



“Nose to brain delivery of astaxanthin loaded solid lipid nanoparticles: fabrication, radio labeling, optimization and biological studies”

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1 **Nose to brain delivery of astaxanthin loaded solid lipid**
2 **nanoparticles: fabrication, radio labeling, optimization and**
3 **biological studies**

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1 Abstract

2 The present study has been carried out to investigate intranasal delivery of astaxanthin as
3 solid lipid nanoparticles with an intention to improve brain targeting of astaxanthin for
4 neurological disorders. The astaxanthin solid lipid nanoparticles were prepared by double
5 emulsion solvent displaces method. In addition to statistical analysis using response
6 surface methodology showed that optimum values of stearic acid (50 mg), % of drug
7 (6.11%) and a ratio of surfactant to co-surfactant (Poloxamer 188: Lecithin (1:6) resulted
8 213.23 nm particle size and 0.367 poly dispersity index of the astaxanthin solid lipid
9 nanoparticles. Radio labeling studies were performed by using technetium 99 to evaluate
10 the biodistribution pattern after administration through different routes in experimental
11 subjects. Radiolabeled nanoparticles were found to be 96 to 98% stable even after 48
12 hours of labeling in phosphate-buffered saline (pH 7.4). Comparative biodistribution data
13 indicated that the higher drug concentration in the brain was achieved by intranasal
14 administration of ^{99m}Tc labeled astaxanthin solid lipid nanoparticles as
15 compared to intravenous route, which was also confirmed by the gamma scintigraphy.
16 Furthermore, studies on Pheochromocytoma12 cell line demonstrated the antioxidant
17 potential of astaxanthin solid lipid nanoparticles against H_2O_2 induced toxicity. Our
18 findings strongly emphasize that nanoparticle based nasal drug delivery of astaxanthin
19 could impart utmost neuroprotection from oxidative stress in neurological disorders under
20 in-vitro conditions.

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22 **Keywords:** Astaxanthin, Nanoformulation, Radiolabeling, Biodistribution, Nose to brain.

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1. Introduction

Astaxanthin (3, 3'-dihydroxy- β - β '-carotene-4-4'-dione) is one of the strong carotenoid found in aquatic animals such as crabs, salmon and mainly produced by micro-alga *Haematococcus pluvialis* and yeast *Phaffia rhodozyma*.¹ Astaxanthin has been found to exhibit 100 times more free radical scavenging activity than Vitamin E and 10 times than beta carotene.² The health benefits of astaxanthin include anti-aging, anticancer^{3,4,5} and cardio-protective effects,⁶ eye health⁷ and protective effects on central nervous system.⁸ Further it could readily neutralize free radicals and other reactive species by protecting the tissue from oxidative stress.⁹

Free Astaxanthin is highly unstable and poorly water soluble carotenoid. It can easily degrade with light, high temperature, oxygen. These limitations of the astaxanthin make it more difficult to formulate into a suitable dosage form. Evidence from various studies had shown potent antioxidant activity of astaxanthin and its efficacy against various disorders clinically, but absence of suitable formulation for site specific drug delivery mark the importance of this study.

Solid lipid nanoparticles (SLN) offer unique properties such as small size, large surface area, high drug loading and the interaction of phases at the interfaces, and are attractive for their potential to improve the performance of pharmaceuticals.¹⁰ Due to their unique size dependent properties, lipid nanoparticles offer the possibility to develop new therapeutics. The ability of SLN to incorporate drugs into nanocarriers offers a new prototype in drug delivery that could be used for drug targeting. Hence solid lipid nanoparticles hold great promise for reaching the goals of controlled and site specific drug delivery. In addition solid lipid nanoparticles emerged as a promising strategy for the efficient delivery of hydrophobic drugs because of their versatile features and unique advantages.¹⁰

A very little effort has been made to formulate carotenoid particularly astaxanthin into a novel delivery system. In order to increase the thermal stability of astaxanthin various approaches have been utilized. Continuing with this Tachaprutinun *et al.*, (2009)¹¹ encapsulated astaxanthin into polymeric nanospheres by a solvent displacement

