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Abstract

In the last decade, research studies have increased, on the development of delivery systems for polyphenols, for protection, improvement of stability and increase of their bioavailability. Rosmarinic acid is a polyphenol with described bioactivities, such as antioxidant, anti-mutagenic, anti-bacterial and anti-viral capabilities. Thus, the aim of this research work was to produce stable solid lipid nanoparticles (SLN) using carnauba wax as lipidic matrix, for delivery of rosmarinic acid, to be further incorporated into food matrices. Hence, different concentrations of wax (0.5, 1 and 1.5%, w/v) and percentages of surfactant (1, 2 and 3%, v/v) were tested. Physical properties, surface morphology and association efficiencies were studied at time of production and after 28 d at refrigerated storage. Thermal properties and the nature of the chemical interactions between the lipids waxes and rosmarinic acid were also evaluated. The particles showed range size between 35-927 nm and zeta potentials of ca. - 38-40, showing high stability, with no risk of aggregation due to electric repulsion of SLN. High association efficiencies % (ca. 99%) were also obtained. FTIR analyses proved the association of rosmarinic acid and lipidic matrix. The low lipid and high surfactant concentrations leads to small SLN. The surfactant, Polysorbate 80 decreases the interfacial tension in the SLN surfaces, preventing aggregation, leading to the development of small particles. These properties were maintained throughout the 28 d of refrigerated storage, and no rosmarinic acid was released by the particles during refrigeration, indicating good compatibility between rosmarinic acid and the waxy core of SLN. The optimum range values to obtain the desirable features for incorporation in a functional food suggest formulations containing 1.0 and 1.5% (w/v) of lipid and 2% (v/v) of surfactant.

56

57

Keywords: SLN, carnauba wax, polyphenols, rosmarinic acid, oral route

59 **1. Introduction**

60 The food and beverage sector is a global and high financed industry and the
61 major food companies have been investing in research to improve production efficiency,
62 food safety and nutritional properties. Studies have been made to develop functionalized
63 foods with ingredients bearing biological activity for the human body. These foods
64 could be named functional foods, which differ from the common foods because they
65 bring an additional and improved nutritional content, by the incorporation of bioactive
66 compounds or ingredients. Nanotechnology has been used as tool to develop and in
67 particular stabilize these ingredients ¹. However, oral delivery of nanosized ingredients
68 included in foods for regular consumption still brings several doubts owing to toxicity
69 issues. Solid lipid nanoparticles (SLN) were introduced by the pharmaceutical industry
70 for the first time in the 90's, as an alternative and stable carrier system for controlled
71 drug delivery ². Since then, a wide variety of SLN have been developed, and it has been
72 determined that in their formulation, lipid, emulsifier and water are needed as essential
73 components. The lipids used range from triglycerides, mono, di and triglycerides
74 mixtures to waxes, hard fats and other types of lipids, having a special feature of
75 melting point above room and body temperature ³. The structural features of the
76 dynamics of the topological transitions in these amphiphilic materials, preventing the
77 impact in the development of nanosystems with these lipids was deeply studied in
78 several research works^{4,5}. The favorable physical and chemical properties stability,
79 good tolerability and biodegradability and the possibility of large-scale production of
80 SLN, have demonstrated that they can be a good vehicle to functional ingredients in the
81 food industry. Additionally, these SLN-based systems include compounds that hold a
82 Generally Recognized as Safe (GRAS) status for oral and topical administration ^{6; 3}.

83 Carnauba wax or Brazilian wax is naturally extracted from the leaves of a
84 particular palm tree known as *Copernicia cerifera*, a plant native of the northeast of
85 Brazil. Carnauba wax is already used by several industries for different purposes, as
86 gelling, releasing and glazing agent. It possesses a high melting point (between 82.0-
87 85.5 °C) making it a good candidate to be used in food systems, such as in the
88 production of SLN^{7; 8; 9; 10}.

89 Rosmarinic acid is a natural polyphenol carboxylic acid, an ester of caffeic acid
90 and 3,4-dihydroxyphenyllactic acid. This acid commonly appears in higher amounts in
91 families such as *Boraginaceae* and *Lamiaceae*, but, in the latter, it is restricted to a
92 subfamily, the *Nepetoideae*. Rosmarinic acid present a number of potential biological
93 properties associated therewith, such as antioxidant, anti-mutagenic, anti-bacterial and
94 anti-viral capabilities^{11; 12; 13}. Additionally, rosmarinic acid exhibits various
95 pharmacological properties, including prevention of oxidation of low density
96 lipoprotein, inhibition of murine cell proliferative activity and of cyclooxygenase, anti-
97 inflammatory and anti-allergic actions, however protection against cancer and the high
98 antioxidant activity have been the most important activities¹⁴.

99 The main reasons for the vast range of the industrial applications of rosmarinic
100 acid are associated with the low production cost (extraction from natural sources is a
101 relatively cheap process), low toxicity and its recognition as an important antioxidant¹⁵.
102 The technological handling of such type of compounds is sometimes limitative since
103 they are very reactive, and their incorporation in a food formulation may bring some
104 difficulties if these compounds are not protected. The creation of a nanocarrier to
105 protect the rosmarinic acid from these events, will permit the inclusion of such
106 polyphenol in food matrices bearing reactive components e.g. proteins, allowing the
107 appearance of more products with polyphenols, and increasing the nutritional value of

108 such products. Additionally, conditions prevailing in digestion can be negative for the
109 stability of these compounds as well their bioavailability can be compromised. Hence,
110 the polyphenol entrapped in a nanoparticle will be protected from the harsh events of
111 the gastrointestinal tract, reaching intact to the gut and absorbed by the intestinal
112 epithelium.

