# Evaluation of the Benefits of Microfluidic-Assisted Preparation of Polymeric Nanoparticles for DNA Delivery

Randa Zoqlam<sup>1</sup>, Chris J Morris<sup>1</sup>, Mohammad Akbar<sup>1</sup>, Alaaldin M. Alkilany<sup>2</sup>, Sherif I. Hamdallah<sup>1,3</sup>, Peter Belton<sup>4</sup>, Sheng Qi<sup>1\*</sup>

1. School of Pharmacy, University of East Anglia, Norwich UK, NR4 7TJ

 Department of Pharmaceutics & Pharmaceutical Technology, School of Pharmacy, The University of Jordan, Amman 11942, Jordan.

3. Department of Pharmaceutics, Faculty of Pharmacy, Alexandria University, Alexandria,

Egypt.

4. School of Chemistry, University of East Anglia, Norwich UK, NR4 7TJ

Corresponding author: Sheng Qi, <u>sheng.qi@uea.ac.uk</u>; Tel: +44 1603592925; Fax: +44 1603592023

# 1 Abstract

2 An effective delivery vehicle of genetic materials to their target site is the key to a successful 3 gene therapy. In many cases, nanoparticles are used as the vehicle of choice and the efficiency 4 of the delivery relies heavily on the physicochemical properties of the nanoparticles. 5 Microfluidics, although being a low throughput method, has been increasingly researched for 6 the preparation of nanoparticles. A range of superior properties were claimed in the literature 7 for microfluidic-prepared platforms, but no evidence on direct comparison of the properties of 8 the nanoparticles prepared by microfluidics and conventional high throughput method exists, 9 leaving the industry with little guidance on how to select effective large-scale nanoparticle 10 manufacturing method. This study used plasmid DNA-loaded PLGA-Eudragit nanoparticles 11 as the model system to critically compare the nanoparticles prepared by conventional and 12 microfluidics-assisted nanoprecipitation. The PLGA-Eudragit nanoparticles prepared by 13 microfluidics were found to be statistically significantly larger than the ones prepared by 14 conventional nanoprecipitation. PLGA-Eudragit nanoparticle prepared conventionally showed 15 higher DNA loading efficiency. Although the DNA-loaded nanoparticles prepared by both 16 methods did not induce significant cytotoxicity, the transfection efficiency was found to be 17 higher for the ones prepared conventionally which has good potential for plasmid delivery. 18 This study for the first time provides a direct comparison of the DNA-loaded nanoparticles 19 prepared by microfluidic and conventional methods. The findings bring new insights into 20 critical evaluation of the selection of manufacturing methods of nanoparticles for future gene 21 therapy.

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Key words: gene therapy, polymeric nanoparticle, PLGA, microfluidics, plasmid DNA,
nanoprecipitation, gene transfection.

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#### 26 **1. Introduction**

27 Gene therapy has emerged as an advanced field that can improve the therapeutic care of a wide 28 range of gene-associated human disorders, such as cancer and many other complex 29 autoimmune diseases [1-3]. The introduced DNA can be targeted to the pathological cells to 30 instigate a change in the expression of the endogenous genes, in order to cure a disease or cease 31 its progression [1,4]. Naked, native DNA shows inefficient uptake by the targeted cells due to 32 their negative surface charge and susceptibility to degradation by serum nucleases [1,5]. 33 Therefore, structured polymeric nanoparticulate systems have drawn significant attention as 34 one of the promising types of DNA vectors for improving the transfection efficiency and the 35 bioavailability of DNA [1–3]. Synthetic polymers include poly(lactide-co-glycolide) (PLGA) 36 and polyethylenimine (PEI) based nanoparticles (NPs) have been reported to demonstrate promising DNA delivery when the NPs are surface modified using positively charged 37 38 polymers, such as chitosan and polymethacrylates (Eudragit E) [6–9]. This can be attributed to 39 the proton buffering ability of Eudragit E that results in a faster endosomal escape of NPs and 40 increase the amount of DNA reaching the nuclei[8]. The fabrication method of polymeric NPs 41 can have significant impacts on the particle size, size distribution and surface properties of the 42 NPs, which subsequently affect the cellular uptake and transfection of the delivered plasmid 43 and their therapeutic outcome [11-13].

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45 Nanoprecipitation is one of the most frequently used bottom-up techniques for polymeric NPs 46 fabrication due to its reproducibility and simplicity, in which the precipitation is induced by 47 solvent displacement or interfacial deposition during the mixing of the solvent and the anti-48 solvent phases [13]. The mixing efficiency of the solvent phase containing the polymer and the 49 aqueous anti-solvent phase plays a crucial role in controlling the uniformity and rate of 50 nucleation which can have a significant impact on the size and size uniformity of the NPs [14]. 51 Conventionally, nanoprecipitation is carried out in bulk volume using static mixers and 52 magnetic stirrers to facilitate the mixing (CB-nanoprecipitation). Recently microfluidic-53 assisted nanoprecipitation (MF-nanoprecipitation) in micron-sized channels within a 54 microfluidic chip has been increasingly used for synthesising polymeric NPs [18-20]. MF-55 nanoprecipitation is performed under a precisely controlled flow rate ratios, which allows for 56 an efficient, rapid and tuneable mixing regime [12,15–17] and is associated with the narrow 57 size distribution and a regular shape of resultant NPs [15,18]. However, it is worth highlighting 58 that MF-nanoprecipitation has a low throughput rate and is limited by fouling and channel 59 blocking issues. Most reported MF-nanoprecipitation studies are on synthesizing polymeric

60 NPs using single polymers, such as PLGA, but not complex polymers blend [12,15,18,19]. 61 Therefore, there is significant lack of understanding of the formation, characterisation, and 62 functionalisation of polymer blend nanoparticles. Furthermore, for DNA delivery, it is not clear 63 whether advantages in tuneable particle and narrow particle size distribution would translate 64 into improved DNA loading and transfection.