1 technique using high pressure homogenization technique, while astaxanthin
2 nanoemulsion and nanodispersion were developed by Anarjan *et al.*, (2010).¹²

3 Of all the organs, the brain is considered to be a soft target for oxidative insult due to the
4 presence of high levels of unsaturated fatty acids, iron, and rich irrigation with blood
5 vessels. ¹³ As oxidative stress has been considered to be one of the factors accounting for
6 pathogenesis of many neurodegenerative disorders including Alzheimer's disease and
7 Parkinson's disease. Astaxanthin has the capacity to cross the blood brain barrier in
8 mammals ¹⁴ makes it a promising candidate for the treatment of various neurological
9 disorders. Research evidences suggest the neuroprotective potential of natural astaxanthin
10 in neurodegenerative diseases. However, the lack of a suitable delivery system to
11 penetrate the blood–brain barrier has led the failure to exhibit the same in the *in-vivo*
12 models.

13 The rationale for selection of an intranasal route for the delivery of ^{99m}Tc-AST-SLN
14 complex depends on the composition of intranasal route which offers many advantages.
15 Intranasal route is composed of highly vascularized epithelium layer of nasal mucosa ¹⁵ and
16 porous endothelial membrane along with its large surface area for rapid drug absorption
17 with faster onset of action. Further this route has a lower enzyme level as compared to GIT
18 tract and liver ¹⁵ along with high blood flow per cm³ facilitates direct drug transport to the
19 brain and systemic circulation thereby avoiding first pass metabolism and enhance
20 bioavailability. In addition brain targeting through intra nasal route bring the drug in direct
21 contact with the olfactory/or trigeminal nerve pathways which is located in the nasal cavity
22 as the neuro-epithelium is the only part of central nervous system that is directly exposed to
23 the external environment. Thus, better targeting can be done by direct delivery of drugs
24 from sub-mucosal space of the nose into the brain.

25 Researchers have reported the formulation and evaluation of solid lipid nanoparticle for brain
26 targeting ¹⁶ and their findings substantiate the existence of a direct nose to brain route for
27 nanoparticles administered to the nasal cavity.

28 The aim of the present study was to develop solid lipid nanoparticle consisting sufficient
29 amount of astraxanthin (AST-SLN) for various neurodegenerative disorders. Response-

1 Surface methodology (RSM) was used to develop empirically significant models for
2 optimized quality attributes of AST-SLN namely average particle size, poly dispersity index
3 and astaxanthin concentration of AST-SLN. In order to resolve the effect of formulation
4 ingredients in physiochemical properties of astaxanthin nanoparticle numerous tools were
5 employed out of which Box-Behnken's design was found to be substantially constructive.

6 Here, we report the development of solid lipid nanoparticles of astaxanthin (AST-SLN) using
7 citric acid, lecithin and polaxamer 188 by the solvent displacement method. The formulation
8 was optimized by response surface methodology and evaluated for particle size, loading
9 capacity, entrapment efficiency and particle morphology. The optimized formulation was
10 further studied for its bio distribution in different organs and tissues. *In vitro* system consisting
11 of PC12 cell lines was utilized to study the effect of AST-SLN in H₂O₂ induced oxidative
12 stress in pre-, post and co- treatment protocols.

13 2. Materials and methods

14 2.1. Chemicals and equipments

15 Astaxanthin derived from algal source was obtained as a gift sample from Algaltech,
16 Israel. All the chemicals used for formulation development were procured from Merck,
17 India. The animal cell media and reagents used for *in vitro* study were brought from Hi-
18 media, India. The pheochromocytoma (PC 12) cell line was obtained from National
19 Centre for Cell Sciences, Pune, India. Particle size and polydispersity index of the
20 formulation were determined using the Zeta sizer Nano ZS (Malvern Instruments
21 Limited, Worcestershire, UK). Microscopic analysis was performed using a LEO 435 V
22 scanning electron microscope (Leo electron microscopy Ltd., Cambridge, UK) and TEM
23 CM-10 (Philips, Netherlands). Radioactivity was measured by gamma ray spectrometer
24 (GRS23C, Electronics Corporation of India Limited, India). Gamma imaging studies were
25 carried out by single-photon emission computerized tomography (SPECT, LC 75-005,
26 Diacam; Siemens AG, Erlanger, Germany). Multiwellmicroplate reader (Synergy HT,
27 Bio-Tek Instruments, Inc. Vermont, USA) was used for colorimetric assay.