113 The objective of this research work was to optimize the formulation of SLN
114 loaded with rosmarinic acid, using carnauba wax as matrix material. The obtained SLN
115 will be characterized in terms of their physical, morphological and thermal properties.

116

117 **2. Materials and methods**

118 Carnauba wax yellow no. 1, Polysorbate (Tween 80) and rosmarinic acid (96%
119 pure, 10 mg/mL solubility in water) were purchased from Sigma-Aldrich Chemistry (St.
120 Louis, Missouri, USA). According several manufactures, carnauba wax
121 ($C_7H_5HgNO_3$) has a mean composition of aliphatic and aromatic (cinnamic acid based)
122 mono- and di-esters (75-85 %), free wax acids (3-6 %), free wax alcohols (10-15 %),
123 lactides (2-3 %), hydrocarbons (1-2 %) and resins (4-6 %). Methanol (Panreac,
124 Barcelona, Spain) and formic acid (Merck, Darmstadt, Germany) were used for HPLC
125 analyses.

126

127 **2.1. Production of Carnauba wax SLN loaded with rosmarinic acid**

128 Three batches of SLN were produced according the scheme of Figure 1, in
129 duplicated using a hot melt ultrasonication method, by loading rosmarinic acid at a final
130 concentration of 0.15 mg/mL. Three different concentrations of carnauba wax (0.5, 1
131 and 1.5%, w/v) and three different percentages of surfactant, Polysorbate 80 (1, 2 and
132 3%, v/v) were used in the production. The ultrasonicator used was a VCX 130 (Sonic

133 & Materials, Newtown, USA). For further analyses, where dried SLN are need, a
134 lyophilization of final emulsions at the time of production was made using a Vacuum
135 Freeze Drier (Model FT33, Arnefield, UK), under a vacuum pressure of 100 millitorr;
136 the temperature in the freezing chamber was -46 °C and the temperature in the sample
137 chamber was 15 °C. The resulting emulsions were left to cool at room temperature (20
138 °C), and then stored at 5 °C throughout 28 d until further use.

139

140 **2.2.Physical and morphological characterization**

141 **2.2.1. Particle size and zeta potential analyses**

142 Before being dried, the liquid samples were subject to the analysis of the
143 physical properties. Dynamic light scattering (DLS) (ZetaPALS, Zeta Potential
144 Analyzer, Holtsville, New York, USA) was used for evaluation of the mean particle size
145 (PS) and polydispersity index (PI). Zeta potential was measured using DLS in
146 combination with an applied electric field (electrophoresis). For evaluation of PS and
147 PI, SLN were diluted 1:10 with MilliQ-water, while in the latter samples were used
148 directly. All analyses were carried out with an angle of 90° (angle at which the detector
149 is located with respect to the sample cell) at room temperature of 25 °C. These
150 properties were evaluated in triplicate at 0 and 28 d of storage.

151

152 **2.2.2. Association efficiencies**

153 A separation process of free rosmarinic acid (that was not loaded) from the
154 emulsions of SLN was performed using Centrifugal Filter Units with a cut-off of 10 K
155 (Amicon® Ultra-4, Millipore; Billerica, Massachusetts, USA), by centrifugation at 3000
156 rpm, during 20 min and at 4 °C. The resulting supernatant was removed and used to
157 evaluate the percentage of encapsulated rosmarinic acid.

158 The association efficiency (EE%) values were calculated by the difference
159 between the total amount of incorporated rosmarinic acid (RA) and the amount of the
160 polyphenol present in the supernatant of SLN formulations. The calculations were
161 performed according to the following formula:

$$162 \quad AE\% = \frac{\textit{Total amount of RA} - \textit{Amount of RA in Supernatant}}{\textit{Total amount of RA}} \times 100$$

163

164 *(Equation 1)*

165 The quantification of rosmarinic acid was performed by HPLC using a diode-
166 array detector (Waters Series 600, Mildford, Massachusetts, USA), in triplicate.
167 Separation was done in a C18 reverse-phase column at room temperature, coupled with
168 a guard column containing the same stationary phase (Symmetry® C18, Waters,
169 Mildford, Massachusetts, USA). Chromatographic separation was carried out with
170 mobile phase A - water, methanol and formic acid (92.5:5:2.5) - and mobile phase B –
171 methanol, water and formic acid (92.5:5:2.5) - under the following conditions: linear
172 gradient elution starting at 0 to 60% mobile phase B in 60 min at 0.65 mL/min, 60 to
173 10% in 5 min at 0.5 mL/min and from 5 to 0% in 5 min. Injection volume was 20 µl.
174 Detection was achieved using a diode array detector (Waters, Mildford, Massachusetts,
175 USA) at wavelengths ranging from 200 to 600 nm measured in 2 nm intervals, while the
176 detection of rosmarinic acid was performed at 280 nm^{10,16}. All samples were measured
177 in triplicate and filtered with a 0.22 µm pore membrane filter (Millipore) before being
178 injected.

