanoparticles:**  
5 **a promising strategy for nose-to-brain drug delivery.**  
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64 **Abstract**  
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66 The aim of the present study was the development of human serum albumin nanoparticles (HSA  
67 NPs) as nose-to-brain carrier. To strengthen, the efficacy of nanoparticles as drug delivery  
68 system, the influence of chitosan (CS) coating on the performance of HSA NPs was investigated  
69 for nasal application. HSA NPs were prepared by desolvation technique. CS coating was  
70 obtained adding the CS solution to HSA NPs. The mean particle sizes was  $241\pm 18$  nm and  
71  $261\pm 8$  nm and the  $\zeta$ -potential was  $-47\pm 3$  mV and  $+45\pm 1$  mV for HSA NPs and CS-HSA NPs,  
72 respectively. The optimized formulations showed excellent stability upon storage both as  
73 suspension and as freeze-dried product after 3 months. The mucoadhesion properties were  
74 assessed by turbidimetric and indirect method. NPs were loaded with sulforhodamine B sodium  
75 salt as model drug and the effect of CS coating was investigated performing release studies,  
76 permeation and uptake experiments using Caco-2 and hCMEC/D3 cells as model of the nasal  
77 epithelium and blood-brain barrier, respectively. Furthermore, *ex vivo* diffusion experiments  
78 have been carried out using rabbit nasal mucosa. Finally, the ability of the formulations to  
79 reversibly open tight and gap junctions was explored by western blotting and RT-PCR  
80 analyzing in both Caco-2 and hCMEC/D3 cells.  
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91 **Keywords**  
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93 Albumin nanoparticles; Chitosan; Caco-2 cell; hCMEC/D3 cells; rabbit nasal mucosa; nose to  
94 brain.  
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## 1. Introduction

Most of the drugs, in particular hydrophilic molecules and high molecular weight compounds, are not favourably absorbed by the brain due to the presence of the blood-brain barrier (BBB) and blood-cerebrospinal fluid barrier, that cause a selective permeability to circulating molecules [1,2]. In the last years, the nose-to-brain (NTB) delivery is emerging strategy to overcome these barriers and delivery the drug directly into the brain. An increasing number of products are being developed and are reaching the market, such as vaccines, painkillers, anti-migraine and anti-cancer drugs and hormones [3,4].

The intranasal route allows the administration of drugs both locally and systemically avoiding the typical gastrointestinal degradation of oral administration and the effect of hepatic metabolism. The rich vascularization of the nasal mucosa provides a series of unique attributes that can increase the safety, the patient compliance, the rate of absorption of the drug and, consequently, the speed of onset of the therapeutic effect. Furthermore, the nasal mucosa, is easily accessible compared to other membranes and it is a favourable entry route for both small and large molecules. The nasal bioavailability of small molecules is good and the drugs that are not absorbed orally can be conveyed to the nasal systemic circulation. Nasally administered drugs can rapidly reach the brain through different pathways: the first is the olfactory nerves, that represent the main direct pathway for the NTB drug delivery; then the trigeminal nerves, which have nerve endings in the respiratory epithelia; finally, the respiratory epithelium through which the drugs reach the circulation and subsequent cross the BBB [1,5,6].

However, the NTB delivery is characterized by several limitations such as the small volume of the nasal cavity, the mucociliary clearance, the enzymatic degradation, the low drug retention time, the potential nasomucosal toxicity, the technique of drug administration and deposition and the necessity of a suitable delivery device [4,7,8].

To overcome these drawbacks, pharmaceutical nanotechnologies appear as an ideal formulation strategy for the NTB delivery [1,4,6-9]. In this context, the aim of the present study was the development of human serum albumin nanoparticles (HSA NPs) as NTB carrier and the investigation of the effect of chitosan (CS) coating on their performance, in particular with respect to the surface and mucoadhesive properties, stability, drug release modulation, biocompatibility and permeability.

HSA is an endogenous protein, non-toxic, non-immunogenic, biodegradable and biocompatible. Moreover, it displays good mucoadhesive properties, suitable for prolonging the residence time in the nasal cavity. HSA enhances cellular uptake by its active targeting

181 properties and it can show conformational modifications to increase its stability [11,12].  
182  
183  
184 Furthermore, as reported in literature, albumin is an ideal **substance** for the development of  
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186 nanocarriers with the aim of **increasing** bioavailability, stability and pharmacological effects of  
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188 synthetics and plant-derived molecules [13-18].

189 HSA NPs were **employed** for the NTB delivery of the anti-Alzheimer drugs tacrine and *R*-  
190  
191 flurbiprofen [19,20].

192 CS, a polysaccharide derived from deacetylation of chitin, was also employed for its ability to  
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194 reversibly open tight junctions, with the potential to increase the drug permeation across the  
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196 nasal mucosa and the extracellular transport along the olfactory and trigeminal nerves. Besides,  
197  
198 positively charged CS can increase the drug residence time of the loaded drug in the nasal  
199  
200 cavity, due to the electrostatic interactions with the negatively charged epithelial cells or the  
201  
202 ability to absorb water from the mucus layer, forming a gel-like layer that increases the contact  
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204 with the site of absorption [4,21,22,23]. CS NPs and other CS derived formulations were  
205  
206 investigated for nose to brain delivery [22]

207 Various HSA and CS NPs have been utilized to deliver anticancer agents at the tumor. Proteins  
208  
209 and polysaccharides-based nanocarriers have great potential as drug delivery based on their  
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211 biocompatibility, biodegradability, ease of functionalization, improved biodistribution and  
212  
213 reduced toxicity effects [21,24,25]. The main application of CS coated formulations is for the  
214  
215 oral administration. CS-coated PLGA and PCL NPs were considered for nasal delivery [5,26].  
216  
217 CS-coated HSA (CS-HSA NPs) nanoparticles functionalized by MUC1 aptamer have  
218  
219 previously reported to load paclitaxel and investigate the specific targeting potential in human  
220  
221 breast tumor cells, MCF7 and T47D [21]. However, the present study is the first application of  
222  
223 CS-HSA NPs for NTB delivery. The surface charges modification of NPs from negative, with  
224  
225 HAS, to positive in the presence of CS have also considered due to its important effect on the  
226  
227 interaction with cell membranes and on cellular uptake [21].

228 Developed HAS NPs and CS-HAS NPs were physically and chemically characterized by Light  
229  
230 Scattering techniques (DLS and ELS), Transmission Electron Microscopy and High  
231  
232 Performance Liquid Chromatography. The freeze-drying process was evaluated **as technique to**  
233  
234 **increase NPs stability**. The mucoadhesion properties were assessed through the turbidimetric  
235  
236 method and the evaluation of the change in the  $\zeta$ -potential value. HSA NPs and CS-HSA NPs  
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238 were loaded with sulforhodamine B sodium salt (**SulfB**) as a model of a hydrophilic drug  
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240 (**SulfB-HAS NPs** and **SulfB-CS-HAS NPs**) and the effect of CS coating was investigated **with**  
**respect to the release behaviour, the cellular permeation and the uptake** using Caco-2 and

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244 hCMEC/D3 cells as model of the nasal epithelium and BBB, respectively [15,23,27-30].  
245  
246 Furthermore, *ex vivo* diffusion experiments were performed using rabbit nasal mucosa in a  
247 Franz-type permeation apparatus. The possible effects of the two formulations on tight and gap  
248 junctions expression were assessed by exposing Caco-2 and hCMEC/D3 cells to HSA NPs and  
249 CS-HSA NPs and by measuring the expression of Tight Junction Protein 1 (TJP1, also known  
250 as zona occludens protein-1), at the protein and RNA levels.  
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## 254 255 **2. Material and methods**

### 256 257 *2.1 Material*

258  
259 Sigma-Aldrich (Milan, Italy) provided all chemicals, analytical grade and HPLC grade  
260 solvents. Human serum albumin (Sigma-Aldrich, Milan, Italy; cat n. SPR6182, mol wt 66.4  
261 kDa). Chitosan low molecular weight (Sigma-Aldrich, Milan, Italy; cat n. 448869, mol wt.  
262 50,000-190,000 Da, viscosity 20-300 cP, 1 wt. % in 1% acetic acid, 25 °C, Brookfield). Mucin  
263 from porcine stomach (Sigma-Aldrich, Milan, Italy; cat n. M1778, Type III, bound sialic acid  
264 0.5-1.5 %). Water was purified by a Milli-Q<sub>plus</sub> system (Millipore Milford, CT, USA).  
265 Phosphotungstic acid (PTA) was from Electron Microscopy Sciences (Hatfield, PA, USA).  
266 Dialysis kit was from Spectrum Laboratories, Inc. (Breda, The Netherlands).  
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### 274 275 *2.2 Methods*

#### 276 277 *2.2.1 Preparation of human serum albumin nanoparticles*

278 HSA NPs were prepared by the desolvation-coacervation technique [31,32], with some  
279 modifications. HSA (30 mg) was dissolved in 3 mL of 10 mM NaCl solution under magnetic  
280 stirring. The pH value was adjusted between 8 and 9 with NaOH 0.1 N. Then, ethanol was  
281 added at a constant rate using a syringe until turbidity appeared in the solution. The obtained  
282 coacervates were hardened by the addition of 5% glutaraldehyde solution, corresponding to  
283 100% of the amount required for the cross-linking of the 60 amino groups of HSA. After 2 h  
284 under magnetic stirring at room temperature, ethanol was vacuum evaporated, and the pellet  
285 was redispersed in distilled water.  
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290 In addition, fluorescent NPs (SulfB-HAS NPs) were prepared, adding sulforhodamine B  
291 sodium salt ( $\lambda_{ex}=565$  nm,  $\lambda_{em}=586$  nm in water, SulfB) to the HSA solution (final concentration  
292 0.1 mg/mL). The resulted mixture was incubated for 2 h under magnetic stirring at 500 rpm,  
293 before the addition of ethanol [11].  
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### 2.2.2 Preparation of chitosan-coated nanoparticles

CS-HSA NPs were obtained exploiting the ionic interactions between negatively charged HSA NPs and positively charged CS [21]. Firstly, CS was dissolved in 1% v/v glacial acetic acid at the concentration of 1 mg/mL. After 24 h under stirring at room temperature, the solution was filtered through a 0.45  $\mu\text{m}$  membrane and then, the pH was adjusted to 4.5 with NaOH diluted solution (0.1 N). Afterwards, 5 mL of CS solution was added to an equal volume of HSA NPs suspension under magnetic stirring at a speed of 250 rpm at room temperature. The stirring was maintained for 15 min to allow the stabilization of the CS coating.

SulfB-CS-HSA NPs were prepared by adding CS solution to SulfB-HAS NPs suspension.

### 2.2.3 Physical characterization

Particle size, the polydispersity index (PDI) and  $\zeta$ -potential have been measured a Zsizer Nanoseries ZS90 instrument (Malvern Instrument, Worcestershire, UK). The analyses were performed in triplicate.