28 2.2. Preparation and optimisation of AST-SLN formulation

1 Astaxanthin solid lipid nanoparticles were prepared by the solvent displacement method
2 as described by Ribeiro *et al.* 2008¹⁷ with modifications. In brief, astaxanthin (10 mg)
3 was incorporated in the organic phase before the addition of stearic acid and lecithin. The
4 drug was solubilized followed by the addition of the lipids. The lipid, stearic acid and
5 lecithin were taken in ratios of 1:1, 1:4, 1:3,1:5, 1:6 ,1:8 and among them 1:3 and 1:6
6 were selected and were dissolved in 10 ml of dichloromethane (organic phase) by slight
7 heating at 50 °C on a hot plate. The aqueous phase was prepared by dissolving
8 polaxamer 188 (1%) in 50 ml of distilled water. The organic phase was then taken into a
9 syringe and injected into the aqueous phase (50 ml) in a slow, drop wise manner with
10 stirring. The solution was stirred at 3000 G for 2 hours. The AST-SLNs were harvested
11 by centrifuging at 11,000 G for 40 minutes at 4°C. The supernatant discarded and the
12 pellet removed, washed with distilled water and dried to obtain the solid lipid
13 nanoparticles. The formulations obtained were further optimized with Box-Behnken
14 design using response surface methodology (RSM).

15 Concentration of lipid and concentration of the drug and the ratio of surfactant and co-
16 surfactant was optimized for the formulation using RSM, in order to obtain solid lipid
17 nano particles of natural astaxanthin. A total 17-run, 3-factor, 3-level Box-Behnken
18 design was employed to construct quadratic models for the optimization process. This
19 design was suitable for investigating the quadratic response surface and for constructing a
20 second-order polynomial model using Design- Expert Software (v.8.0 software of Stat-
21 ease Inc. USA). The design consisted of replicated center points and a set of points lying
22 at the midpoints of each edge of the multidimensional cube, which defined the region of
23 interest used to evaluate the main effects, interaction effects, and quadratic effects of the
24 formulation ingredients, and to optimize the formulation. Factors evaluated in this study
25 were the amount of lipid (A), % amount of drug (B), ratio of S mix (surfactant: co-
26 surfactant) (C) as the independent variables which were represented by -1, 0 and +1,
27 analogous to the low, middle, and high values respectively as described in Table 1. The
28 studied dependent responses were particle size (PS) and poly dispersity index (PDI).

29 2.3. Evaluation of the solid lipid nanoparticles

1 The PS and PDI of the formulations were determined by dynamic light scattering
2 technique. The entrapment efficiency and loading capacity of the astaxanthin SLN was
3 determined by the separation of the astaxanthin from the drug entrapped in the SLN by
4 centrifugation at 11,000 rpm for 40 min at 4°C. The supernatant containing the free
5 astaxanthin was quantified by high performance liquid chromatography. The astaxanthin
6 percentage drug loading (DL) and the entrapment efficiency (EE) were calculated. The
7 percentage yield of the SLN was determined by dividing the practical weight of solid
8 nanoparticles after centrifugation and freeze drying cycle by theoretical weight of
9 nanoparticles. Theoretical weight was obtained by the sum of the weights of the entire
10 solid component used in preparation of nanoparticles¹⁸. Particle surface morphology was
11 evaluated by scanning electron and by transmission electron microscopy.