179

180 **2.2.3. Thermal properties determination**

181 The thermal properties of the SLN were evaluated by Differential Scanning
182 Calorimetry (DSC-60, Shimadzu, Columbia, USA). Briefly, 3 mg of freeze-dried SLN

183 were placed on an aluminum pan and the thermal behavior was determined in the range
184 20-100 °C at a heating rate of 10 °C/min. Enthalpy values and melting temperatures
185 were calculated by the equipment software (ta60 version 2.10, DSC software,
186 Shimadzu, Columbia, USA). The crystallinity indexes percentages (CI%) of SLN was
187 calculated according to Kheradmandnia *et al.*, (2010), using the following equation:

$$188 \quad CI\% = \frac{\text{Melting enthalpy (SLN dispersion) (J/g)}}{\text{Melting enthalpy (bulk material without RA) (J/g)} \cdot \text{Concentration of lipid phase (\%)}} \times 100$$

189 (Equation 2)

190 All SLN formulations, either loaded with rosmarinic acid or unloaded, as well as
191 all the raw materials used in the formulations, individually and in combination, were
192 tested.

193

194 **2.2.4. Morphological properties of nanoparticles**

195 Morphology of nanoparticles was evaluated by Scanning Electron Microscopy
196 (SEM) and Transmission Electron Microscopy (TEM) techniques. For SEM, a JEOL-
197 5600 Lv microscope (Tokyo, Japan) was used. For both techniques, the freeze dried
198 SLN at the time of production were used. Briefly, a small amount of freeze-dried SLN
199 was placed in metallic stubs with carbon tape and coated with gold/palladium using a
200 Sputter Coater (Polaron, Bad Schwalbach, Germany). SEM was operated at the high
201 vacuum mode, using a spot size of 36-37 and a potential of 20-22 kV. All analyses were
202 performed at room temperature (20 °C). For TEM, a TECNAI G² 12 microscope was
203 used. The SLN were examined after suspension in water and subsequent deposition onto
204 copper grids (Formvar/Carbon Support Film, 100 mesh, 3.05mm diameter, TAAB).
205 After 4 times washed with sterile water, the grids were negatively stained, i.e. contrast
206 of sample with an optically opaque fluid where the background is stained, leaving the

207 actual specimen untouched, and thus visible. This optically opaque fluid was sterile-
208 filtered 1% (w/v) uranyl acetate solution. Digital images were acquired using Analysis
209 version 3.2 software.

210

211 **2.2.5. Fourier transform infrared (FT-IR) spectroscopy**

212 The freeze-dried formulations of SLN with and without rosmarinic acid, pure
213 rosmarinic acid and pure carnauba wax, as well as their physical mixtures, i.e. mixtures
214 of these compounds in their pure form and state (solid) were evaluated using an ABB
215 MB3000 FT-IR spectrometer (ABB, Zürich, Switzerland) equipped with a horizontal
216 attenuated total reflectance (ATR) sampling accessory (PIKE Technologies, Madison,
217 Wisconsin, USA) with a diamond/ZnSe crystal, obtaining different spectra. All samples
218 were run in triplicate. A background run was performed to remove the background noise
219 of the instrument.

220 The mid-infrared absorbance region was settled between 4000-700 cm^{-1} and the
221 spectra were measured at a spectral resolution of 4 cm^{-1} with 200 scans co-added, to
222 minimize differences between spectra due to baseline shifts. In order to perform the
223 spectra comparison, spectra were truncated at from 1800 to 700 cm^{-1} , since this region
224 displays typical absorption bands for the used compounds. In addition, baseline 4-5
225 point adjustment and spectra normalization was performed. Treatment of all spectra was
226 carried out with the Horizon MBTM FTIR software (ABB, Zürich, Switzerland) ¹⁷.

227

228 **2.3. Statistical analyses**

229 The statistical significance at a 5% level of differences between the means
230 values of the tested parameters, viz. PS, PI, ZP, EE%, and crystallization index values
231 obtained. Test between subjects were useful to determine the weight of the effect of

232 both factors - lipid and surfactant % - in the variation of tested parameters. Multiple
233 comparisons were determined by Tukey's test. Also, the statistical difference between
234 the values obtained for time 0 and 28 days was also determined. All tests were
235 performed running a Multivariate ANalysis Of VAriance (MANOVA) carried out with
236 the aid of SPSS (v. 20, Chicago IL, USA).

237

238 **3. Results and discussion**

239 **3.1. Physical properties**

240 The lipid nanoparticles are complex systems, and the optimization of the
241 conditions used during their formulation is critical. When these nanoparticles are
242 incorporated on a food product, it is essential that they do not aggregate and that they do
243 not interact with other compounds of the matrices. Also that after ingestion, and passage
244 by the gastrointestinal tract, they reach the gut and release the loaded compound and
245 that this compound is intact and bioavailable to be adsorbed intact by the intestinal
246 epithelium. Analyses concerning the physical properties of the SLN developed (particle
247 size, polydispersity index and zeta potential) at the time of production (0 d) and stored
248 during (28 d), were performed. These analyses were done to assess the stability of each
249 formulation throughout the storage time. The surfactant, lipid type, concentration and
250 compound loaded, as well as production methods and conditions such as sonication
251 time, melting temperature, equipment used are production conditions that can affect the
252 physical properties of the SLN.