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66 In order to further explore the translational potential of microfluidic technology as a 67 formulation manufacturing method for nanoparticle-based gene delivery platforms, this study, 68 for the first time, directly compared and investigated the differences in the physicochemical 69 properties, pDNA (plasmid DNA encoding green fluorescent protein gene (pEGFP)) loading 70 and transfection efficiencies of a polymer blend nanoparticles, PLGA and Eudragit, prepared 71 by CB- and MF-nanoprecipitation methods, as illustrated in Figure 1. The novelty of this study 72 lies in two areas: 1) The most commonly used manufacturing process of PLGA-Eudragit NPs 73 is the double emulsion method, which is a time-consuming process that has poor capacity for 74 particle size tuning in comparison to single-step nanoprecipitation process [14]. There is no 75 reported study on the use of MF-nanoprecipitation to synthesize polymer-blend NPs, such as 76 PLGA-Eudragit NPs investigated in this study; 2) when the advantages of MF- over CB-77 nanoprecipitation were discussed in the literature, there is no study that presented a direct 78 comparison, using identical compositions and closely matched processing parameters for these 79 two methods. In addition, this study sheds light on the challenges of using microfluidics for the 80 fabrication of polymer blend NPs and discuss the possible reasons and solutions to mitigate the 81 fouling issues.



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Figure 1. Graphic illustration of the preparation of pDNA loaded PLGA-Eudragit NPs by
conventional and microfluidic-assisted manufacturing methods.

# 86 2. Materials and methods

# 87 2.1 Materials

88 Poly (l-lactide-co-glycolide) PLGA 50:50 ester terminated (38000-54000) was purchased from 89 (Sigma Aldrich, UK). Polymethacrylate (Eudragit EPO) was kindly provided by Evonik industries (Darmstadt, Germany). Phosphotungstic acid (PTA) was purchased from (Sigma, 90 91 UK). Plasmid DNA, p-PEGFP-C1, was a gift from Dr Grant Wheeler (University of East 92 Anglia). NucleoBond® Xtra Midi plasmid purification kit was from Fisher Scientific, UK. 93 Propidium iodide (PI), Lipofectamine 2000, Triton X-100 and bovine serum albumin were all 94 purchased from (Sigma Aldrich, UK). Opti-MEM reduced serum medium was purchased from 95 (Thermo Fisher scientific, UK). Thiazolyl blue tetrazolium bromide (MTT) was purchased from (Sigma Aldrich, UK). A549 cell line and LCC-PK1 cell line were purchased from (Sigma 96 97 Aldrich, UK). A microfluidic system comprising 190 µm droplet junction chip and two pressure pumps was purchased from (Dolomite Microfluidics, UK). Acetone was used as the 98 99 solvent and de-ionized water was used as an anti-solvent for all the formulations.

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# 101 **2.2 PLGA-Eudragit solubility and miscibility study**

102 For the measurement of the solubility of PLGA and Eudragit in different acetone/water volume 103 ratios, gravimetric method was adopted [20]. Briefly, excess amounts of polymers were added 104 into vials with 1 ml of different acetone/water volume ratios ranging from 0 to 60% v/v 105 acetone/water. Afterwards, the vials were incubated in a IKA KS 3000 i-control shaking 106 incubator (IKA<sup>®</sup>-Werke GmbH & Co. KG, Germany) at 100 rpm and 25°C for 48hr followed 107 by another 24hr without shaking for equilibrium. Subsequently, the supernatant was collected 108 and filtered using 0.45µm syringe filter from which precise volumes (V) were transferred into 109 pre-weighed vials (m<sub>1</sub>). The solvent was evaporated in oven at 60°C for 6hr and the vials were 110 weighed again (m<sub>2</sub>). The solubility of the polymers was calculated using the following Eq. (1):

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$$S = \frac{m_2 - m_1}{V}$$
 Eq. 1

Polymer-polymer miscibility was assessed using a Discovery DSC 2500 differential scanning calorimetry (TA Instruments, Delaware, United States). The DSC instrument was calibrated prior to sample measurements. Both polymers were physically mixed with 10% increment increase in Eudragit content. The mixtures were placed in T-Zero pans with sample weight of 3-5 mg. The pans were hermitically sealed and tested 20 - 90 °C (glass transition region) at a rate of 2 °C/min. Nitrogen purge gas with a flow rate of 50 mL/min was used throughout the experiments. TA Trios software was used for the data analysis.

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# 120 **2.3 Preparation of PLGA-Eudragit NPs by CB- and MF-nanoprecipitation methods**

121 For both CB- and MF-nanoprecipitation methods, 1:1 Eudragit: PLGA mass ratio was used for 122 all formulation preparations. This ratio was chosen from the screening of the full range of 123 Eudragit: PLGA mass ratios and 1:1 ratio mixture gave the optimal particles size, zeta potential, 124 viscosity for processing and pDNA loading (the detailed screening date can be found in 125 Supplementary Material Figure S1). For CB-nanoprecipitation, PLGA-Eudragit NPs were 126 prepared using 5mg/mL 1:1 Eudragit: PLGA in acetone and a 1:5 overall solvent/anti-solvent 127 (S/AS) volume ratio. NPs were prepared by pouring 1 mL of the organic solvent phase into 5 128 mL of the anti-solvent phase under constant stirring at room temperature for solvent 129 evaporation. For MF-nanoprecipitation, a 190 µm droplet junction chip was used for the 130 synthesis of the NPs. Briefly, 2 mg/mL and 5 mg/mL of 1:1 Eudragit: PLGA in acetone were 131 used and NPs were fabricated under the quick mixing with the deionized water achieved in the 132 chip. The flow rate of the solvent phase was set to 283 µl/min, while the flow rate of the anti-133 solvent was varied from 566 µl/min to 404 µl/min to achieve flow rate ratios (FRR) of 0.5 and 134 0.7, respectively. All NP formulations were stored in solution for characterisation and stability135 testing.