### 2.2.4 TEM

The morphological characterization of NPs was analyzed by transmission electron microscopy (Jeol 1010, Tokyo, Japan). The samples were prepared as previously reported [29]. They were properly diluted with distilled water, then they were dropped on a 200 mesh carbon film-covered copper grid and negatively stained with a phosphotungstic acid aqueous solution (1% w/v). After drying, the grid containing the samples were observed with the TEM.

### 2.2.5 NPs yield determination

In order to evaluate the amount of HSA transformed into nanoparticles, 1.5 mL of HSA NPs and CS-HSA NPs were centrifuged at 21773 x g for 45 min. Then, the obtained supernatants were analyzed by HPLC [33].

The chromatograph was a HP 1200 liquid chromatograph coupled with a diode-array-detector (DAD) (Agilent Technologies, Santa Clara, CA, USA). The column was a Luna Omega Polar (150 mm  $\times$  3 mm, 5  $\mu\text{m}$ ) (Agilent Technologies, Santa Clara, CA, USA). The mobile phases were: (A) formic acid/water pH 3.2 and (B) acetonitrile. The flow rate was 0.5 mL/min. The multi-step linear solvent gradient applied was: 0-2 min, 90% A, 10% B; 2-7 min, 90-60% A, 10-40% B; 7-17 min, 60-30% A, 40-70% B; 17-20 min, 30-10% A, 70-90% B; 20-22 min 10% A, 90% B; 22-27 min, 10-90% A, 90-10% B with post-time of 8 min. UV detection was carried



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364 out at a wavelength of 280 nm [33]. The linearity was determined on five concentration levels  
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366 of HSA dissolved in distilled water (from 0.1 to 1 mg/mL) with three injections for each level.  
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368 The coefficient of linear correlation is above than 0.999.  
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#### 370 371 *2.2.6 Determination of Encapsulation Efficiency (EE%)*

372 EE% was determined by the dialysis bag method. The membrane (cut-off 3.5 kD) was filled  
373  
374 with 2 mL of the samples, and kept for 1 h in 1 L of distilled water, to remove the free SulfB.  
375  
376 Then the samples were diluted with a CH<sub>3</sub>CN/H<sub>2</sub>O 70:30 mixture, sonicated and analyzed by  
377  
378 HPLC. SulfB analyses were performed using the same instrument, column and analytical  
379  
380 method reported for HSA analysis, but the chromatograms were acquired at 560 nm. The EE%  
381  
382 has been calculated as follows:  
383

$$384 \text{ Encapsulation efficiency \%} = \frac{\text{SulfB encapsulated}}{\text{Total SulfB}} \times 100$$

#### 388 389 *2.2.7 Nanoparticle freeze-drying*

390 An aliquot of HSA NPs and CS-HSA NPs was lyophilized as such, other three aliquots were  
391  
392 freeze-dried in the presence of D-Glucose anhydrous or D-Mannitol or D-Sucrose as  
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394 cryoprotective agents (2% w/v) [34]. After the freeze-drying process, each sample was  
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396 reconstituted with the original volume of distilled water, vortexed for few minutes to ensure the  
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398 complete redispersion of the powder [34] and analyzed for particle size, polydispersity and ζ-  
399  
400 potential.  
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#### 402 403 *2.2.8 Stability studies*

404 Stability studies were conducted for three months. Particle size, PdI and ζ-potential were  
405  
406 evaluated at 4°C for HSA NPs and CS-HSA NPs suspensions, and at room temperature for  
407  
408 freeze-dried products.  
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#### 410 411 *2.2.9 Mucoadhesion properties*

412 To evaluate and compare the mucoadhesion properties of both NPs in the presence of mucin,  
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414 the turbidimetric method [35] and the evaluation of the ζ-potential (indirect method) were  
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416 applied [36,37]. An equal volume of nanoparticles suspension and 1% w/v mucin aqueous  
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418 solution were mixed. Then, the resulted samples were vortexed for 1 min and incubated in a  
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424 water bath for 1 h at 37°C. The turbidity of the mixtures was evaluated spectrophotometrically  
425 at  $\lambda = 500$  nm. The absorbances of individual mucin and nanoparticle suspensions were also  
426 recorded. The interaction between mucin and HSA NPs or CS-HSA NPs was calculated using  
427 the following equation:  
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$$\Delta A = A - A_{\text{theor}}$$

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432 where  $\Delta A$  is the absorbance difference,  $A$  is the effective absorbance of HSA NPs-mucin and  
433 CS-HSA NPs-mucin mixtures and  $A_{\text{theor}}$  represents the sum between the individual absorbance  
434 of mucin and nanoparticles suspensions. If  $\Delta A = 0$ , no interactions occur, whereas if  $\Delta A \gg 0$   
435 there is a strong interaction between nanoparticles and mucin.  
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439 The  $\zeta$ -potential was measured as previously reported.  
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#### 442 2.2.10 *In vitro release studies*

443  
444 Dialysis bag method was applied for the *in vitro* release studies in physiological pH conditions  
445 (PBS pH 7.4). For these studies regenerated cellulose membranes (cut-off of 3.5 kD) were  
446 chosen for retaining the nanoparticles and allowing for the diffusion of the entrapped compound  
447 into the dissolution medium. SulfB-HAS NPs, SulfB-CS-HSA NPs or SulfB aqueous solution  
448 (2 mL) were added into dialysis membranes and placed in 200 mL of release medium. Thus,  
449 the systems were incubated at 37°C with stirring at 150 rpm. At predetermined time intervals  
450 (0, 0.5, 1, 2, 4, 5, 8 and 24 h) 1 mL of the medium was withdrawn and replaced with the same  
451 volume of fresh release medium maintained at 37°C to preserve sink conditions. SulfB released  
452 at each time interval was quantified using HPLC. All experiments were performed in triplicate.  
453 Different mathematical models were used to understand the kinetic and the mechanism of drug  
454 release from HSA NPs and CS-HSA NPs. The best-fitted model was defined based on the  
455 highest  $R^2$  value of the release curve.  
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#### 464 2.2.11 *Experiments with Caco-2 cells*

##### 465 *Caco-2 cell line*

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467 Caco-2 cells (human colorectal adenocarcinoma) were from American Tissue Type Culture  
468 Collection (Manassas, VA, USA) and cultured in Dulbecco's modified Eagle's medium with  
469 20% fetal bovine serum (FBS) and 100 U/mL penicillin-streptomycin in 5%  $\text{CO}_2$  at 37 °C  
470 (Thermo Fisher Scientific, Rodano, Milan, Italy).  
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### *Cell Culture Experiments*

The cell viability was assessed using MTS assay, as previously described [38]. The cells were exposed to HSA NPs and CS-HSA NPs at different dilutions (from 1:10 to 1:40) for 2 and 24 h. The relative cell viability was expressed as a percentage of the untreated control group.

### *Transport Studies*

Caco-2 cells were seeded into 12-well PET transwell plates (1.13 cm<sup>2</sup> growth surface area and pore size 0.4 μm, Greiner Bio-One, Milan, Italy) at a density of 2 × 10<sup>4</sup> cells/cm<sup>2</sup>. A confluent monolayer was obtained after 21 days.

SulfB-HSA NPs and SulfB-CS-HSA NPs diluted 10 times were incubated for 4 h in the apical compartment. Lucifer Yellow (LY) was used to check the integrity of the cellular layer during the permeability test [39]. At 0 (before sample addition), 60, 120, 180 and 240 min, samples were taken from the basal compartment of each transwell plate and fresh HBSS was added. The SulfB concentration was determined by HPLC.

### *Mucin staining*

To highlight the presence of mucin production on the Caco-2 cells monolayer, cells were seeded and cultured for 21 days in specific chamber-slide for cytological analysis (X-well tissue culture chambers, Sarstedt, Verona, Italy). After 21 days of culture, cells were fixed in 4% paraformaldehyde for 15 minutes at room temperature. Slides were rinsed in 3% acetic acid solution and incubated for 2 hours in 1% alcian-blue solution, then, were rinsed in H<sub>2</sub>O, oxidized for 10 minutes in 1% periodic acid solution and incubated for 10 minutes in Schiff reactive. Slides were finally rinsed in H<sub>2</sub>O and washed three times in 0.5% sodium bisulfite solution, dehydrated and mounted. Nuclei were counterstained with hematoxylin for 30 seconds.

### *Cell uptake Studies*

Caco-2 cells were pre-incubated with sodium azide (1 μM), chlorpromazine (15 μM), and indomethacin (25 μM) for 30 min followed by the addition of SulfB-HSA NPs or SulfB-CS-HSA NPs 1:10 for 1 h, or maintained at 4°C during the NPs exposure. At the end of the experiments, the SulfB quantity remaining in the cellular lysate was quantified by HPLC analyses.

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544 *2.2.12 Experiments with hCMEC/D3 cells*

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546 *hCMEC/D3 cell line*

547 The brain microvascular endothelial cell line hCMEC/D3 (Millipore) derives from human  
548 temporal lobe microvessels isolated from epilepsy control obtained by medical surgery. Cell  
549 were seeded and grown as previously reported [29]. Cell were maintained at 37°C in an  
550 incubator in atmosphere of humidified air and 5% CO<sub>2</sub> and the EndoGRO medium  
551 supplemented with 1 ng/mL FGF-2 was changed thrice a week. Cells were passaged at least  
552 twice before use. Accumax TM Cell Counting Solution in DPBS was used to split the confluent  
553 cells.  
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560 *MTT assay*

561 The cell viability after HSA NPs and CS-HSA NPs exposure in hCMEC/D3 cell was assessed  
562 by MTT assay [40,41]. After pre-coated of the 24-well plate with Collagen Type I, Rat Tail,  
563 the cells were seeded and maintained until they were approximately 70-80% confluent. HSA  
564 NPs and CS-HSA NPs were incubated at different concentrations (dilution 1:10, 1:100 and  
565 1:500) of the formulation for 2 and 24 h in the complete medium (EBM-2). A part of the  
566 medium of each treatment was taken and preserved for LDH assay, and cells were incubated  
567 with MTT at the concentration of 1 mg/mL. Finally, DMSO was used to dissolve MTT  
568 formation and absorbance was recorded at 550 and 690 nm. EBM-2 was used as positive control  
569 and Triton X-100 as negative control and the cell viability was expressed as a percentage  
570 compared to the cells incubated only with EBM-2.  
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580 *LDH assay*

581 The extent of cell death after HSA NPs and CS-HSA NPs exposure was quantitatively evaluated  
582 by measuring the amount of LDH release from injured cells, as previously described [29]. The  
583 LDH level corresponding to complete cell death was obtained in the presence of triton X-100  
584 (positive control). All the values were expressed as a percentage compared to TX release, EBM-  
585 2 was used as the negative control.  
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591 *hCMEC/D3 cell culture for transwell permeability studies*