253 In Table 1 are reported the results obtained for the physical properties of SLN.
254 When using the lower carnauba wax concentrations (A-C), the PS increases with the
255 increment of the surfactant concentrations. Siekmann and Westesen¹⁸ described that
256 low lipid concentration leads to SLN with reduced PS. In contrast, when using higher

257 percentage of lipid (1 and 1.5% (w/v)) and with the increase of the surfactant
258 percentage, the PS decreases ($P>0.05$). The use of high concentrations of surfactant
259 reduces the surface tension and facilitates the particle division during the process of
260 homogenization, creating SLN with smaller PS¹⁹. Being the Polysorbate 80 a non-ionic
261 surfactant, creates a steric stabilization of the particles, by penetration of long
262 polyethylene chains, limiting the freedom of the particles and preventing the association
263 with one another²⁰. After 28 d of storage period, the PS increased in formulations A
264 and C and decreased in D, G and H ($P<0.05$). Nevertheless, The PI values at the time of
265 production (0 d) were ca. 0.17-0.40, and in general aligned with the standard value of PI
266 – 0.30 – indicating homogeneity in terms of SLN size. ($P<0.05$). Statistical significant
267 differences were found between the values of PI of SLN produced with the higher
268 surfactant concentrations (3%) and the intermediated one (2%) ($P<0.05$). After 28 d of
269 storage the PI values were in general maintained (0.24-0.37), which indicates that the
270 SLN remained with same sizes after this storage period ($P>0.05$). Zeta potential (ZP)
271 values indicate the repulsion between charged particles in dispersion¹⁹. The SLN
272 showed ZP values with values range between -37.5 and -40.7 mV ($P>0.05$). A high
273 absolute value of ZP indicates that there is no risk of aggregation of the particles due to
274 electric repulsion of SLN; for low values of ZP, attraction between the particles would
275 occur enhancing the risk of aggregation. Similar results were obtained for NLC
276 produced with the same wax and surfactant but loaded with benzophenone-3²¹. Hence,
277 the high values of zeta potential obtained for these particles were expected since this
278 composition is negatively charged and the polysorbate 80, which is neutral is not able to
279 increase the values. The high negative values of zeta are good for avoiding the
280 agglomeration and interaction with other compounds, when these nanoparticles are
281 incorporated in an food formulation, increasing their technological stability.

282 The AE will give us the information about the percentage of rosmarinic acid that
283 was entrapped in the SLN. The percentages of efficiency were high for all formulations
284 (ca. 99%), even after 28 d of storage, which means that the polyphenol association was
285 efficient and did not change for the different formulations tested and throughout storage
286 time ($P>0.05$). Carnauba wax is a highly lipophilic matrix and also contains 5% of
287 resins which allows almost no water to penetrate into the pores of the lipid structure,
288 and the release of rosmarinic acid is low. In addition, carnauba wax contains low
289 percentages of free fatty acids and hydroxyl groups (acid value: 2-7), which makes a
290 slower degradation rate preventing the penetration of water into the pore of the matrix
291 ²².

292

293 **3.2.Morphological features**

294 Scanning Electron Microscopy (SEM) uses electron transmission from the
295 sample surface. Using this technique it is possible to confirm the size of the particles, as
296 well as their shape and arrangement. Micrograph (Figure 2) revealed spherical SLN.
297 Furthermore, the sizes measured by SEM are not in agreement with those obtained by
298 DLS. As can be seen in Table 1 the selected SLN formulation (1% carnauba wax: 2%
299 Polysorbate 80) presented average sizes of 438 nm, while microscopic results presented
300 in micrograph shows SLN with sizes ≥ 1000 nm. Nonetheless, it has been reported that
301 solvent removal may cause modifications, which will influence the particle shape and
302 size. The effect of the highly energetic electron beam in the very labile lipid
303 nanoparticles may also cause artifacts in the images obtained, as observed for the
304 rosmarinic acid-SLN. The results from DLS are more accurate than those from SEM,
305 since fewer artefacts are formed. Nevertheless, the TEM micrographs showed smaller
306 sizes of the SLN obtained which can confirm the maintenance of nanometric sizes (e.g.

307 500-1000 nm) of the particles produced even after lyophilization, even that some
308 dispersion of sizes is confirmed. The particle shows a crystallized core which may
309 correspond to the wax. This technique showed to be better to visualize this type of
310 nanoparticles than SEM.

311

312 **3.3. Thermal properties determination**

313 The melting and crystallization behavior (breakdown or fusion of the crystal
314 lattice) are two thermal properties that can be obtained by heating the sample in a DSC,
315 and give us information about polymorphism and crystal ordering²³.

316 Figure 3 describes the thermal behavior of the raw materials used in the
317 production of the SLN, as well a control without rosmarinic acid. Rosmarinic acid and
318 the surfactant did not present any peaks for the tested temperatures, as expected.
319 Carnauba wax and standard control presented endothermic peaks (lines C and D), which
320 means that for occurrence of polymorphism (melting of the carnauba wax) in the lipid
321 structure, was necessary the absorption of energy¹⁹. Carnauba wax presented a slightly
322 higher melting point (ca. 92 °C) than the theoretical one (82-86 °C), but can be a
323 consequence of the large heating rate (10 °C/min) used during the measurement. The
324 control SLN presented a lower melting point and an enthalpy (-88.11 °C, 32.19 J/g) than
325 the wax. This slight reduction in the value of melting temperature is mainly related to
326 the nanocrystalline size of lipids in SLN systems^{24, 25}. It is possible to access the type
327 of polymorphism form of lipids (α -form, β' -form and β -form) through the crystals
328 formed by the melting and cooling of the lipid, the transitions in between and how these
329 transitions affect the encapsulated compound in SLN. A high value for the melting
330 enthalpy suggests a high level of organization in the crystal lattice, because the fusion of
331 a highly organized crystal (perfect crystal) requires more energy to overcome the forces

332 of cohesion in the crystal lattice. Lipid crystallinity is strongly correlated with
333 compound incorporation and release rate, where thermal behavior is different for pure
334 lipid and the SLN^{26; 27}. The polymorphism of the SLN crystal formed is less organized
335 than the crystal of the pure wax.