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# 137 **2.4 Preparation and purification of pDNA**

pEGFP-C1 plasmid was transformed into *Escherichia coli* strain DH5α. The transformed
bacterial cells were propagated overnight in LB medium. The cells were pelleted and the
plasmid was extracted using NucleoBond® Xtra Midi kit according to the manufacturer's
procedure. The amount and the purity of the plasmid was assayed using a spectrophotometer
Nanodrop at A260/280 ratios.

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# 144 **2.5 pDNA loading efficiency of PLGA-Eudragit NPS assayed by gel electrophoresis**

The PLGA-Eudragit NPs prepared using the two nanoprecipitation methods were loaded with pDNA at different mass ratios in Nuclease-free water. Briefly, different amounts of the NPs formulations (9, 7, 5, 2.5, 1.3  $\mu$ g) were mixed with fixed amount of pDNA (0.3  $\mu$ g). All the samples were made up to 10 $\mu$ l using Nuclease free water. Samples were mixed at room temperature and vortexed for 10 seconds then incubated for 10 minutes before being electrophoresed on 1% agarose gel at 100 V for 60 minutes. Image J was used for band intensity integration to determine the amount of the unbound DNA represented by the band intensity.

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#### 153 **2.6 Physicochemical characterization of NPs**

154 Dynamic light scattering (DLS) was used to measure the mean particle size (Z-AVG), polydispersity index (PDI) and the surface charge of the different formulations (Zetasizer 155 156 Nano, Malvern instruments Ltd, Malvern, UK). Samples were diluted 1:50 in deionized water 157 for size measurement. Samples were diluted 1:1 in 1mM NaCl for Zeta potential measurements 158 then measured using Zetasizer (Malvern instruments, Malvern, UK). The stability of NPs in 159 pH 7.4 PBS was assayed by measuring the size and PDI of NPs diluted 1:50 in 7.4 PBS for a 160 week at room temperature. The storage stability of PLGA-Eudragit NPs was assayed by 161 measuring the size and PDI of the NPs using DLS. All measurements were carried out in 162 triplicate.

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164 A JEOL JEM2010 200 kV transmission electron microscope (TEM) (JEOL, Japan) was used

to analyse the morphologies of PLGA NPs, blank PLGA-Eudragit NPS and plasmid loaded

166 PLGA-Eudragit NPs at NP: DNA mass ratio of (2.5:0.3), prepared by the two methods. 10 μl

of each sample was placed on the grid for 1 min and excess suspension was dried using a filter
paper before staining the grid with phosphotungstic acid (2%, pH 6.8) to contrast the sample.

A Discovery DSC2500 (TA Instruments, Delaware, United States) was used to measure the  $T_g$ of the raw materials, physical mixtures of PLGA-Eudragit, and NPs prepared by CB- and MFnanoprecipitation methods. TA Trios software was used for the data analysis. The DSC was calibrated prior to sample measurements. The sample (3 - 5 mg) was accurately weighed in an aluminium crimped DSC pan. All samples were tested 0 - 150 °C at a rate of 2 °C/min. Nitrogen purge gas with a flow rate of 50 mL/min was used throughout the experiments. All tests were performed in triplicates.

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178 The Attenuated total reflection-Fourier transform infrared (ATR-FTIR) spectra of Eudragit, 179 PLGA, 1:1 physical mixture of Eudragit and PLGA-Eudragit NPs prepared by CB- and MF-180 nanoprecipitation were collected using a FTIR spectrophotometer (Vertex 70, Bruker Optics 181 Limited, United Kingdom) connected with internal reflection diamond Attenuated Total 182 Reflectance (ATR) accessory (Specac Ltd., Orpington, United Kingdom). Thirty-two scans were acquired for each sample with a resolution of  $2 \text{ cm}^{-1}$  scanning from 600 to 4000 cm<sup>-1</sup>. 183 184 Spectra from three samples of each formulation were measured and were analysed using OPUS 185 software.

186

# 187 2.7 Cell viability test of PLGA-Eudragit NPs

188 A549 and LLC-PK1 cell were seeded into 96-well plates at a density of  $1 \times 10^5$  cells per well in 200 µl of culture medium then incubated in 5% CO<sub>2</sub> incubator at 37° C overnight. The culture 189 190 medium was then replaced with Opti-MEM reduced serum medium containing different 191 concentrations of PLGA-Eudragit NPs (3.125, 6.25, 12.5, 25, 50 and 100 µg/mL). 192 Lipofectamine 2000 and 10 % v/v Triton X-100 were used in comparison. After incubating the 193 cells for 24 hours, the media was replaced with fresh RPMI 1640 media containing 0.4 mg/mL 194 of MTT reagent. The plate was then incubated at 37° C for 90 minutes before the medium was 195 replaced by 200 µl of DMSO to dissolve the formazan crystals. The plate was finally read at 196 570 nm by Spectramax M2 microplate reader (Molecular Devices, US). Data was collected as 197 triplicate measurements from three biological replicates. Results are shown as the mean  $\pm$ 198 standard deviation.