592 High-density pore (2 x10<sup>6</sup> pores/cm<sup>2</sup>) transparent PET membrane filter inserts (0.4 µm, 23,1  
593 mm diameter, Falcon, Corning BV, Netherlands) in 6-well plates were used for all transcytosis  
594 assays as previous described [29]. After 1h of coating with rat tail collagen type I the membrane  
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601 filter inserts, the cells were seeded onto the apical side of the inserts at a density of  $6 \times 10^4$   
602 cells/cm<sup>2</sup>. hCMEC/D3 monolayers were used to perform the permeability assay for SulfB-HSA  
603 NPs and SulfB-CS-HSA NPs. The integrity of the monolayer cells was controlled using  
604 fluorescein sodium salt (NaF) at a concentration of 10 µg/mL [15], and by observation of  
605 cultures under phase-contrast microscopy [28] using an inverted microscope (Olympus IX-50;  
606 Solent Scientific, Segensworth, UK) with (20X). For permeability studies, SulfB-HSA NPs and  
607 SulfB-CS-HSA NPs, diluted 10 times were tested and incubated for 1, 2 and 3 h in the apical  
608 donor compartment. NaF and SulfB were quantified in both in compartments by HPLC-FLD  
609 or HPLC-DAD analyses.  
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### 620 *Cell uptake Studies*

621 Sodium azide (1 µM), chlorpromazine (15 µM) and indomethacin (25 µM) were used to  
622 understand the uptake mechanism of the developed nanoparticles. The drugs were preincubated  
623 for 30 min before the addition of SulfB-HSA NPs or SulfB-CS-HSA NPs for 2h at the dilution  
624 of 1:10. The quantity of SulfB was measured on cellular lysate by HPLC analyses at the end of  
625 the test.  
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### 631 *Western blotting*

632 hCMEC/D3 and Caco-2 cells were seeded into 6-well plates at a density of  $1.2 \times 10^6$  cells/cm<sup>2</sup>  
633 and after exposure to HSA NPs and CS-HSA NPs at the dilution of 1:10 for 2 h, the cells (1  
634 well/sample) were washed with cold 0.01 M PBS, pH 7.4 and were transferred and dissolved  
635 in a tube containing 1% SDS. The Pierce (Rockford, IL, USA) BCA (bicinchoninic acid)  
636 Protein Assay Total was used to quantify the protein levels. Lysates (20 µg/lane of protein)  
637 were resolved by electrophoresis on a 4-20% SDS-polyacrylamide gel (Bio-Rad Laboratories,  
638 Hercules, CA, USA) and transferred onto nitrocellulose membranes. Blots were blocked for 1  
639 h at room temperature in 20 mM Tris-buffered saline, pH 7.6-0.1% Tween 20 (TBS-T)  
640 containing 5% non-fat dry milk, and then incubated overnight at 4°C with rat monoclonal  
641 antibodies against ZO1, mouse monoclonal antibodies against claudin-5 (all from Santa Cruz  
642 Biotechnology, CA, U.S.A) diluted 1:300 in TBS-T containing 5% non-fat dry milk or  
643 polyclonal-rabbit antibody against Ve-Chaderin (from Cell Signaling Technology, Beverly,  
644 MA, USA) diluted 1:1000 in TBS-T containing 5% bovine serum albumin. The loading control  
645 anti-β-actin antibody was monoclonal from Sigma (St Louis, MO, USA). Immunodetection was  
646 performed with secondary antibodies (1:2000 anti-rat, anti-mouse or anti-rabbit IgG from  
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661 donkey, Amersham Biosciences, UK) conjugated to horseradish peroxidase in TBS-T  
662 containing 5% non-fat dry milk. Membranes were washed with TBS-T and then reactive bands  
663 were detected using chemiluminescence (ECLplus; Euroclone, Padova, Italy). Quantitative  
664 analysis was performed using the QuantityOne analysis software (Bio-Rad, Hercules, CA,  
665 USA).  
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### 672 673 674 *RT-PCR*

675 hCMEC/D3 and Caco-2 cells were seeded into 12-well plates at a density of  $1.0 \times 10^5$  cells/cm<sup>2</sup>.  
676 After exposure to HSA NPs and CS-HSA NPs at the dilution of 1:10 for 2 h, the cells were  
677 washed with Dulbecco-s phosphate-buffered saline. The Nucleo Spin<sup>®</sup> RNA kit (Macherey-  
678 Nagel, Bethlehem, USA) were used to extract the total RNA from cell lysates.

682 For first-strand cDNA synthesis, 1 µg of total RNA from each sample was reverse-transcribed  
683 by using the RevertAid RT Kit (Thermo Scientific, Waltham, MA USA). Primers were  
684 designed on the basis of the GenBank sequences for homo sapiens Tight Junction Protein 1,  
685 TJP1 (NM\_003257.4): forward primer 5'-GGGAGCACATGGTGAAGGTAA-3', reverse  
686 primer 5'- ATCACAGTGTGGTAAGCGCA-3'. GAPDH was co-amplified as reference gene:  
687 forward primer 5'-CCCTCAAGGGCATCCTGGGCT-3', reverse primer 5'-  
688 GCAGGGACTCCCCAGCAGTGA-3'. PCR products were carried out using 1 µl of cDNA in a 25 µl  
689 total volume containing 1x PCR buffer, 0.5 mM dNTPs, 8 ng/µl of primer, 0.1 ng/µl of GAPDH  
690 primers and 1.25 units of Taq polymerase (Dream Taq, Carlo Erba, Milan, Italy). The PCR  
691 conditions were: 95°C for 5 min and 30 cycles at 95°C for 30 sec, 60°C for 30 sec and 72°C for  
692 55 sec. PCR products were separated on a agarose gel (1.8%) and visualized by Safeview  
693 staining (Euroclone, Milan, Italy). Gel images were captured by an UVIdocHD2 acquired  
694 system (Eppendorf, Milan, Italy) and the intensity of the bands were analysed with the  
695 Quantity-One software (Bio-Rad, Segrate, Milan, Italy).  
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### 705 706 *2.2.13 Ex vivo transport experiments across rabbit nasal mucosa*

707 *Ex vivo* transport experiments were performed using rabbit nasal mucosa in a Franz-type  
708 diffusion apparatus (0.58 cm<sup>2</sup> permeation area, VETROTECNICA S.r.l., Padova, Italy) [42-  
709 44]. On the day of the experiment, rabbit heads were collected from a local slaughterhouse  
710 (Pola S.r.l, Finale Emilia, Italy) and transported to the laboratory in a refrigerated box. The  
711 extraction procedure, completed within 2 h from the animal's death, and the protocol to treat  
712 the nasal mucosa are described elsewhere [45].  
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724 Before introducing the NPs in the donor compartment, the receptor compartment was filled  
725 with PBS and the assembled system was allowed to equilibrate at 37°C for half an hour.  
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728 In particular, SulfB-HSA NPs, SulfB-CS-HSA NPs and SulfB aqueous solution were tested by  
729 maintaining the concentration of SulfB constant in all the samples (0.1 mg/mL).  
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731 The experiments were carried out over a 4 h and 24 h period of time. This experiment duration  
732 was consistent with the data in literature about tissue viability and drug transport experiments  
733 across animal excised nasal mucosa, employing nano-drug delivery systems [46-51].  
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735 At predetermined time points, a volume of receptor solution (0.5 mL) was withdrawn, and the  
736 receptor compartment refilled with an equivalent volume of fresh PBS. At the end of the  
737 experiment, the mass balance (sum of the amounts of SulB recovered from receptor, donor and  
738 membrane) was calculated. For this aim, the residual formulation on the membrane was  
739 quantitatively recovered by rinsing the donor compartment with PBS. In addition, SulfB  
740 retained at the membrane nasal mucosa was extracted with distilled water using an IKA T25  
741 digital Ultra-Turrax (IKA-Works, Staufen im Breisgau, Germany) for 10 min and then an  
742 ultrasound bath for 30 min. All the samples were analyzed by HPLC.  
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744 The flux of SulfB across the mucosa in steady-state conditions was calculated according to the  
745 solution of Fick Equation [43].  
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#### 753 2.2.14 Statistical analysis

754 The experiments were performed in triplicate. The results were expressed as a mean  $\pm$  S.D.  
755 (standard deviation). Statistical analyses cells viability, permeability studies and cellular uptake  
756 were performed using one-way ANOVA followed by the post hoc Tukey's w-test for multiple  
757 comparisons. GRAPH-PAD PRISM v. 5 for Windows (GraphPad Software, San Diego, CA,  
758 USA) was applied to all statistical calculations. A P value < 0.05 was considered significant.  
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### 763 3. Results and Discussion

#### 764 3.1 HSA NPs characteristics

765 HSA NPs were obtained by the desolvation-coacervation technique [31,32]. The hydrodynamic  
766 diameter of the nanoparticles is one of the most crucial parameters that affect the nose-to-brain  
767 absorption. Indeed, only small particles can be transported to the brain via the olfactory or the  
768 trigeminal nerves [1]. For this reason, the pH of the HSA solution was adjusted between 8 and  
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9 considering that the particle size decreased with increasing pH [32]. NaCl was selected because other salts interfere with the desolvation and cross-linking process [32,52].

Ethanol was used as desolvating agent due to its dielectric constant, dipole moment and solubility parameter that make it an ideal solvent to enter into the hydrophobic region of HSA, disrupt the hydrophilic layer of the protein in water, and to induce the denaturation of HSA and consequently the formation of NPs [53]. Besides, ethanol is less toxic compared to other organic solvents proposed as desolvating agents, i.e., acetone, methanol and acetonitrile [54,55].

Glutaraldehyde aqueous solution was chosen as cross-linker agent [32]. Among the different tested concentrations (from 50% to 200% of the calculated amount required for the cross-linking of the amino groups of HSA), the best results concerning particle size, homogeneity, yield and reproducibility were obtained with the 100% concentration (Table 1).

The morphological appearance of NPs confirmed the presence of spherical HSA NPs with uniform size distribution in the range of 230-250 nm, according to the DLS measurements (Figure 1).

The surface charge of the developed HSA NPs was negative due to the presence of the terminal carboxyl groups of the protein. The high  $\zeta$ -potential value indicates the presence of strong repulsive forces which can prevent the aggregation of the NPs, increasing the stability of the formulation (Table 1). Besides, the negative surface charge is crucial for further surface modification step.

**Table 1.** Physical and chemical characterization of empty and SulfB-HSA NPs. Data displayed as mean  $\pm$  SD; n=3.

Sample	Size (nm)	PdI	$\zeta$ -potential (mV)	EE%	Yield %
HSA NPs	241 $\pm$ 19	0.06 $\pm$ 0.04	-47 $\pm$ 3	-	93 $\pm$ 1
SulfB-HSA NPs	244 $\pm$ 12	0.11 $\pm$ 0.02	-44 $\pm$ 5	65 $\pm$ 2	95 $\pm$ 2

The nanoparticle yield, determined by HPLC analyses as previously reported in the literature [33], was very high, indicating that almost all HSA was converted into NPs. Thus, the obtained results demonstrated the success of the preparative process.