336 In rosmarinic acid loaded SLN formulations, endothermic peaks were visualized
337 (Figure 4), and the enthalpy and melting values were in general lower than the ones
338 obtained for the pure wax and the control SLN (Figure 3). This indicates a less ordered
339 structure, being required lower energy to breakdown the internal connections of the wax
340²⁸. There is no trend in what concerns the lipid or the surfactant concentrations used to
341 produce the SLN. Nevertheless, the existence of a shoulder in the curves is more
342 pronounced in the SLN produced with higher lipid concentration. This can be a
343 consequence of different polymorphisms, the lipid modifications are not always solved
344 with the forms α , β , and β' and the differences could be from several subspecies already
345 detected from the interaction between the lipid and the emulsifier. When compared with
346 other carnauba wax DSC thermograms, such as those showed by², it was possible to
347 observe the same behavior, i.e. the appearance of a more pronounced shoulder when
348 higher concentrations of lipid are used. Also there is a direct correlation of PS with the
349 thermal behavior of SLN²⁹.

350 Crystallinity index (CI%) allows the understanding of the thermal behavior of
351 materials. As in *equation 2*, the percentage is calculated using the enthalpy value of pure
352 lipid (normally high) and the value of the SLN (value normally lower than the pure
353 compound). Lipid crystallinity is also strongly correlated with drug incorporation and
354 release rates. Thermodynamic stability and lipid packing density increase, whereas drug
355 incorporation rates decrease in the following order: supercooled melt, α -modification,
356 β' -modification, and β -modification. Hence, high values of CI% leads to faster

357 compound release, but it also means that more energy is required to melt the crystal
358 lipids. Furthermore, when the SLN are formed with ordered crystals, the more difficult
359 is the release of the bioactive compound into the medium. Hence, the ideal value of
360 CI% should be sufficiently high to make sure that most of the SLN are not unstable in
361 the formation of new particles, but it also has to be sufficiently low to ensure the release
362 of rosmarinic acid. The most CI appropriate values are those close to 50%¹⁹. In Table 1,
363 it is possible to observe that the increase of percentage of lipid leads to a decrease of the
364 CI% ($P > 0.05$).

365 In order to select the formulations, the desired features can be analyzed taking
366 into account the final application. These SLN will be further incorporated in an oral
367 formulation/food product. The PS should be ≥ 300 nm to decrease the possibility of
368 adsorption of the SLN by the intestinal epithelium, and only permit the compound to be
369 absorbed instead of the entire nanoparticle³. Hence, all percentages of carnauba wax
370 can be used and the percentage of surfactant should be below 2-3% (v/v). The use of 1.0
371 and 1.5% of wax and 2% of surfactant showed good CI% values.

372

373 **3.4. Fourier transform infrared (FT-IR) spectroscopy**

374 The main bands for rosmarinic acid identification are located between
375 wavenumber 1800 and 700 cm^{-1} ³⁰, as shown in Figure 5.

376 The three bands at 1605, 1520 and 1445 cm^{-1} are due to the presence of aromatic
377 ring stretching, as can be seen in the graphs for FTIR spectra of rosmarinic acid (A) and
378 physical mixtures between SLN and rosmarinic acid (C and E) (Coates, 2000). The
379 spectra from SLN (B and D) did not present these peaks, probably due to the interaction
380 of the lipids and the reactive connections O-H of aromatic rings of rosmarinic acid.
381 Other evidences for presence of phenolic groups were delivered through the bands at

382 1360 and 1180 cm^{-1} resulting from O-H and C-O stretches; these peaks were presented
383 in all spectra of the wax, evidencing the presence of phenolic groups and the
384 incorporated polyphenol. Therefore, an overlap of two bands in the region is very likely
385 to have occurred. Carboxylic acid groups show a characteristic band in the range 1725-
386 1700 cm^{-1} , as can be seen in Figure 5 for rosmarinic acid and for both physical mixtures
387 between the SLN and the rosmarinic acid (C and E); these results confirm the
388 maintenance of structure of the polyphenol. When the rosmarinic acid was
389 encapsulated, these characteristic peaks generally disappeared, mostly due to chemical
390 interactions between the reactive groups of polyphenol and the matrices; hence these
391 typical bands probably were masked by the matrices.

392

393 4. Conclusions

394 The purpose of this research work was to optimize the production of SLN with
395 rosmarinic acid and to characterize these ones in terms of its physical, association
396 efficiencies, thermal and morphological properties. In the production of rosmarinic acid-
397 SLN, the percentage of carnauba wax and surfactant used were important factors
398 influencing their physical properties. The concentration of lipid, i.e. of carnauba wax
399 showed to have effect in the size of the generated particles. Increasing the
400 concentrations of carnauba wax leads to small sized particles, but the surfactant
401 concentrations must be high ($> 2\%$ (v/v)). The final particles are negative highly
402 charged, which allows concluding that they are stable during the storage of 28 d in
403 refrigerated conditions. With FTIR analysis, it was possible to confirm the physical
404 encapsulation of rosmarinic acid in the SLN. The optimum range values to obtain the
405 desirable features for incorporation in a functional food suggest formulations containing
406 1.0 and 1.5% (w/v) of lipid and 2% (v/v) of surfactant. These formulations will

407 guarantee SLN with sizes >300 nm to avoid adsorption by the intestinal epithelium and
408 will allow high association efficiency (>99%) combined with high fusion point (>86
409 °C). These SLN characteristics will be maintained throughout at least 28 d of storage.