199

# 200 2.8 Evaluation of pDNA-loaded PLGA-Eudragit NPs transfection efficiency

201 A549 and LLC-PK1 cells were seeded in 24 well plates at a density of  $1 \times 10^5$  cells/well in 1 202 mL of RPMI 1640 culture medium 24 hours. At 70-80% confluency cells were washed with 203 PBS (pH 7.4) and incubated with 500 µl of Opti-MEM containing pDNA loaded PLGA-204 Eudragit NPs at a NP: DNA mass ratio of (2.5:0.3). This ratio was found to be optimal for 205 comparing between the two methods. Lipofectamine 2000 was used as a transfection positive 206 control based on the manufacturer's protocol. Naked pDNA was used as a negative control. After incubation for 6 h in 5% CO<sub>2</sub> incubator at 37° C, cells were washed with PBS and medium 207 208 was replaced with 1 mL of full culture medium, then incubated for 24 hours at the same 209 conditions. Transfection efficiency experiments were carried out in triplicate. 24 hours after 210 the transfection, cells were washed with PBS to be further analyzed by flow cytometry and 211 fluorescent microscope.

212

# 213 **2.8.1 Live cell imaging**

- Live cell imaging was carried out using (Zeiss Axiovert 200M) fluorescent microscope. Images
  were taken using (Zen 2.6) software and analyzed using Image J (FIJI) software.
- 216

# 217 **2.8.2 Flow cytometry**

# 218 **2.8.2.1 Transfection Efficiency**

Cells were washed with 7.4 PBS, then trypsinized for 5 minutes and resuspended in full culture medium. Cells were then centrifuged at 400 xg for 5 minutes and the pellets were resuspended in 1% bovine serum albumin (BSA) in PBS. Cells were then analyzed on a Beckman Coulter CytoFlex flow cytometer. Data was analyzed using CytExpert software (v2.3, Beckman Coulter, USA) and results are expressed as percentage of positive cells transfected by NPs and Lipofectamine 2000 compared to cells treated with (naked DNA) negative control.

225

# 226 **2.8.2.2** Cytotoxicity assessment by flow cytometry

227 The toxicity of pDNA loaded NPs was also assessed by flow cytometry using propidium iodide 228 (PI) to identify the percentage of dead cells 24 hours after transfection. Cells were trypsinized 229 and resuspended in 1% BSA containing PI (3.32 µg/mL). Cells were analyzed in triplicates using a Beckman Coulter CytoFlex flow cytometer. Results are expressed as percentage of PI 230 231 positive cells to the total number of cells treated by NPs and Lipofectamine 2000 compared to 232 cells treated with (naked DNA) negative control. Data were collected as triplicate 233 measurements from three biological replicates. The data shown represent the mean  $\pm$  standard 234 deviation.

#### 236 **2.9 Statistical analysis**

Data were analysed using GraphPad software. Unpaired t-test was used to evaluate the
significance of the difference between the means of two variables. Statistically significant
differences were attributed to (P<0.05).</li>

240

# 241 **3. Results and discussion**

# 242 **3.1 PLGA-Eudragit miscibility**

243 The miscibility of the two polymers used in the nanoprecipitation method plays a critical role 244 in influencing the composition of the resulting nanoparticles. As illustrated in **Figure 2a**, the 245 solvent phase contained PLGA and Eudragit. After the solvent and anti-solvent phases mix (on 246 a time scale designated  $\tau_{mix}$ ) the nucleation of the nanoparticles occurs once the critical 247 nucleation concentration (C<sub>n</sub>) of the both polymers is reached. This will depend on the 248 supersaturation of the polymers. In order to ensure that the supersaturation of both polymers is 249 such that precipitation of both species occurs simultaneously it is necessary to ensure that the 250 solubility of both species in the mixture is very low. Therefore, the solubilities of the PLGA 251 and Eudragit in acetone/water mixtures with a range of S/AS ratios were measured. As seen 252 Figure 2b, both polymers have similarly poor solubility in the acetone/water mixtures up to 253 the S/AS ratio of 1:1(by volume). When the antisolvent content was greater than 50% by 254 volume Eudragit becomes significantly more soluble in the mixture than PLGA. During the 255 CB-nanoprecipitation processes used in this study, an overall 1:5 S/AS ratio was used. At this 256 low S/AS ratio, assuming completely homogeneous mixing, one could expect that PLGA and 257 Eudragit molecules would be randomly distributed throughout the solvent and both PLGA and 258 Eudragit would reach supersaturation and  $C_n$  at the same time. If precipitation is sufficiently 259 rapid, de-mixing of separate PLGA and Eudragit phases will not occur and the precipitated 260 particles will contain a random distribution of both species.

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Figure 2. (a) Schematic illustration of the formation of NPs via nanoprecipitation; (b) Solubilities of the polymer in action/water mixtures; (c) DSC results of the  $T_g$  regions of the physical mixtures of PLGA and Eudragit; (d) DSC results of the NPs in comparison to the raw materials and physical mixture of PLGA and Eudragit with 1:1 ratio.

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In the literature, the miscibility between drug-polymer and polymer-polymers have been 268 evaluated using DSC-based thermal methods [21-24]. If two amorphous polymers are 269 270 completely miscible at a certain ratio, a single T<sub>g</sub> (at a temperature between the T<sub>g</sub>s of the pure 271 polymers) should be detected from the solid dispersion mixture formed via either thermal or 272 solvent evaporation methods. When examining the physical mixture of the two polymers 273 without the formation of the solid dispersion, in theory, two separate T<sub>g</sub>s of both polymers 274 should be seen. As seen in Figure 2c, a single Tg at higher temperature than the Tg of pure PLGA (lower than the T<sub>g</sub> of pure Eudragit) was seen for physical mixes containing 10 and 20% 275 276 of Eudragit. It is reasonable to assume that there is some dissolution of the Eudragit in the 277 PLGA. At the 30-50% level there appears to be separated PLGA and Eudragit T<sub>g</sub>s implying that PLGA is saturated with Eudragit and the excess Eudragit transition can be observed. At 278 279 60% PLGA: Eudragit, a low T<sub>g</sub> appears at about the same temperature as seen for the pure 280 PLGA. This suggests a phase separation with a pure, or PLGA-rich phase and a second phase. The second  $T_g$  is slightly lower than for the  $T_g$  of pure Eudragit suggesting a second phase is a 281 282 PLGA-Eudragit mixture. Increasing Eudragit content shifts the lower temperature peak to higher temperature, implying a higher content of Eudragit in the PLGA-rich phase. At 90% 283