12 The release of astaxanthin from the SLN's was studied using the Dialysis Method in pH
13 7.4 phosphate buffer. The aliquots so obtained at each time point were analyzed for drug
14 released as a function of time.¹⁹

15 **2.3.1 Particle size and PDI Determination of AST-SLN**

16 The average of the particle size and polydispersity index (PDI) measured by using the
17 Zetasizer (Nano-ZS, Malvern Instruments) and analyzed by "DTS nano" software. In
18 brief, the prepared nanoparticles were harvested and washed by 5 successive cycles of
19 centrifugation at 4°C and redispersion cycles in deionized water at 11000 rpm for 30 min.
20 Several cycles of washing with deionized water was performed to ensure the complete
21 removal of free drug and residual surfactants. The particles were dispersed in a low
22 volume of water and lyophilized for 24 h to obtain powdered and stabilized nanoparticles.
23 The final product was stored at -20°C until used for further characterization.

24 The particle size and the polydispersity index were measured by diluting the formulation
25 with an aqueous phase (de-ionized water) up to 200 times followed by the vigorous
26 shaking to obtain about 100-250 kilocounts per second.

27 **2.3.2 Transmission Electron Microscope (TEM) of AST-SLN**

1 Transmission Electron Microscope (TEM) was employed for the microscopic evaluation
2 of optimized formulations using TEM CM-10 (Philips, Netherlands). In brief, for TEM
3 evaluation a drop of formulation was applied on the carbon coated grid with 2%
4 Phospho-tungestic acid (PTA) and it was left for 30 Sec. The dried, coated grid was taken
5 to a slide and after placing the cover slip, observed under TEM operated at 60-80 KV.

6 **2.3.3 Scanning Electron Microscopy (SEM) of AST-SLN**

7 For SEM analysis of the freeze-dried nanoparticles, a random sample was mounted on an
8 aluminum sample mount and sputter coated with gold- palladium alloy to minimize
9 surface charging. SEM analysis was performed using a LEO 435 V scanning electron
10 microscope (Leo electron microscopy Ltd., Cambridge, UK) at a working distance of 15
11 mm and an accelerating voltage of 15kV.

12 **2.4 Radio labeling of AST-SLN**

13 The AST-SLN was radiolabeled with Technetium-99m (^{99m}Tc) as per the method
14 described by Theobald (1990).²⁰ The pertechnetate (TcO_4^-) (2 mCi) was reduced with
15 stannous chloride (in 10% acetic acid) and the pH was adjusted to 7.4 with 0.5 M sodium
16 bicarbonate. To it was added the test formulation AST-SLN to be radiolabeled in a
17 concentration of 1 mg/ml and incubated at room temperature for 10 min and checked for
18 labeling efficiency.

19 **2.5 Radio labeling Efficiency**

20 The labeling efficiency of the ^{99m}Tc -labeled AST-NP was determined by instant thin
21 layer chromatography (ITLC) using ITLC-SG mini strips as described by Banerjee et al.
22 (2005).²¹ Silica gel-coated fiber sheets were used for ascending thin layer
23 chromatography. One to two microliters of labeled complex was put at the bottom of the
24 strip and acetone was used as the mobile phase. The solvent front was allowed to reach
25 up to a height of 8 cm from the origin and was then cut into two halves. Radioactivity
26 was checked in each half by gamma ray spectrometer (GRS23C, Electronics Corporation
27 of India Limited, India). Colloid formation was determined in solvent. The radiocolloids

1 remain at the bottom of the strip, while free pertechnetate and labeled complex migrate to
2 the solvent front.

3 **2.6 Radiochemical purity**

4 The presence of radio colloids was determined by the previously reported method
5 (Mishra *et al.* 1991)²² by developing ITLC strip using pyridine: acetic acid: water in a
6 ratio of 3:5:1:5. Reduced/hydrolyzed Tc-99m present in the preparation will remain at the
7 point of application, while both the free Tc-99m pertechnetate and labeled complex
8 migrates with solvent front. Thus ITLC strips were used to determine free Tc-99m and
9 reduced/hydrolyzed technetium, and based on these two parameters labeling efficiency
10 and purity was determined. Radio labeling efficiency and radiochemical purity were
11 determined as follows.