410 The SLN developed in the present work, could be incorporated as oral
411 bioactive/nutraceutical ingredient in oral formulations/foods, that can be taken to
412 provide antioxidant, anti-inflammatory or even antimicrobial bioactivities. Since,
413 rosmarinic acid has proved antioxidant and anti-inflammatory activities, the developed
414 formulations could be used to prevention of anti-inflammatory states such as cancer, or
415 other inflammations. Moreover, it is proved that rosmarinic acid has antimicrobial
416 activity, so these formulations could be used as prevention of bacterial infections. The
417 bioactivities of these systems would be in the future search, in order to predict the
418 effects that these systems will have when they are orally administrated. For this
419 purpose, the stability of these SLN will be also studied, at a simulated gastrointestinal
420 conditions and when at intestinal epithelium, where they are adsorbed to the lymphatic
421 blood stream and distributed to body organism.

422

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Table 1: Mean values \pm SD of the physical properties (PP), particles size (PS), polydispersity index (PI), zeta potential (ZP) and percentage of entrapment efficiency (EE%) of the produced nanoparticles (in emulsion) throughout storage time, and thermal properties (TP) such as enthalpy (ΔH), melting temperature (MT) and percentage of crystallinity (CI%) at the time of production.

Properties	Storage time									
	(d)	A	B	C	D	E	F	G	H	I
PS (nm)	0	43 \pm 3 ^a	722 \pm 41 ^a	887 \pm 426 ^a	907 \pm 438 ^a	582 \pm 392 ^a	587 \pm 392 ^a	945 \pm 211 ^a	897 \pm 189 ^a	35 \pm 2 ^a
	28	124 \pm 72 ^a	892 \pm 60 ^a	542 \pm 380 ^a	585 \pm 307 ^a	438 \pm 338 ^a	527 \pm 285 ^a	605 \pm 248 ^a	491 \pm 210 ^a	49 \pm 6 ^a
PI	0	0.33 \pm 0.06 ^{ab}	0.23 \pm 0.02 ^{ab}	0.17 \pm 0.12 ^a	0.33 \pm 0.04 ^{ab}	0.31 \pm 0.08 ^{ab}	0.34 \pm 0.12 ^{ab}	0.36 \pm 0.02 ^{ab}	0.40 \pm 0.05 ^a	0.27 \pm 0.03 ^{ab}
	28	0.32 \pm 0.01 ^a	0.24 \pm 0.06 ^a	0.29 \pm 0.13 ^a	0.31 \pm 0.07 ^a	0.36 \pm 0.02 ^a	0.29 \pm 0.19 ^a	0.34 \pm 0.02 ^a	0.37 \pm 0.09 ^a	0.30 \pm 0.04 ^a
ZP (mV)	0	-38.1 \pm 0.7 ^a	-38.7 \pm 0.4 ^a	-37.6 \pm 0.6 ^a	-40.7 \pm 1.6 ^a	-38.7 \pm 0.8 ^a	-37.6 \pm 0.4 ^a	-37.9 \pm 0.1 ^a	-38.2 \pm 0.0 ^a	-38.7 \pm 0.6 ^a
	28	-39.1 \pm 1.0 ^a	-38.1 \pm 0.4 ^{ab}	-38.4 \pm 2.1 ^{ab}	-38.4 \pm 2.5 ^{ab}	-37.6 \pm 0.9 ^{ab}	-38.2 \pm 0.8 ^{ab}	-38.1 \pm 3.9 ^{ab}	-38.3 \pm 3.3 ^{ab}	-37.8 \pm 0.4 ^b
EE (%)	0	99.93	99.96	99.92	99.94	99.88	99.84	99.89	99.95	99.89
	28	99.93	99.94	99.94	99.87	99.97	99.94	99.98	99.99	99.98
ΔH (J/g)	0	-24 \pm 5	-21 \pm 4	-15 \pm 5	-39 \pm 3	-30 \pm 12	-10 \pm 3	-14 \pm 4	-51 \pm 16	-24 \pm 3
MT ($^{\circ}$ C)	0	86.14	86.14	85.91	85.26	88.25	86.95	87.56	85.41	87.04
CI%	0	66.46	58.59	42.07	54.88	41.72	14.65	12.72	47.73	22.44

Designations of the letters are as follows (CW %, w/v: Polysorbate 80 %, v/v): **(A)** 0.5: 1, **(B)** 0.5: 2, **(C)** 0.5: 3, **(D)** 1.0: 1, **(E)** 1.0: 2, **(F)** 1.0: 3, **(G)** 1.5: 1, **(H)** 1.5: 2, **(I)** 1.5: 3. ^{a,b,c,d} The differences between the means in the same row labelled with the same superscript are not statistically significant ($P > 0.05$) ($n=9$).