284 Eudragit the T<sub>g</sub> is clear, and is at reduced temperature compared to pure Eudragit, implying 285 some dissolution of PLGA, but there is an asymmetry in the peak suggesting that there may be 286 a PLGA rich phase still present. The miscibility study performed using the physical mixtures 287 confirmed that at solid state, PLGA and Eudragit are partially miscible when the mixing 288 process is slow (in this case, the mixing occurred within the DSC upon the heating). In the 289 nanoprecipitation experiment, if the co-precipitation was slow compared to de-mixing, one 290 would expect a 1:1 polymer ratio that two transitions would be seen (as the physical mixture 291 data shown in **Figure 2d**). The fact that a single  $T_g$  between the  $T_g$ s of pure PLGA and Eudragit 292 are seen for the NPs prepared by both CB- and MF-nanoprecipitation methods (Figure 2d) 293 suggesting that the system is mixed at the molecular level.

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#### 295 3.2 Synthesis of PLGA-Eudragit NPs by CB- and MF-nanoprecipitation methods

296 The PLGA-Eudragit NPs were prepared by CB-nanoprecipitation. With the polymer 297 concentration of 5 mg/mL and S/AS ratio of 1:5, the CB-nanoprecipitation led to NPs with an 298 average size of 98±13 nm (P <0.05). The synthesis of PLGA-Eudragit NPs by MF-299 nanoprecipitation method used a 190-µm droplet junction chip. Other chips and channel 300 designs were tested, including 100 µm flow focused and micro-mixer chips. However, the 301 rapidly and repeatable blockages caused by the building up of NPs were observed when these 302 chips were used, thus they were not used in this study (Supplementary Material, Figure S2). 303 The fouling issue was not significant when unmodified PLGA NPs was synthesized (data not 304 shown), but the addition of Eudragit has significantly increased the fouling rates within the 305 chip. In order to maintain a continuous synthesis of the NPs using the microfluidics chip, only 306 FRR at and above 0.5 were used to minimise fouling (Figure 3a and b). Using a 2 mg/mL of 307 1:1 Eudragit: PLGA solvent phase, the sizes of NPs increase from 170±3 nm to 188±6 nm by 308 increasing the FRR from 0.5 to 0.7 (P < 0.05), as shown in **Figure 3c**. The increase of the total 309 polymer concentration from 2 to 5 mg/mL in the solvent phase had no impact on the size of 310 the NPs (Figure 3c and 3d). Both FFR and the total polymer concentration have no effect on 311 the surface charge of the resultant PLGA-Eudragit NPs (Figure 3c and 3f).



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Figure 3. Synthesis of PLGA-Eudragit NPs using 190 μm droplet junction chip at: (a) 0.5
FRR; (b) 0.7 FRR; (c) the effect of FRR on the size of NPs using 2mg/mL of 1:1
Eudragit:PLGA in acetone; (d) the effect of FRR on the size of NPs using 5mg/mL of 1:1
Eudragit:PLGA in acetone; (e) the effect of final polymer blend concentration on the size of
NPs; (f) the effect of final polymer blend concentration on the zeta-potential of NPs.

Fouling and blocking issues observed during MF-nanoprecipitation can be partially contributed to the larger size of PLGA-Eudragit NPs. Since, a rule for particulate systems refined by Wiles and Watts concluded that a particles size larger than 10% of the smallest dimension of the system can lead to fouling and blockages [25]. Moreover, since silicate glass surfaces of the 323 chip channels carry negative charges when exposed to water, a significant electrostatic 324 interaction between positively charged PLGA-Eudragit NPs and the inner channel surfaces of 325 the chip could be another cause of the fouling [26]. Fouling issues were reported to be not 326 significantly reduced by increasing the fluids flow rates when strong deposits tend to form [27]. 327 This explains the limited effect of the flow rate in mitigating the fouling issues with the NPs 328 prepared in this study, which highlights the limitations of these microfluidics chips for this type 329 of NPs surface modifications. Although these issues may be reduced by using PDMS chips, 330 these chips have low resistance to a range of commonly used organic solvents for NP 331 preparations [28].

332

333 The results highlighted the lack of tuneability of CB- nanoprecipitation for preparing PLGA-334 Eudragit NPs. Although the MF- nanoprecipitation can tune the particle size, the smallest 335 particle size is still significantly larger than the particles prepared by the CB- nanoprecipitation 336 in this case. This may be attributed to the significant differences in lengths of mixing period 337  $(\tau_{mix})$  and particle growth and aggregation period  $(\tau_{agg})$  (Figure 2a). The relevant time scales 338 are the timescale over which the solvent/anti-solvent interface becomes sufficiently mixed for 339 precipitation to occur. If this is very rapid, many nuclei could form and result in small particles. 340 On the other hand, if the mixing was slow there would be fewer nuclei and polymer could 341 accrete on these resulting in large particles. For CB-nanoprecipitation, as the mixing of the 342 solvent and anti-solvent phase is chaotic and both advective and diffusive mechanisms of mass 343 transfer are involved, providing mixing at all scales (macro-, meso- and microscales) [14]. On 344 the contrary, for MF-nanoprecipitation, the straight channel geometry in the 190µm junction 345 chip focused solvent phase stream in the centre of the channel and led to limited mixing only 346 occurring at the S-AS interface. As the mass diffusion of the polymers from the solvent phase 347 into the anti-solvent phase is limited, this led to the prolonged growth and aggregation time to 348 allow the size of the particle to continue growing within the channel and collection chamber 349 [29]. Meanwhile, acetone diffuses much faster than polymers, which changes the composition 350 of the medium and results in the supersaturation of the polymer that induces the nucleation on 351 the interface of the focused stream. Under these conditions, polymers molecules could accrete 352 on the pre-existing nuclei instead of forming new nuclei resulting in larger particles. It's 353 noteworthy to mention that although microfluidics chips are reported to provide more efficient 354 mixing compared to conventional methods, this only applies to micromixers that imply 355 enhanced passive mixing mechanisms via integrating both advection and diffusion [29].