SulfB, a hydrophilic fluorescent dye, was incorporated into HSA NPs (SulfB-HSA NPs) as hydrophilic drug model to perform release studies and *in vitro* experiments with Caco-2 and hCMEC/D3 cells and to investigate the permeation across the rabbit nasal mucosa. SulfB was



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844 selected because it does not have a pH-dependent absorption or fluorescence over the range of  
845 3 to 10 and it is highly soluble in the media employed in the *in vitro/ex vivo* assays. **The**  
846 **incorporation of SulfB did not negatively affect the size and homogeneity of HSA NPs, as**  
847 **reported in Table 1.**  
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### 852 3.2 CS-HSA NPs characteristics

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854 CS-HSA NPs were obtained by the electrostatic interaction between negatively charged HSA  
855 NPs and positively charged CS [21]. Low molecular weight CS was used according to  
856 Bonaccorso [5]. The increase in particle size and the inversion of  $\zeta$ -potential value clearly  
857 indicated the interaction between HSA NPs and CS [37] (Table 2). The high  $\zeta$ -potential is  
858 related to a stable formulation in which the electrostatic repulsions prevent the aggregation. The  
859 positive surface charge of CS-HSA NPs is also fundamental for further **interaction** with  
860 negatively charged cell membranes and to improve the mucoadhesive properties.  
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862 Different CS concentrations were tested (from 1 mg/mL to 3 mg/mL). As CS concentration  
863 increased, particle enlargement (greater than 300 nm) and broadening of the size distribution  
864 (PDI > 0.3) were observed, while the  $\zeta$ -potential remained unchanged. Eventually, CS was  
865 employed at the concentration of 0.1 mg/mL (Table 2).  
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867 TEM micrographs provided information on morphology and dimensions of the NPs and showed  
868 the presence of CS on the surface of HSA NPs as a grey shell (Figure 2) [37,56,57].  
869 **Dimensional analysis with TEM (220-230 nm) correlated with DLS values. The little difference**  
870 **between the results obtained with the two analytical techniques could be due to different sample**  
871 **preparation: the dehydration of CS NPs in the case of TEM leads to measurement of the particle**  
872 **which is smaller than hydrodynamic particles, as previously reported [28].** The other  
873 physicochemical properties of HSA NPs such as PDI, EE% and the nanoparticle yield were not  
874 affected by the presence of CS.  
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886 **Table 2.** Physical and chemical characteristics of empty and SulfB-CS-HSA NPs. Data  
887 displayed as mean  $\pm$  SD; n=3.  
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891 Sample	892 Size (nm)	893 PDI	894 $\zeta$ -Potential (mV)	895 EE%	896 Yield %
897 CS-HSA NPs	898 261 $\pm$ 8	899 0.10 $\pm$ 0.07	900 +45 $\pm$ 1	-	94 $\pm$ 1
SulfB-CS-HSA NPs	267 $\pm$ 6	0.12 $\pm$ 0.02	+44 $\pm$ 1	63 $\pm$ 1	95 $\pm$ 3

### 3.3 Nanoparticles freeze-drying

The freeze-drying process improves the long-term stability of nanoparticles and limits the microbial proliferation caused by the presence of the aqueous medium. In this perspective, HSA NPs and CS-HSA NPs were freeze-dried without cryoprotectants and in the presence of sugars or sugar alcohols such as glucose, sucrose and mannitol. Fast freezing rate with liquid nitrogen was preferred because it avoids the formation of large ice crystals, which could damage the NPs and reduces their aggregation [59,60]. In the absence of cryoprotectant, a significant increase in size and a loss of size homogeneity were observed for both formulations (Table 3). This result confirmed the advantage of cryoprotectants in preventing the aggregation of albumin NPs during the freeze-drying process [34].

**Table 3.** Physical parameters of HSA NPs and CS-HSA NPs after the freeze-drying process without and with different cryoprotectants. Data displayed as mean  $\pm$  SD; n=3.

Freeze-dried product	Size (nm)	PdI	$\zeta$ -potential (mV)
HSA NPs	> 500 nm	> 0.5	-
HSA NPs + Glucose	269 $\pm$ 3	0.05 $\pm$ 0.01	-45 $\pm$ 2
HSA NPs + Mannitol	262 $\pm$ 5	0.06 $\pm$ 0.01	-44 $\pm$ 1
HSA NPs + Sucrose	261 $\pm$ 1	0.06 $\pm$ 0.01	-45 $\pm$ 1
CS-HSA NPs	> 500 nm	> 0.5	-
CS-HSA NPs + Glucose	276 $\pm$ 5	0.12 $\pm$ 0.02	+31 $\pm$ 1
CS-HSA NPs + Mannitol	285 $\pm$ 2	0.11 $\pm$ 0.01	+17 $\pm$ 3
CS-HSA NPs + Sucrose	269 $\pm$ 3	0.06 $\pm$ 0.01	+35 $\pm$ 1

All the cryoprotectants were tested at the concentration of 2% w/v. The best performance in terms of technological aspects was obtained with sucrose (Table 3). A slight size increase was found, nevertheless the NPs maintained physical characteristics suitable for the intranasal application.

Non-reducing compounds such as mannitol and sucrose are generally preferred to avoid potential Maillard reaction of the cryoprotectant with the protein [61]. Sucrose resulted better than mannitol in particular for CS-HSA NPs, so it was selected for storage stability studies. A possible reason for this result could be the tendency of mannitol to crystallize during the freeze-drying process [61].

### 3.4 Storage stability studies

Physical stability of HSA NPs and CS-HSA NPs as suspension and as freeze-dried product was monitored during three months. Both HSA NPs and CS-HSA NPs suspensions resulted stable at 4°C. The final values of particle size and PDI for HSA NPs were  $238 \pm 5$  and  $0.10 \pm 0.01$ , respectively, while for CS-HSA NPs they resulted  $265 \pm 2$  and  $0.11 \pm 0.01$ , respectively. No significant changes were also found for  $\zeta$ -potential after 3 months of storage:  $-47 \pm 1$  for HSA NPs and  $+43 \pm 2$  for CS-HSA NPs.

A similar study was performed on freeze-dried NPs. Both products maintained almost the same initial physical characteristics: size  $260 \pm 3$  nm, PDI  $0.07 \pm 0.01$  and  $\zeta$ -potential of  $-40 \pm 1$  mV, in the case of HSA NPs; and size  $265 \pm 1$  nm, PDI  $0.06 \pm 0.01$  and  $\zeta$ -potential of  $+37 \pm 2$  mV, in the case of CS-HSA NPs. These data demonstrate that the developed NPs can be stored as suspension in the fridge and potentially even at room temperature as freeze-dried products for long periods.

Stability of SulfB loaded NPs was also considered. They were physically and chemically stable at 37°C and in the light for three days. These results were also important for the subsequent *in vitro* and *ex vivo* experiments.

### 3.5 Mucoadhesion properties

Turbidity analyses and the evaluation of the  $\zeta$ -potential were synergistically applied to investigate and compare the mucoadhesion properties of CS-HSA NPs and uncoated NPs.

As clearly reported in Figure 3, a significant increase in absorbance difference ( $\Delta A$ ) was found in the case of CS-HSA NPs indicating a strong interaction between positively charged amino groups present in CS and the negatively charged carboxyl and sulphate groups of the mucin [36, 62].  $\zeta$ -potential analyses confirmed the data obtained by the turbidimetric method. Positive charges of CS-HSA NPs were neutralized by the negative charges of mucin (Figure 4). On the other hand, uncoated NPs remain negatively charged once the interaction with mucin occurs at lower extension [36,63].

### 3.6 In vitro release experiments

*In vitro* release profiles of the dye from the aqueous solution, the SulfB-HSA NPs and the SulfB-CS-HSA NPs suspensions are reported in Figure 5. In the case of the solution, 100% of SulfB was released after 2 h, while in the case of both formulations the immediate release of the entrapped molecule, known as burst effect, was very low. This represents an important

1021 finding because it suggests that the drug leakage during *in vivo* delivery would be minimal. The  
1022 release of SulfB from CS-HSA NPs started quite slower respect to HSA NPs, then, after about  
1023 four hours, the release profiles of the formulations became similar as a consequence of CS  
1024 hydration and swelling (Figure 5) [51,64].  
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1026 As previously reported, the release kinetics of SulfB, employed as a model of a hydrophilic  
1027 drug, were analysed by Hixson-Crowell, Higuchi, first- and zero-order mathematical models.  
1028 The results revealed that the release of SulfB from both formulations was diffusion-controlled,  
1029 as indicated by higher R-squared ( $R^2$ ) values in the Higuchi model (0.839 for HSA NPs and  
1030 0.884 for CS-HSA NPs).  
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1032 When the release data were analyzed using the Korsmeyer–Peppas model, the values of the  
1033 diffusional exponent  $n$  were found to be 0.68 and 0.67 for HSA NPs and CS-HSA NPs,  
1034 respectively, demonstrating that the SulfB release follows a non-Fickian diffusion mechanism.  
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### 1036 3.7 Caco-2 experiments