12 **2.7. *In vivo* and *in vitro* studies**

13 **2.7.1 Bio-distribution study**

14 The study was approved by the institutional animal ethics committee (IAEC),
15 (173/CPCSEA) male albino Wistar rats, weighing 180–200 g were used. Animals were
16 procured from the central animal house facility (Jamia Hamdard, New Delhi), weighed
17 immediately on procurement and marked distinctly with picric acid solution for easy
18 identification. Animals were divided in two groups (intravenous group and intranasal
19 group) for four time points with each group containing 16 rats. Further, in each group,
20 animals were divided into four subgroups of 4 animals for four different time points for
21 dose administration via intravenous and intranasal routes. The radio-labeled and
22 optimized SLNs with final radioactivity of 2 mCi/mL was prepared, The Intravenous
23 group received 25 μ l of astaxanthin (4mg/kg). The intranasal group received 10 μ l of
24 astaxanthin (4mg/kg) in each nostril. The dosing time was set at 0, 1, 2, 4, 24hr interval.
25 The rats were anesthetized using chloroform at 1, 2, 4, and 24 h post-administration and
26 blood sample was collected via cardiac puncture. Blood samples were transferred into pre
27 weighed ria vials and reweighed. The samples were analyzed for radioactivity by the
28 gamma-ray counter. Radioactivity in various samples was determined in the unit of
29 counts. Along with the blood samples, the standard solution was also checked for its

1 radioactivity that accounted to standard counts. At the end of each time point (1, 2, 4, and
2 24 h), each rat was sacrificed humanly and various organs, including the heart, liver,
3 lungs, kidneys, spleen, stomach, intestine and brain were then isolated. Each organ was
4 weighed and radioactivity was determined using gamma-ray counter.

5 From this data, percent activity/gram organ (% A/G) was calculated,²² by using
6 Equation.

$$\% \text{ Radioactivity / gram of tissue} = \frac{\text{Counts in Sample}}{\text{Wt. of sample} \times \text{total injected count}} \times 100$$

7

8 **2.7.2. Gamma imaging studies**

9 The Wistar albino rats (6 no.) weighing between 180-200 g were selected for the study.
10 Radiolabeled drug formulation, ^{99m}Tc-AST-SLN (100mCi/50ml) containing
11 Astaxanthin (equivalent to 1mg/kg body weight), was injected through the tail vein of
12 Wistar albino rats. Similarly, radio labeled drug formulations, ^{99m}Tc-AST-SLN
13 (100mCi/20ml) containing astaxanthin (equivalent to 1mg/kg body weight), was
14 administered (10 μ l) in each nostril. Animals were sedated by giving intramuscular
15 injections of 0.75 ml/Kg body weight of diazepam and 1 mg/Kg body weight of ketamine
16 throughout the experiment and placed on the imaging board. Imaging was performed
17 using single-photon emission computerized tomography (SPECT, LC 75- 005, Diacam;
18 Siemens AG, Erlanger, Germany) gamma camera.²³ The scintigraphy images following
19 intravenous administration of AST-SLN and intranasal administration were recorded
20 using a dual head Hawkeye gamma camera system (GEMS, UK). All images were
21 analyzed with inbuilt software Entegra Version-2.

22 **2.7.3 *In vitro* evaluation of AST-SLN on PC12 cell lines against H₂O₂ induced** 23 **oxidative damage**

24 Rat pheochromocytoma cell line (PC12) cells, used in the present study were procured
25 from National Centre for Cell Sciences, Pune, India. Cells were grown as per the standard
26 protocol described by Greene *et al.*²⁴ Non cytotoxic dose of AST-SLN Formulations (5
27 and 10 μ g/ml) were selected for the study. Responsiveness of PC12 cells to formulation

1 was detected by dividing them into three treatment schedules (a) cells treated with
2 formulation for 24 hours prior to H₂O₂ insult for 12 hrs (post treatment group); (b) cells
3 treated with formulation for 24 hours along with H₂O₂ insult for 12 hours (co exposure
4 group/co treatment group); (c) cells treated with formulation for 24 hours following 12
5 hours of H₂O₂ insult (pretreatment group). Influence of formulation was evaluated by
6 comparing the values of treatment groups with respective non-treated cells exposed to
7 H₂O₂ only. Percentage cell viability was assessed using tetrazolium bromide salt (MTT
8 assay).²⁵