356

# 357 3.2 Physicochemical characterisation and colloidal stability of PLGA-Eudragit NPs 358 prepared by CB- and MF-nanoprecipitation

- 359 The shape and size of the NPs prepared by CB- and MF-nanoprecipitation were further
- analysed by TEM (Figure 4a and 4b). To evaluate the influence of the preparation method on
- 361 the colloidal stability of the NPs, the particle size of the PLGA-Eudragit NPs was monitored
- 362 in deionized water and PBS continuously for 7 days. In deionized water, NPs prepared by both
- 363 methods were stable (**Figure 4c and 4e**). In pH 7.4 PBS, the NPs prepared by the conventional
- 364 method show increase in size from the fifth day; whereas the NPs prepared by microfluidics
- 365 continued to be stable in 7.4 PBS for 7 days (**Figure 4d and 4f**). This could be attributed to the
- 366 smaller particle size of the CB-NPs than the MF-NPs, which led to higher risks of aggregation.



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Figure 4. Representative TEM images of (a) PLGA-Eudragit NPs prepared by CBnanoprecipitation, (b) PLGA-Eudragit NPs prepared by MF- nanoprecipitation; stability of
PLGA-Eudragit NPs prepared by CB-nanoprecipitation (c) in water and (d) in 7.4 PBS;
stability of PLGA-Eudragit NPs prepared by MF- nanoprecipitation (e) in water and (f) in 7.4
PBS.

The formulations were characterized by ATR-FTIR to examine any differences in the intermolecular interactions and to confirm the presence of both polymers in the freeze-dried nanoparticle composite. The formulations were compared to the physical mix of 1:1 Eudragit NPS: PLGA NPs. No significant difference was found in the ATR-FTIR spectra of the NPs

- 378 prepared by the two methods, which suggests that the type of mixing (chaotic mixing in CB-379 nanoprecipitation, but controlled mixing in MF-nanoprecipitation) did not ultimately change 380 the chemical interactions between the polymers (**Supplementary Materials Figure S3**). 381 Within the fingerprint region of the spectra of the physical mixtures and the NPs, no significant 382 peak shifts of C-C, C-O and C=O bands were observed for Eudragit and PLGA [30,31] 383 (**Supplementary Materials Figure S3**), indicating no strong interactions between two 384 polymers. This agrees well with the miscibility study results discussed earlier.
- 385

#### 386 **3.3 Optimisation and characterization of pDNA loaded PLGA-Eudragit NPs**

387 The NPs prepared by both methods were loaded with pDNA by electrostatic interaction. As 388 the particle size and zeta potentials are considered as the key parameters for systemic 389 administration and transfection efficiency of NPs, several NPs:DNA mass ratios were 390 investigated to optimise the DNA loading, the size and the surface charge of the particles. In general, the pDNA-loaded NPs prepared by MF-nanoprecipitation are larger in size in 391 392 comparison to those prepared by CB-nanoprecipitation (Figure 5). No significant change in 393 size was observed after DNA loading and the size of the pDNA-loaded NPs was not affected 394 by the NPs:DNA mass ratio (Figure 5a, b, and c). The NPs obtained using lower NPs:DNA 395 mass ratios were not stable. The loading of the pDNA reduced the surface charge of the NPs prepared by CB-nanoprecipitation, but no such impact was seen on the NPs prepared by MF-396 397 nanoprecipitation. Varying the NPs:DNA ratio shows no effect on the surface charge of the 398 pDNA-loaded NPs prepared by both methods (Figure 5b).





Figure 5. Characterization of pDNA-loaded PLGA-Eudragit NPs: (a) the effect of NPs:DNA mass ratio on the size of NPs prepared by CB-nanoprecipitation method and MF-nanoprecipitation method (b) the effect of NPs:DNA mass ratio on PDI of NPs prepared by CB-nanoprecipitation and MF-nanoprecipitation method, (c) the effect of NPs:DNA mass ratio on surface charge of NPs prepared by CB-nanoprecipitation and MF-nanoprecipitation method, in surface charge of NPs prepared by CB-nanoprecipitation and MF-nanoprecipitation method, the TEM images of the pDNA-loaded PLGA-Eudragit NPs prepared at NP:DNA mass ratio of 2.5:0.3 by (d) MF-nanoprecipitation and (e) CB-nanoprecipitation methods.