1037 Caco-2 cell line was used as model of the nasal epithelium [23,30]. The cells used for the test  
1038 are rich in mucin content, an important feature also to evaluate the effect of chitosan coating on  
1039 the permeation.  
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1041 After Alcian-blue PAS reaction, Caco-2 cells appeared stained in magenta, highlighting the  
1042 presence of neutral mucins (Figure 6). This kind of mucins usually reacts with PAS. The lack  
1043 of blue staining highlighted the absence of acid mucins [65].  
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1045 A first set of experiments was performed to select the suitable dilution of NPs dispersions for  
1046 further studies, i.e., permeation and uptake experiments. For this purpose, cell viability (MTS)  
1047 assay was carried out. As reported in Figure 7 (panel a), when Caco-2 cells were exposed for 4  
1048 h to different concentrations of SulfB-HSA NPs and SulfB-CS-HSA NPs (dilution from 1:40 to  
1049 1:10) the cell viability was not reduced. Further experiments demonstrated that when the cells  
1050 were incubated with the two types of SulfB-NPs for 24 h, diluted 10 times, the cell viability was  
1051 not significantly affected compared to the control group (Figure 7, panel b).  
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1053 Since the developed formulations are designed for nasal administration, and the nasal  
1054 epithelium represents the first barrier, these results demonstrate their biocompatibility,  
1055 independently of the surface charge.  
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1057 The permeation studies across the Caco-2 monolayer revealed that the  $P_{app}$  values of SulfB-HSA  
1058 NPs and SulfB-CS-HSA NPs were similar for the first 3 hours (Figure 8). This is probably  
1059 related to the mucoadhesive characteristics that CS conveys to the NPs. A delayed drug release  
1060 occurs in the presence of CS-coating [56,66,67]. However, after 4 h of incubation, the  $P_{app}$  value  
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1084 of SulfB-CS-HSA NPs was higher, **about twice** the  $P_{app}$  value of SulfB-HSA NPs (Figure 8).  
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1086 Finally, the obtained  $P_{app}$  results are useful for *in vitro* prediction, as confirmed by the recovery  
1087 values, which were above 80% in all experiments [27].  
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1089 To elucidate the endocytic uptake mechanism and to differentiate SulfB-HSA NPs and SulfB-  
1090 CS-HSA NPs, the uptake experiments were carried out in the presence of sodium azide as  
1091 energy depletion agent, chlorpromazine, a clathrin-dependent endocytosis inhibitor and  
1092 indomethacin, as caveolin-dependent endocytosis inhibitor. As evidenced in Figure 9, the  
1093 cellular uptake of both NPs was significantly inhibited in the presence of sodium azide,  
1094 chlorpromazine and indomethacin with **a more pronounced** effect of all the inhibitors in the  
1095 case of uncoated NPs. These data indicated that both formulations, were internalized by energy-  
1096 dependent mechanism and the clathrin-mediated endocytosis resulted the main pathway  
1097 involved in the uptake, consistent with the results obtained in other works with similar  
1098 formulations [68].  
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### 1105 1106 1107 3.8 hCMEC/D3 experiments

1108 The possible toxic effects of the NPS were evaluated by MTT and LDH assays in hCMEC/D3  
1109 cell line (Figure 10). The same cells were used for permeability studies. When cells were  
1110 exposed to HSA NPs and CS-HSA NPs (from dilution 1:500, 1:100 and 1:10) for 2 and 24 h,  
1111 no significant changes were observed in MTT metabolism, or LDH release respected to cells  
1112 incubated with only complete medium indicating that HSA NPs and CS-HSA NPs did not affect  
1113 the metabolic activity of the cells nor the membrane **integrity**.  
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1118 A lot of study use the hCMEC/D3 cell line as a model of the human BBB and in particular for  
1119 to understand the drug transport mechanisms [15, 27]. As the cells retain the expression of most  
1120 transporters and receptors expressed *in vivo*, the permeability studies were performed to predict  
1121 the permeability of SulfB-HSA NPs and SulfB-CS-HSA NPs across the BBB, after a possible  
1122 absorption via the respiratory epithelium and achievement of the circulation, as indirect  
1123 pathway for the NTB delivery. NaF was used as negative control and its  $P_{app}$  was calculated to  
1124 monitor the integrity of the cell layer, together with the phase-contrast microscopy [28].  
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1129 The permeation studies across hCMEC/D3 monolayer revealed that the  $P_{app}$  **value** of SulfB-CS-  
1130 HSA NPs was higher than with SulfB-HSA NPs at 1 and 2 hours (Figure 11), this effect perhaps  
1131 is in part **due to** the mechanism of action of CS which induces a reversible transient change of  
1132 the tight junctions. However, after 3 h of incubation, the  $P_{app}$  **values** of SulfB-CS-HSA NPs and  
1133 SulfB-HSA NPs **were** similar.  
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1144 To understand the possible endocytic uptake mechanism of the two different formulations, **the**  
1145 **sodium azide**, as energy depletion agent, **the** chlorpromazine, a clathrin-dependent endocytosis  
1146 inhibitor and **the** indomethacin, as caveolin-dependent endocytosis inhibitor, **were used**. As  
1147 evidenced in Figure 12, the cellular uptake of SulfB-HSA NPs and SulfB-CS-HSA NPs was  
1148 significantly **reduced in the presence of all three inhibitors with a greater effect in the case of**  
1149 **uncoated NPs**. These data indicate that both formulations were internalized in an energy-  
1150 dependent manner and the clathrin-mediated endocytosis was the main pathway involved in  
1151 this uptake.  
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### 1159 *3.9 Effects of nanoparticles on tight and gap junctions expression*

1160 Chitosan induced a significant decrease of the expression of gap junctions in hCMEC/D3 cells,  
1161 but not in tight junctions in Caco-2 (data not shown). Exposure of the two cell lines to CS-HSA  
1162 NPs at the 1:10 dilution for 2 h caused a decrease in the levels of ZO-1 expression significantly  
1163 for hCMEC/D3, but not for Caco-2. However, HSA NPs did not alter the level of the protein  
1164 (Fig. 13). In the hCMEC/D3 cells CS-HSA NPs decreased also the levels of Caudin-5 and Ve-  
1165 Cadherin that **are** the most abundant gap junctions in these cells [27] (Fig.13). The different  
1166 effect observed with the NPs in the two cell lines **can depend** on the different mechanisms of  
1167 action of chitosan: **its effect on the gap junctions in the case of hCMEC/D3 cells, while the**  
1168 **mucoadhesion in the case of Caco-2**.  
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1175 Variations of tight junctions (TJP1) expression were assessed also at RNA level, by RT-PCR.  
1176 As shown in Figure 14 (panel a), the exposure to CS-HSA NPs and, at a lesser extent, to HSA  
1177 NPs for 2 hours, significantly reduced the expression of ZO1 in hCMEC/D3 cells while these  
1178 formulations did not significantly alter its expression in Caco-2 cells, confirming **the findings**  
1179 **obtained** at the protein level (Fig. 13). The qualitative PCR confirmed the data obtained and  
1180 shown in real time PCR (Fig. 14, panel b).  
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1184 Overall, these data indicate that CS-HSA NPs have advantages in opening the tight junctions  
1185 between hCMEC/D3 cells, a model of blood-brain barrier, allowing for the transport of  
1186 molecules across the barrier. The effect on Caco-2 cells, on the contrary, indicated that these  
1187 formulations can be safely used for nasal administration because intact epithelial tight junctions  
1188 are crucial for maintaining barrier function. Mucoadhesion is the main mechanism at this level.  
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### 3.10 Ex vivo transport experiments across rabbit nasal mucosa

The *ex vivo* permeation of SulfB from SulfB-HSA NPs, SulfB-CS-HSA NPs and aqueous solution was studied by using rabbit nasal mucosa as biological barrier [42-44]. The maximum permeation of SulfB in 24 h was 83.7% for CS-HSA NPs, 68.9% for HSA NPs and 45.5% in the case of the aqueous solution of the dye (Figure 13). The higher permeation of SulfB, when loaded into CS-HSA NPs could be due to the permeation enhancing activity of CS, in particular to the interaction of positively charged amino groups of CS with negatively charged cell membranes and to the opening of the tight junctions, as evidenced in the experiments with Caco-2 and hCMEC/D3 cells. On the other hand, the possible reason for the lower permeation of the free-SulfB in comparison to SulfB loaded into HSA NPs and CS-HSA NPs could be due to the hydrophilic nature of drug [49].

Besides, the apparent permeability coefficient of SulfB loaded into CS-HSA NPs resulted  $16.7 \pm 1.3 \times 10^{-6}$  cm/s, while the permeation rates of HSA NPs and free-SulfB resulted  $13.8 \pm 1.1 \times 10^{-6}$  cm/s and  $9.1 \pm 0.1 \times 10^{-6}$  cm/s, respectively. A greater permeability coefficient is expected to correlate with enhanced absorption [69]. The obtained data are suitable for an accurate prediction since the mass balance values were  $98.9 \pm 1.6$  % for SulfB-HSA NPs and  $99.6 \pm 0.6$  % for SulfB-CS-HSA NPs.

The CS coating on the surface of HSA NPs determined a slower amount of SulfB permeated in particular during the first 6 hours, in comparison to uncoated NPs (Figure 15). This result is due to the mucoadhesive properties of CS-HSA NPs, which could result in an extended time of action, in accordance with the results obtained by the *in vitro* release studies and Caco-2 experiments [51,56,64,66,67].

The mucoadhesive properties of SulfB-CS-HSA NPs compared to SulfB-HSA NPs were also evidenced by the experiment performed for 4 h. As hypothesized, concerning the amount of SulfB recovered into the rabbit nasal mucosa after 4 h, CS-HSA NPs exhibited higher SulfB accumulation (6.7%) compared to HSA NPs (1.7%). These results demonstrated the strong interaction between CS and the mucin.

## 4. Conclusion

In this study, the influence of CS-coating on HSA NPs for nasal delivery was investigated for the first time. Concerning physical and chemical parameters, the use of chitosan-coated nanoparticles is a promising approach for nose-to-brain drug delivery. The freeze-drying process was optimized, and both NPs showed excellent storage stability properties as

1261 suspensions, at 4°C, and as freeze-dried products. The functionalization coating with CS was  
1262 confirmed by the difference in the  $\zeta$ -potential value and also by TEM analysis. Besides, the  
1263 mucoadhesive properties of CS and its ability to modulate the release of the entrapped molecule  
1264 were proved by the turbidimetric and the indirect method and performing *in vitro* release  
1265 studies. Caco-2 and hCMEC/D3 cell experiments, selected as model of nasal epithelium and  
1266 BBB, respectively, evidenced the safety of the NPs and the **ability** of CS to increase the drug  
1267 permeation. Both formulations were internalized into the cells **with the energy-dependent**  
1268 **mechanism**, and the clathrin-mediated endocytosis was found to be the main pathway involved  
1269 in this process.

1270 The possible effects of the two formulations on tight and gap junctions expression were  
1271 assessed **in both cellular lines**. CS-HSA NPs have the advantage of opening the tight junctions  
1272 between hCMEC/D3 cells, by decreasing the levels of ZO-1 expression, allowing for the  
1273 transport of molecules across the barrier. The effect was not **evidenced in the** Caco-2 cells. The  
1274 different effect observed with the **NPs** in the two cell lines may be dependent on the different  
1275 mechanisms of action of CS, in the case of hCMEC/D3 cells dependent on the gap junctions  
1276 while in the case of Caco-2 **on** the mucoadhesion.

1277 *Ex-vivo* studies using rabbit nasal mucosa demonstrated a strong interaction between CS and  
1278 the mucosa and the higher penetrating potential of CS-HSA NPs respect to uncoated NPs.  
1279 Consequently, the present research proposed a novel and promising strategy based on HSA NPs  
1280 surface modification for the NTB delivery of many bioactives.

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## Captions to figures

**Figure 1.** TEM image of HSA NPs.

**Figure 2.** TEM image of CS-HSA NPs.

**Figure 3.** Turbidimetric method. Absorbance difference of mucin admixed with HSA NPs and CS-HSA NPs. Data displayed as mean  $\pm$  SD; n=3. \*\*  $p < 0.01$  vs. HSA NPs (ANOVA + Tukey's test).