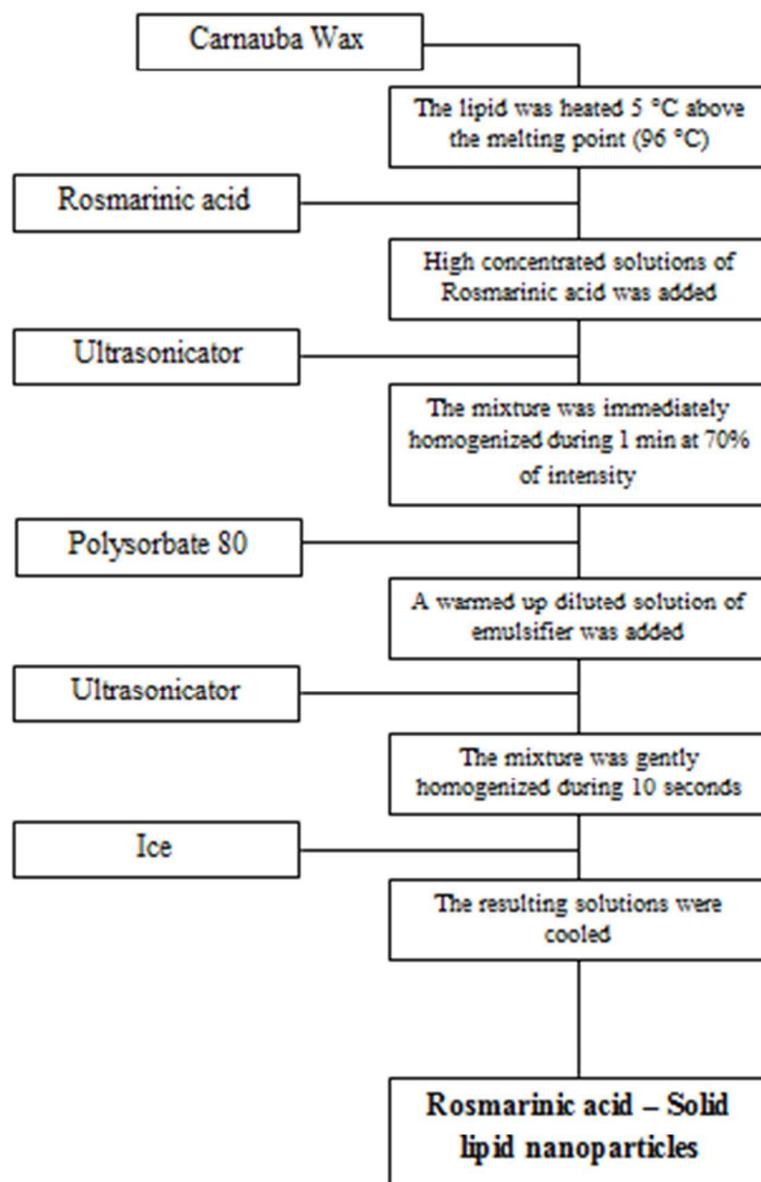


Figure 1

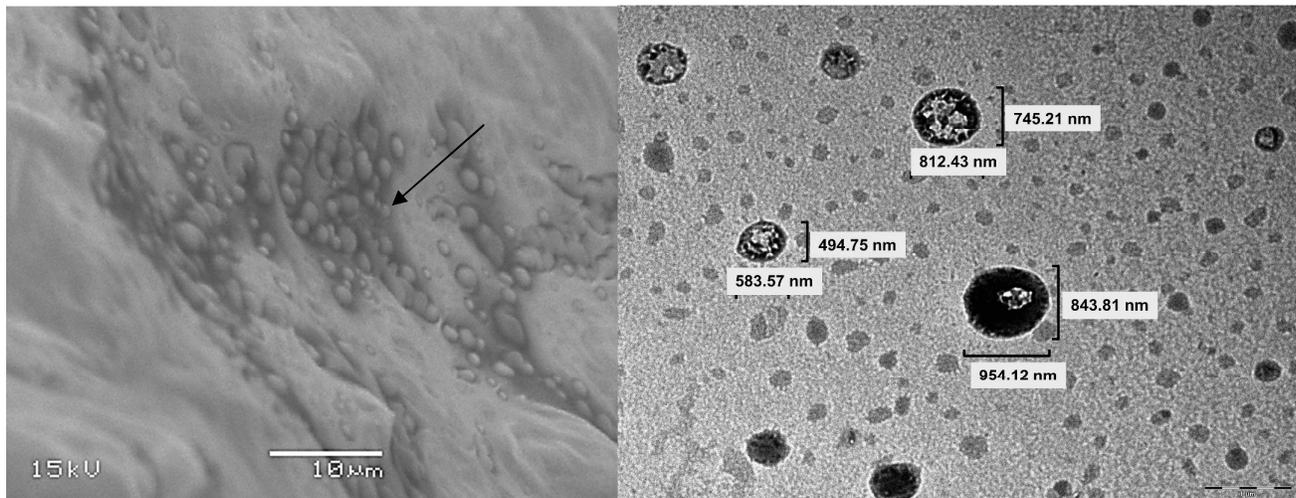


Figure 2

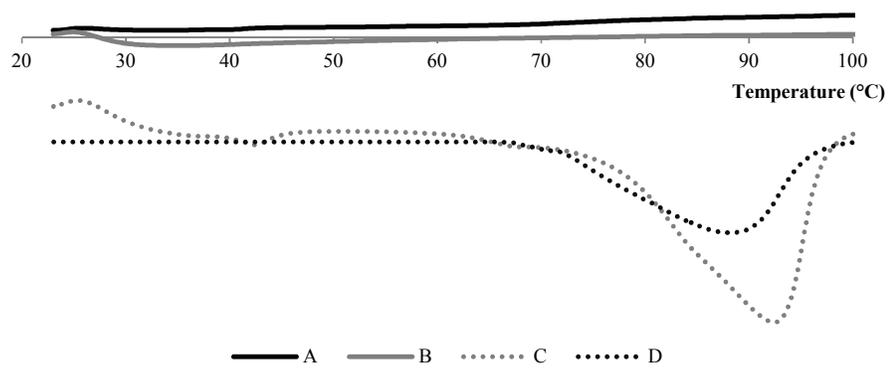
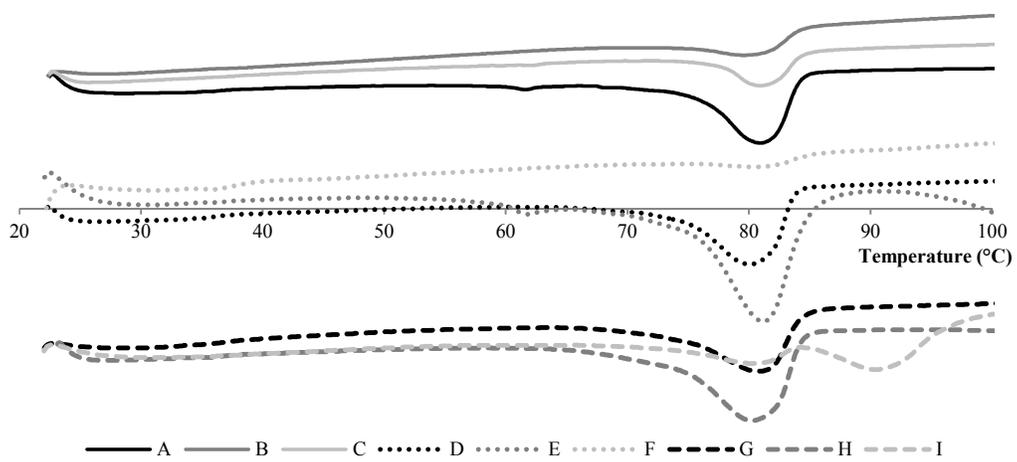


Figure 3

**Figure 4**

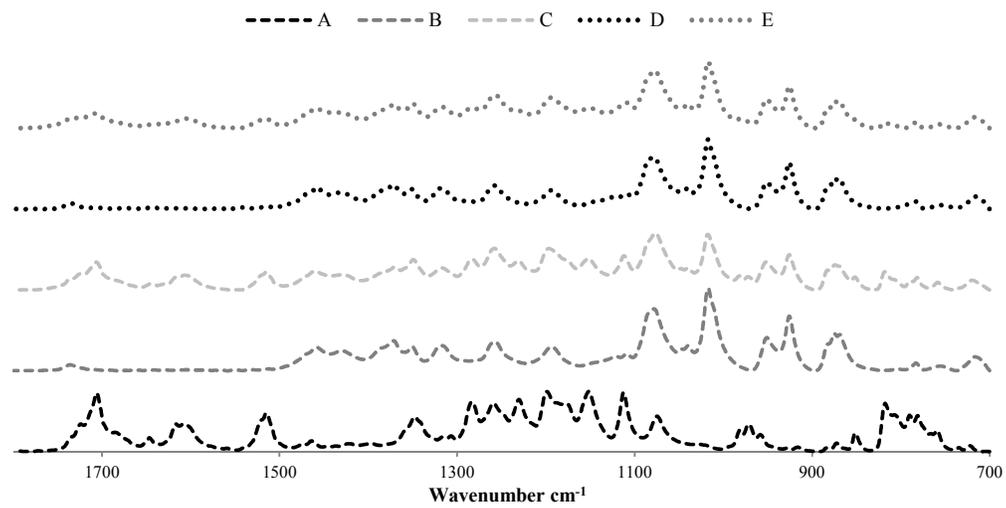


Figure 5

Figure 1: Schematic representation of the production of RA-SLNs using carnauba wax as lipidic matrix.

Figure 2: Micrographs of carnauba wax rosmarinic acid-SLN, 1.0% of carnauba wax (w/v) and 2% (v/v) of polysorbate 80. At the left figures lyophilized SLN, visualized by scanning electron microscope (SEM). Row indicate a group of SLN. At the right figures SLN lyophilized, visualized by transmission electron microscopy (TEM) technique.

Figure 3: Thermograms of the bulk materials (A) rosmarinic acid, (B) polysorbate 80 and (C) carnauba wax. Standard formulation without rosmarinic acid (D) 1.0% (w/v) of carnauba wax and 2% (v/v) polysorbate 80. Thermograms information about melting points and enthalpies.

Figure 4: Thermograms of carnauba wax rosmarinic acid-SLN (carnauba wax %, w/v: polysorbate 80 %, v/v): (A) 0.5: 1, (B) 0.5: 2, (C) 0.5: 3, (D) 1.0: 1, (E) 1.0: 2, (F) 1.0: 3, (G) 1.5: 1, (H) 1.5: 2, (I) 1.5: 3.

Figure 5: FTIR spectra of (A) rosmarinic acid (B) SLN formulation (0.5% carnauba wax: 1% polysorbate 80), the corresponding (C) physical mixture of SLN (0.5: 1) and rosmarinic acid, (D) SLN formulation (0.5% carnauba wax: 2% polysorbate 80) and the corresponding (E) physical mixture of SLN (0.5 : 2%) and rosmarinic acid.