# **3.4 pDNA loading efficiency of PLGA-Eudragit NPs**

409 The electrophoretic mobility of the DNA within agarose gel was used to prove the loading of 410 the plasmid and to assess the difference in the extent of plasmid entrapment for the two 411 formulations [6]. As shown in Figure 6a, PLGA-Eudragit NPs prepared CB-nanoprecipitation 412 had a 100% plasmid entrapment efficiency at all the NPs: DNA mass ratios tested (from 9:0.3 413 down to 1.3:0.3). In contrast, those prepared by MF-nanoprecipitation only show a 100% 414 entrapment efficiency for the two highest NPs: DNA mass ratios (9:0.3 and 7:0.3), with 9%, 415 61% and 59% unloaded plasmid in the formulations with 5:0.3, 2.3:0.3 and 1.3:0.3 NPs: DNA 416 mass ratios, respectively (Figure 6b). These findings suggest that NPs prepared CB-417 nanoprecipitation are more efficient for loading DNA than the ones prepared by MF-418 nanoprecipitation. We speculate that this is mainly due to the smaller particle size, thus larger 419 surface area per unit mass of the CB-NPs. The hydrodynamic particle sizes of the CB- and MF-420 NPs are averagely 90 and 170 nm (Figure 5a), respectively. In the DNA binding experiments 421 a constant weight of particles was used. Because of the size difference this implies that different 422 numbers of NPs would be present. For a fixed mass, the number of particles depends on the inverse of r<sup>3</sup>. This leads to the ratio of particles numbers of CB-NPs to MF-NPs of about 6.7:1. 423 424 The ratio of the total surface area available for pDNA loading depends on the number of particles and the surface area per particle (which is calculated using  $4\pi r^2$ ). As the surface area 425 426 per MF-NP is 3.5 times of the surface area per CB-NP, the total surface area of a unit weight 427 of MF-NPs that is available for pDNA loading is about 50% of that of the same weight of CB-428 NPs. This correlates well to the pDNA loading seen in Figure 6.

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430 However, when the ratio of NPs:DNA is 1.3:0.3, there is sufficient surface area is available of 431 the CB-NPs to take up all the pDNA. The total surface area available for the MF-NPs (1.3:0.3 432 ratio) is about half of that of the CB-NPs, and correspondingly takes about half amount of the 433 pDNA. When the ratio of NPs to pDNA is 2.5:0.3, the total surface area available of the MF-434 NPs is equal to the surface area of the CB-NPs when the ratio of the NPs:DNA is 1.3:0.3. It 435 would be expected therefore that there would be sufficient surface area for the MF-NPs to take up all the pDNA. However, this is not the case, as seen in Figure 6. This implies either that the 436 437 hydrodynamic radii obtained by DLS do not represent the effective radii of the particles or 438 there are significant differences in the surfaces of the two types of particle. Such a difference 439 is consistent with differences in zeta potential behaviour seen when the particles are loaded 440 with pDNA.



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Figure 6. Gel retardation assay of the DNA band intensity (with insert image) for PLGAEudragit NPs prepared (a) by CB-nanoprecipitation and (b) by MF-nanoprecipitation. The
abbreviations used in the inserted images stand for: L-1kb ladder; C-pDNA control; 1-9:0.3
NPs: DNA mass ratio; 2-7:0.3 NPs:DNA mass ratio; 3-5:0.3 NPs:DNA mass ratio; 4-2.5:0.3
NP:DNA mass ratio; 5-1.3:0.3 NPs:DNA mass ratio.

# 448 3.5 Cytotoxicity of the blank and pDNA-loaded PLGA-Eudragit NPs

449 Assaying the cytotoxicity of the plasmid-carrying vector is a crucial prerequisite to establish 450 the NP concentration that would not affect the cell viability during gene transfection 451 experiments [7,32]. MTT assays were used to examine the A549 and LLC-PK1 cells viability 452 after being incubated with different concentrations of blank PLGA-Eudragit NPs for 24 hours. 453 As shown in **Figure 7a**, when using PLGA-Eudragit NPs at concentrations of 100-3.125 454 µg/mL, both A549 and LLC-PK1 cells show no significant reduction in cell viability: in 455 contrast, Lipofectamine 2000 reduced cell viability by 25-30% in both cell types.



Figure 7. (a) Cell viability data obtained from MTT assay of PLGA-Eudragit NPs on A549
and LLC-PK1 cell lines for 24 hours; (b) cell death percentage (PI positive cells) after 24 hours
post transfections with Lipofectamine 2000, negative control (naked pDNA) and pDNA-loaded
PLGA-Eudragit NPs prepared by CB-nanoprecipitation and MF-nanoprecipitation; (c) the
transfection efficiency (GFP%) of Lipofectamine 2000 (positive control); (d) the transfection
efficiency (GFP%) of Eudragit PLGA NPs prepared by CB- and MF-nanoprecipitation.

464 The cytotoxicity of the pDNA-loaded formulations and Lipofectamine 2000 control were 465 further assessed by flow cytometry. The assay was based on the proportions of a cell population 466 that were propidium iodide positive, indicating the presence of a compromised plasma membrane compared to untreated cells. The proportion of PI positive cells in the control 467 468 (untreated group) was 0.77% in the A549 and 0.9% in LLC-PK1. The pDNA-loaded 469 formulations prepared by both methods exhibit no significant toxicity on the A549 cells. The 470 PI% positive cells seen after treatment with NPs prepared by MF-nanoprecipitation was 2.8 471 fold lower than the PI% of the NPs prepared by CB- nanoprecipitation (Figure 7b) and 5-fold 472 lower than the gold-standard transfection agent, Lipofectamine 2000 in A549 cell line. The 473 higher PI% reported for A549 cell viability treated with Lipofectamine 2000 can be attributed 474 to the higher transfection efficiency achieved with this cell line. A negative correlation between 475 cell viability and transfection efficiency was reported by a study that was conducted on ten 476 different cell lines [33]. This can be related to the lysosomal rupture that induces necrosis and 477 cytotoxicity beside the effect of the cationic transfection agents affecting the cells integrity 478 [33–36]. The PI% values of all tests on the LLC-PK1 cells were significantly lower than the 479 ones on A549 cells, which reinforces the fact that transfection efficiency and cytotoxicity are 480 dependent on the cell type [37]. pDNA-loaded NPs prepared by MF-nanoprecipitation were 481 less toxic (P < 0.05) to both cell lines than the particles prepared by the conventional method 482 (Figure 7b). However, this may be attributed to their low transfection efficiency (Figure 7d). 483 Taken together, the MTT and PI uptake assays support the conclusion that PLGA-Eudragit NP 484 formulations display favourable biocompatibility across a therapeutically relevant 485 concentration range appropriate for gene delivery.