**Figure 4.** Indirect method.  $\zeta$ -potential of HSA NPs and CS-HSA NPs after incubation with mucin. Data displayed as mean  $\pm$  SD; n=3.

**Figure 5.** *In vitro* release profiles of SulfB solution, SulfB-loaded HSA NPs and SulfB-loaded CS-HSA NPs in PBS. Data displayed as mean  $\pm$  SD; n=3.

**Figure 6.** Mucins identification by Alcian-blue PAS staining. Left panel: representative images of Caco-2 cells x400 magnification. Right panel: detail of left panel (x1000 magnification). Scale bar: 100  $\mu$ m.

**Figure 7.** Caco-2 cell viability evaluated by MTS assay after exposure for 2 h (a) and 24 h (b) to HSA NPs and CS-HSA NPs. Data are expressed as percentage of control (untreated group). Values represent the mean  $\pm$  SEM of at least three experiments performed in triplicate.

**Figure 8.** Permeation studies across Caco-2 cells. Data displayed as mean  $\pm$  SD; n=3. \*\*  $p < 0.01$  vs HSA NPs. (ANOVA + Tukey's test).

**Figure 9.** Effect of different inhibitors on Caco-2 cell internalization pathways of HSA NPs and CS-HSA NPs. Data displayed as mean  $\pm$  SD; n=3. \*\*  $p < 0.01$  vs. 37°C; #, @, °°  $p < 0.05$  vs. CS-HSA NPs. (ANOVA + Tukey's test).

**Figure 10.** hCMEC/D3 cell viability evaluated by MTT assay (right panel) and cytotoxicity by LDH assay (left panel) when exposed for 2 h (a), and 24 h (b) to HSA NPs and CS-HSA NPs. Data are expressed as percentage of control (EBM-2 medium) and Triton-X which represent, respectively, the maximum cell viability and cell cytotoxicity. Values represent the mean  $\pm$  SEM of at least three experiments performed in triplicate. \*\*  $p < 0.01$  vs. EBM-2 alone.

**Figure 11.** Permeation studies across hCMEC/D3 cells. Data displayed as mean  $\pm$  SD; n=3. \*  $p < 0.05$  vs HSA NPs. (ANOVA + Tukey's test).

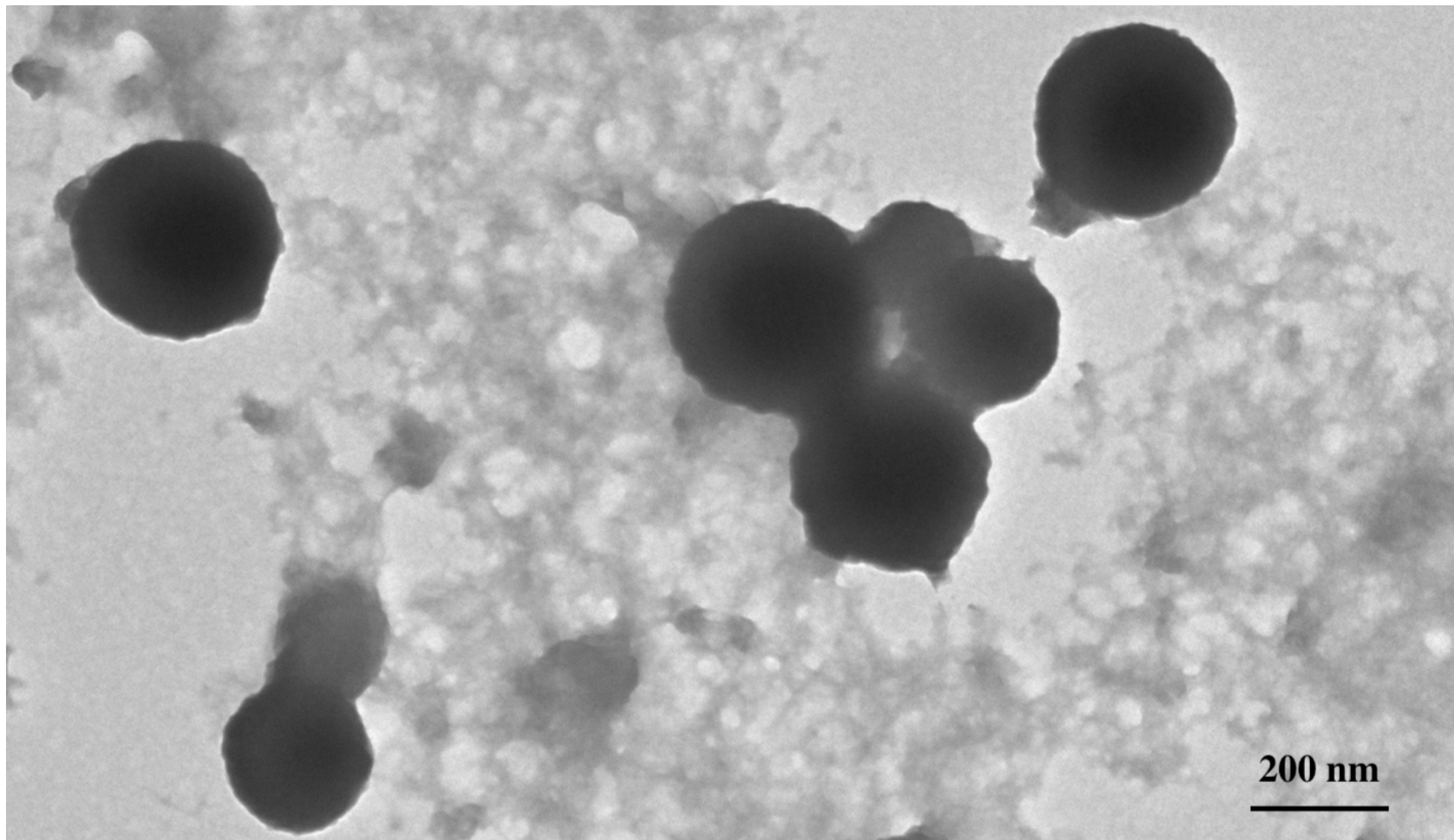
**Figure 12.** Effect of different inhibitors on hCMEC/D3 cell internalization pathways of HSA NPs and CS-HSA NPs. Data displayed as mean  $\pm$  SD; n=3. \*\*  $p < 0.01$  vs. 37°C; \*  $p < 0.05$  vs. 37°C. (ANOVA + Tukey's test).

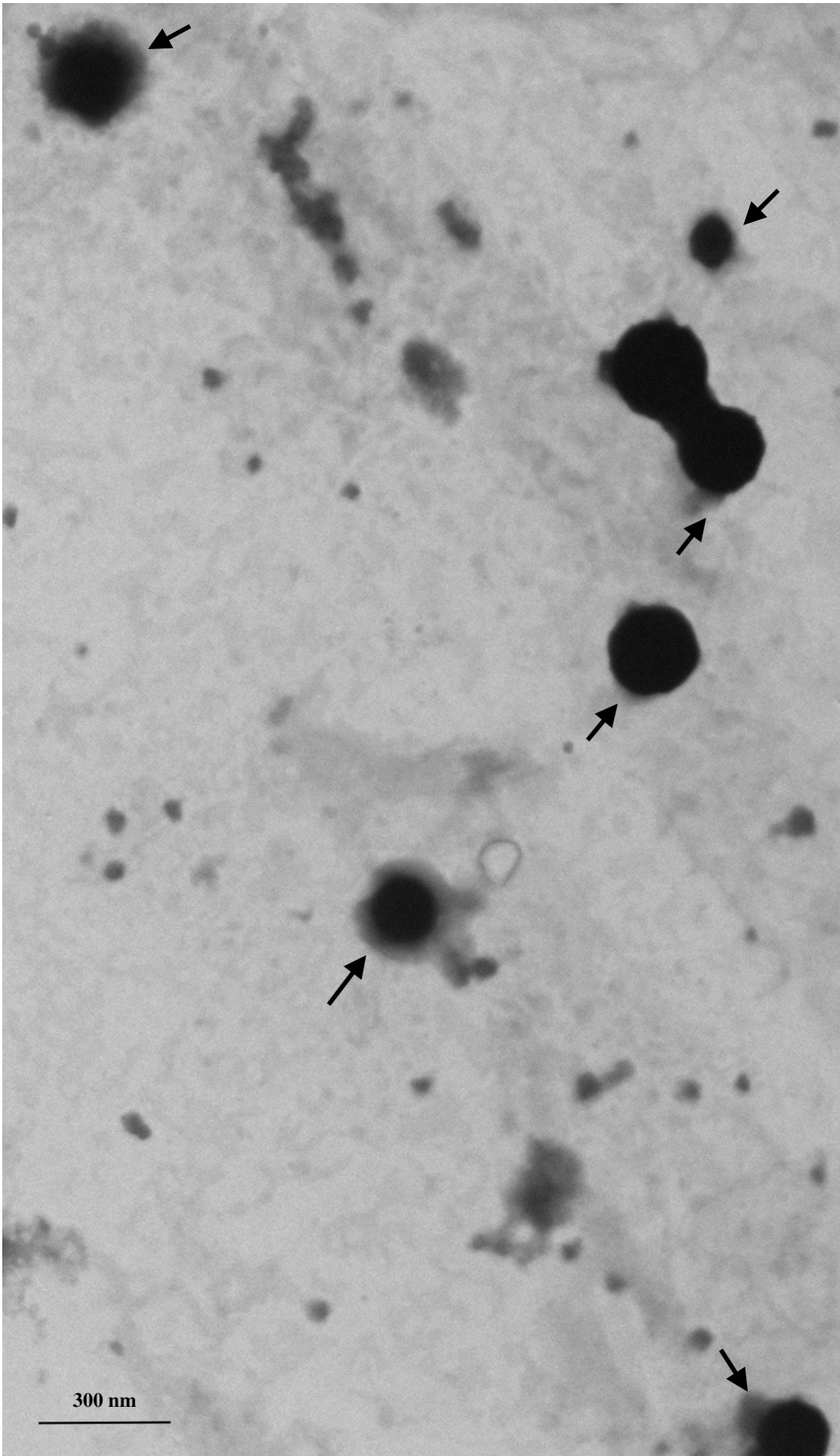
**Figure 13.** Effect of HSA NPs and CS-HSA NPs on the gap junctions in hCMEC/D3 cells. Data displayed as mean  $\pm$  SD; n=3. \*  $p < 0.05$  vs. CRL. (ANOVA + Tukey's test).

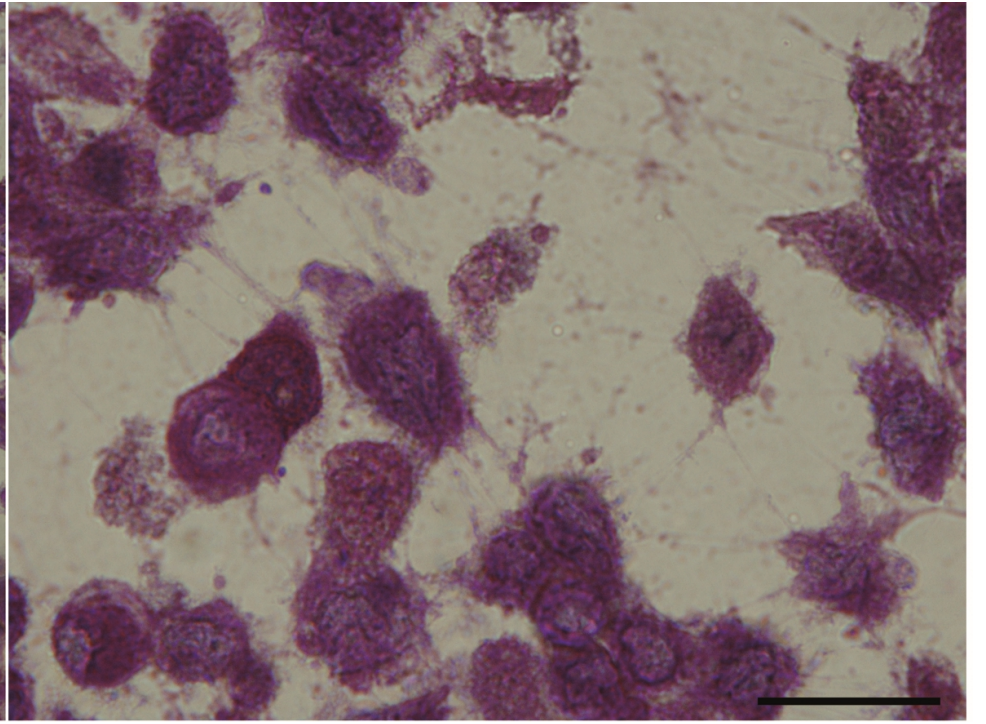
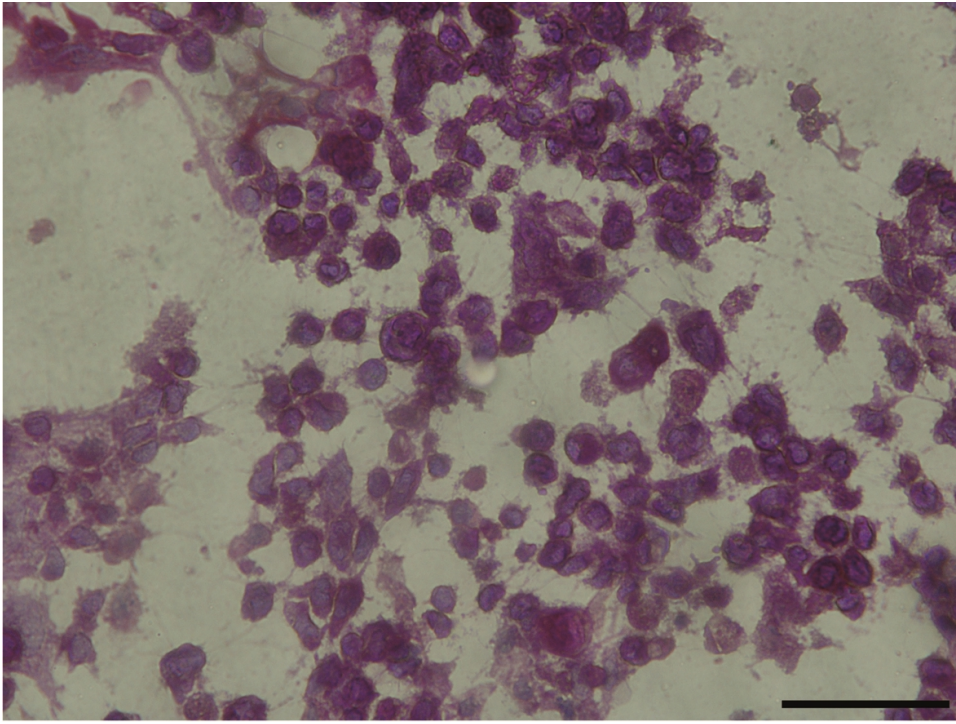
**Figure 14.** (a) Results of the RT-PCR analyses on RNA extracted from Caco-2 and hCMEC/D3 cells exposed to HSA NPs and CS-HSA NPs, for 2 hours. Data are means $\pm$ SE; n=3. \*\* $p < 0.01$  and \*\*\* $p < 0.0001$  vs control (b) Representative analysis of TJP1 expression in hCMEC/D3 and CaCo-2 cells. PCR products were separated on 1.8% agarose gel containing Safeview.

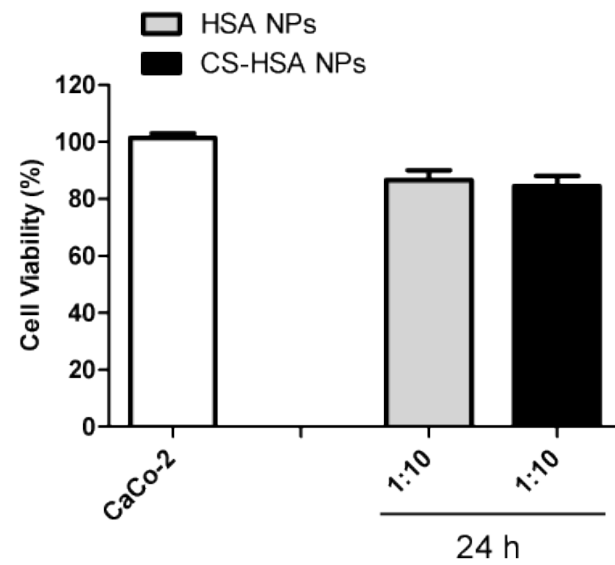
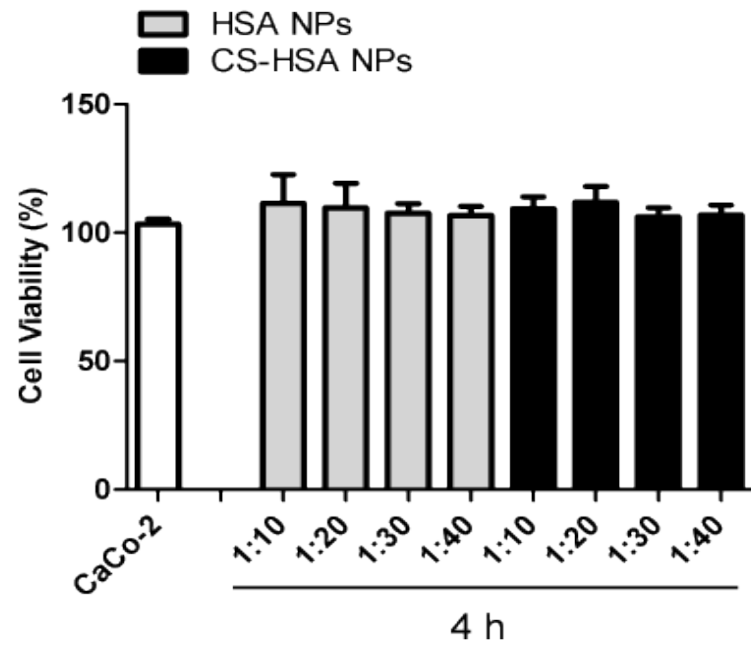


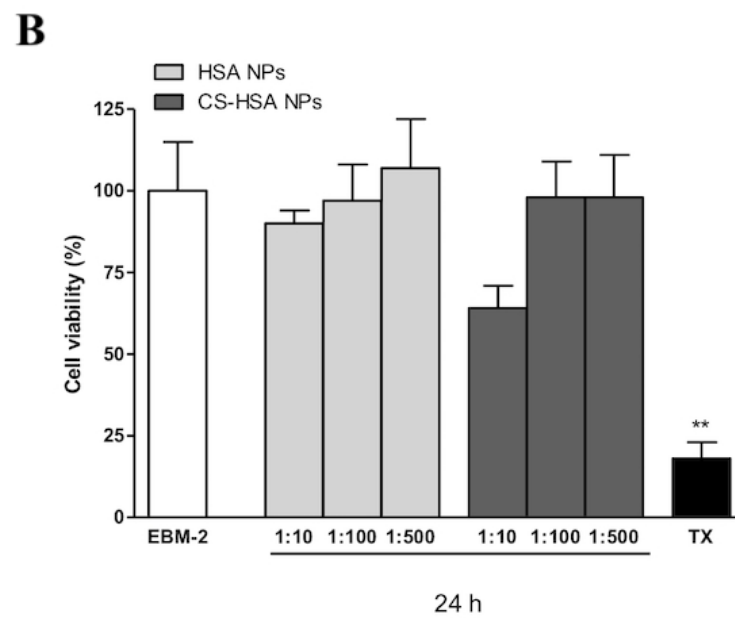
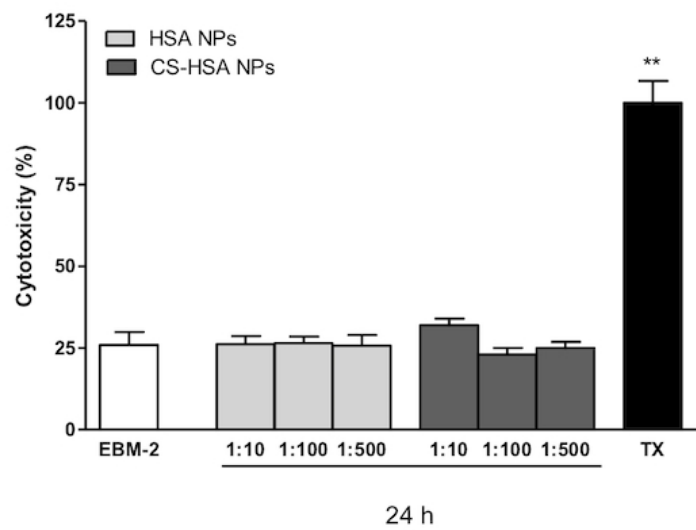
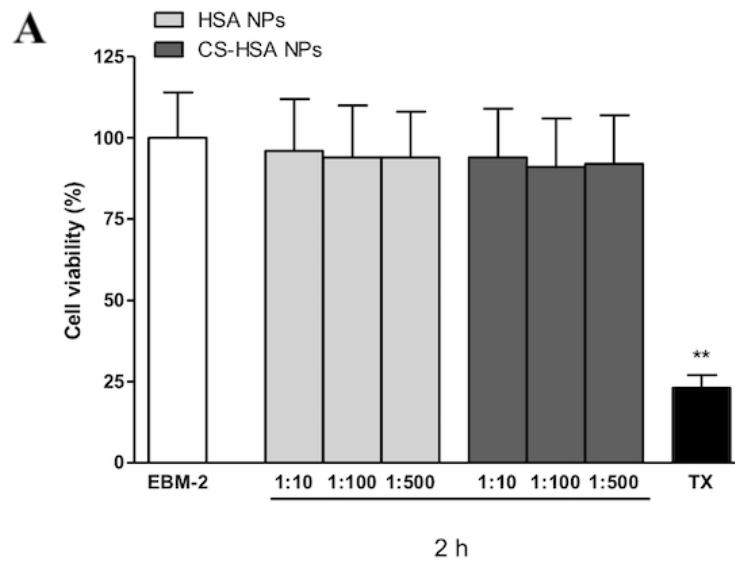
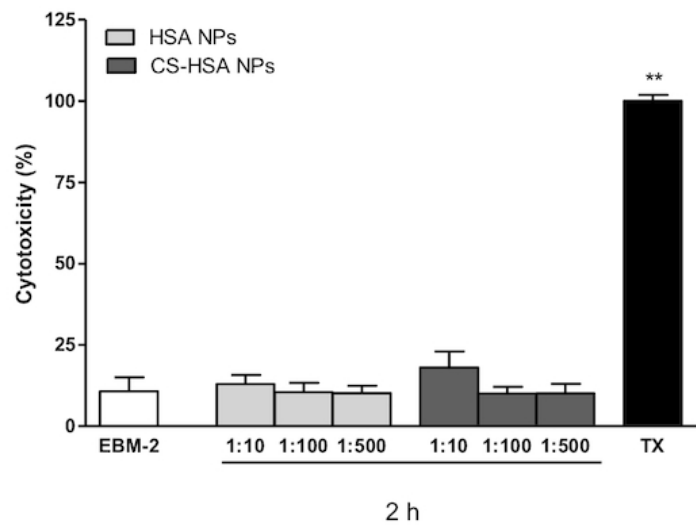
**Figure 15.** *Ex-vivo* permeation studies of SulfB solution, SulfB-HSA NPs and SulfB-CS-HSA NPs conjugates through rabbit nasal mucosa. Data displayed as mean  $\pm$  SD; n=3. \*\*  $p < 0.01$  vs. SulfB solution; \*  $p < 0.05$  vs. SulfB solution. (ANOVA + Tukey's test).