486

#### 487 **3.6 Gene transfection study**

488 The transfection efficiency of pDNA-loaded PLGA-Eudragit NPs is highly dependent on the 489 targeted cell line and the cellular uptake of the NPs [1,2,11]. The cellular internalization relies 490 on the physicochemical properties of the NPs including surface chemistry, size and 491 morphology of NPs [38]. After internalization, the loaded NPs must evade a series of biological 492 barriers to deliver DNA into the nucleus. The success of the formulation depends on the ability 493 of the NPs to protect the DNA from degradation before reaching the nucleus [33]. In this study, 494 the comparison of the transfection efficiencies of the PLGA-Eudragit NPs prepared by two 495 methods was made by the assay of the transfection of the pEGFP-C1 reporter gene in both 496 A549 and LLC-PK1 cell lines. The formulation with a NPs:DNA mass ratio of 2.5:0.3 was 497 used for the transfection study, due to its low toxicity and favourable stability profile. As shown 498 in Figure 7c-d, transfection efficiency expressed using the percentage of GFP expression 499 (GFP%) was measured using the green fluorescence channel on a flow cytometer. A significant 500 difference in the GFP%, for both A549 and LLC-PK1 cell lines, can be seen between the NPs 501 prepared by both methods (P <0.05), with the NPs prepared by the CB-nanoprecipitation 502 method showing 2 folds higher transfection efficiency the NPs prepared by MF-503 nanoprecipitation. This agrees well with the 2 folds higher pDNA loading of the NPs prepared 504 by CB-nanoprecipitation than the ones prepared by MF-nanoprecipitation. Lipofectamine 2000 505 shows a higher transfection efficiency than the NPs in both cell lines (Figure 7c). Consistent 506 with the flow cytometry GFP analysis, microscopic examination of A549 (Figure 8) and LLC-507 PK1 (see Supplementary Material Figures S4-7) cells demonstrated that the transfection 508 efficiency of the NPs prepared by CB-nanoprecipitation is higher than the ones prepared by 509 MF-nanoprecipitation.

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511 When comparing with the transfection efficiency reported in the literature, the highest 512 transfection efficiency of the NPs made from the derivatives of Eudragit, Eudragit RS and RL, 513 using double emulsion method was 7% in MDA-MB 231 cells and 4% in MCF-7 cell line [39]. 514 Another study has reported the use of Eudragit E100 to improve the transfection efficiency of 515 PEI, but with high toxicity [9]. In this study, the transfection efficiency achieved with PLGA-516 Eudragit NPs was improved to be 12%±1.7% for the NPs prepared by CB-nanoprecipitation 517 and 4%±1.6% for the NPs prepared by MF-nanoprecipitation in A549 cell lines. For LLC-PK1 518 cell line, the transfection efficiency of was  $11\% \pm 0.4\%$  and  $5\% \pm 0.5\%$  for the NPs prepared by 519 CB- and MF-nanoprecipitation, respectively. These results indicate the potential of PLGA-520 Eudragit NPs with particle size prepared by CB-nanoprecipitation being a promising nano-521 carrier for DNA delivery.



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523 Figure 8. Transfection efficiency in A549 analysed by fluorescent microscope (bright field 524 image at the top and fluorescent image at the bottom of each panel) for: a) Lipofectamine 2000; 525 b) plasmid DNA as negative control; c) pDNA-loaded PLGA-Eudragit NPs prepared by CB-

- nanoprecipitation; d) pDNA-loaded PLGA-Eudragit NPs prepared by MF-nanoprecipitation.
- 527 The scale bar represents 100 µm.

#### 528 Conclusion

There have been general claims in the literature of microfluidics being superior in producing 529 530 NPs with tuneable size and physicochemical properties. This study provides new insights from 531 examining the effect of the synthesis method (CB- vs. MF-nanoprecipitation) on the 532 physicochemical properties and the subsequent gene delivery efficiency of the polymer blend 533 NPs. The solubility and miscibility screening results confirmed the high likelihood of the 534 formation of coprecipitated PLGA-Eudragit nanoparticles, which was further confirmed by the 535 NPs characterisation. The differences in the mixing conditions of the CB- and MF-536 nanoprecipitation methods led to the significant differences in the particle sizes. Although CB-537 nanoprecipitation was unable to tune the particle size, the use of PLGA with Eudragit resulted 538 in significant fouling issues within the microfluidics chips that affected the continuity of the 539 synthesis process.

540

541 The difference in particle size of the NPs prepared by the two methods was translated into 542 differences in their plasmid DNA loading efficiency, transfection efficiency and cytotoxicity. 543 PLGA-Eudragit NPs prepared by CB-nanoprecipitation were found to have smaller size, higher 544 pDNA loading capacity and better in transfection efficiency in comparison to the ones prepared 545 by MF-nanoprecipitation. These results suggest that PLGA-Eudragit NPs can be considered as 546 a promising gene vector and CB-nanoprecipitation method can be used to manufacture them 547 with high throughput rate. The difference in the gene transfection efficiency between the two 548 methods can be explained by the larger particle size and the lower plasmid loading efficiency 549 exhibited by the MF-NPs. These variations were translated into lower transfection efficiency 550 in both cell lines.

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