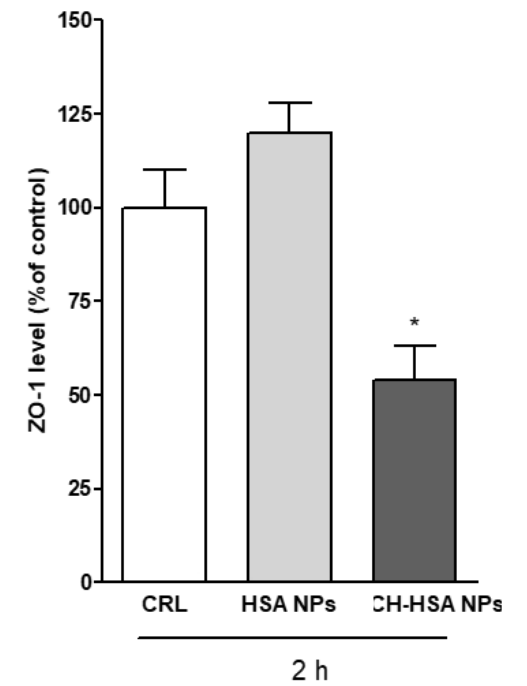
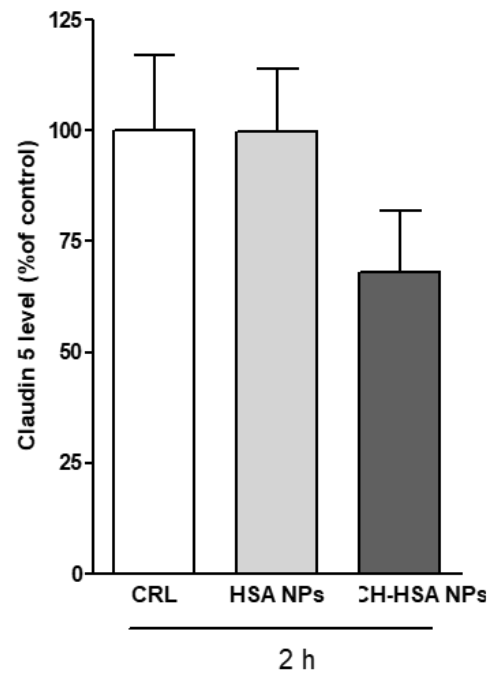
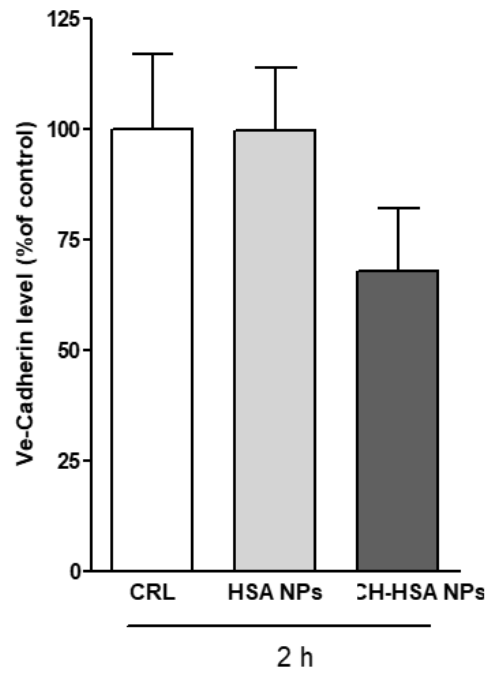
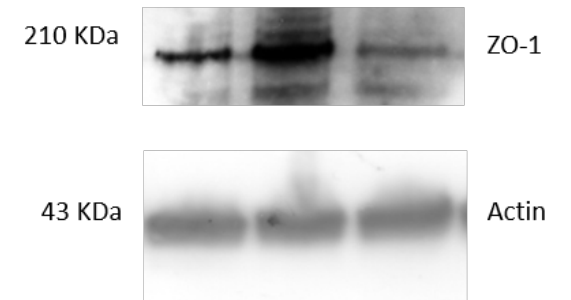
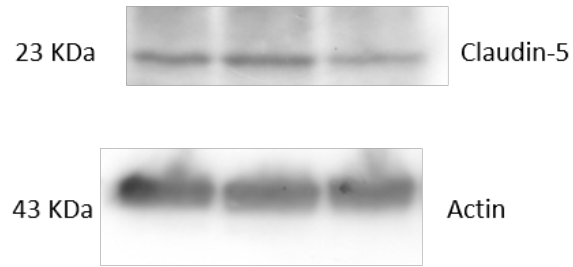
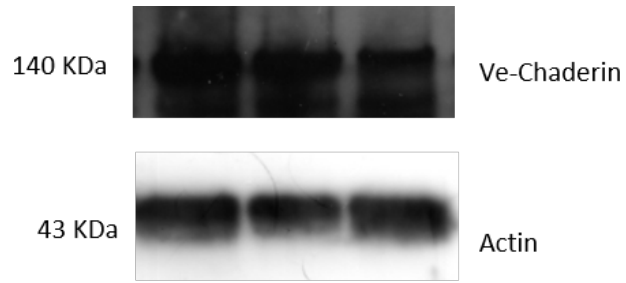






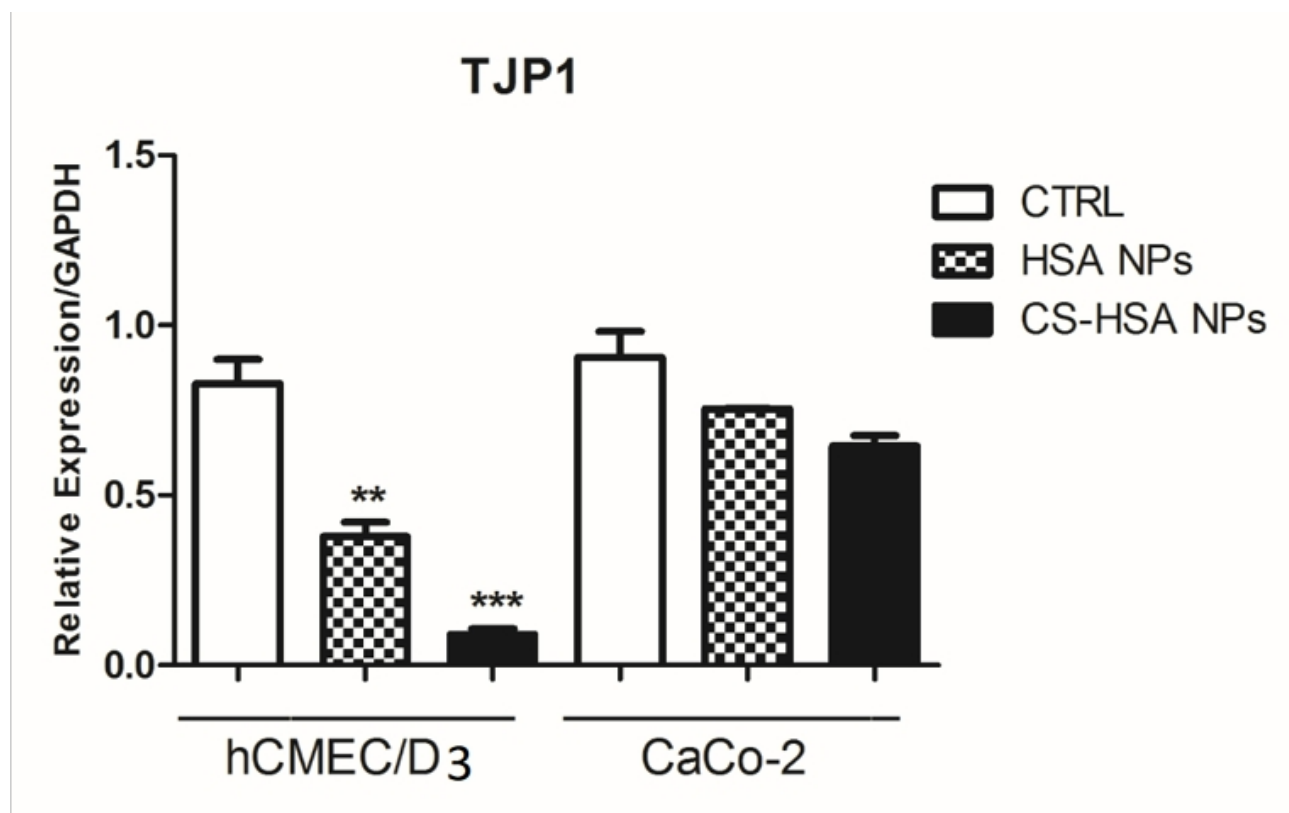








(a)



(b)