9 **2.7.4 Estimation of Glutathione (GSH) levels**

10 Glutathione (GSH) levels were assessed following the exposure to three treatment
11 schedules as described above using commercially available kit (Glutathione Detection
12 Kit, Catalog no. APT250, Chemicon, USA). Briefly, cells were exposed to hydrogen
13 peroxide and astraxanthin formulation in three treatment schedules followed by
14 centrifugation at 700 g for 2 min at 4⁰C and lysed by lysis buffer and centrifugation over
15 again at 12,000 g for 10 min at 4⁰C and the supernatant was collected to give final
16 samples. Lysed samples (90 ml/well) were relocated to 96 well black bottom plates and
17 mixed with freshly prepared assay cocktail (10 ml) followed by incubation for 2 h. The
18 plates were read at excitation wavelength 380 nm and emission wavelength 460 nm using
19 a multiwell microplate reader for estimation of GSH levels. Results were expressed as
20 percentage of controls.

21 **2.7.5 Estimation of lipid peroxidation (LPO) levels**

22 The extent of lipid peroxidation was estimated by commercially available kit (Cayman's
23 Chemicals Kit catalog no. 705003, USA) according to the manufacturer's protocol. The
24 cells exposed to hydrogen peroxide and astraxanthin formulation in three treatment
25 schedules were harvested in chilled PBS by scraping and washed twice with PBS at 4⁰C
26 for 6 min at 1,500 rpm. The cell pellet was then sonicated at 15 W for 10 s (3 cycles) to
27 obtain the cell lysate, which were detected spectrophotometrically at 500 nm using
28 thiocyanate ion as the chromogen. 13-HpODE (13-hydroperoxy-octadecadienoic acid)
29 was used as a standard and results were expressed as percentage of control.

1

2 **3. Results**

3 **3.1. Characterization and optimization of astaxanthin solid lipid nanoparticles**

4 Optimization of nano formulation was carried out on the basis of particle size (PS) and
5 poly dispersity index (PDI). Actual and predicted results for PS and PDI are presented in
6 Table 2. The model generated, analyzed by design expert software and the actual and
7 predicted results for particle size obtained resulted in a quadratic equation

$$8 \text{ PS unit} = 682 + 742.675A + 123.825B - 48.225C + 72.775AB + 17.425AC - 246.475 BC \\ 9 + 295.8375A^2 + 15.3875B^2 - 32.4125C^2$$

$$10 \text{ PDI} = 0.224 - 0.00012A + 0.02725B + 0.044875C - 0.10825AB + 0.0635AC + \\ 11 0.12275BC + 0.29475 A^2 + 0.1985B^2 - 0.06375C^2$$

12 Three-dimensional (3D) response surface (A, C and E) and contour plots (B, D and F),
13 showing the effects of lipid concentration (A), drug percentage (B) and surfactant ratio
14 (C) and the effect of their reciprocal interaction of the dependent variables of the
15 astaxanthin nano formulation has been represented in figure 1 (for PDI) and
16 supplementary figure 1 (for PS).

17 The analysis of variance of the model for PS and PDI is represented in Table 3. Point
18 prediction of the design expert software was used to determine the optimum value
19 formulation factors for PDI and smaller particle size of the AST-SLN. Finally, the
20 optimum values of Stearic acid (50 mg), % amount of drug (6.11%) and the ratio of S
21 mix (Poloxamer 188: Lecithin (1:6) was obtained. These values predict 213.23 nm size
22 and 0.367 PDI of the AST-SLN.

23 **3.2. Validation of optimized model**

24 The particles were found spherical in shape with uniform size distribution (Figure 2a,
25 2b). The optimized values of parameters were validated by formulation and an average
26 205.85 nm of particle size was obtained, indicating a 95.24 % validity of the predicted
27 model. . The PDI was found to be 0.349 (Table 2). This shows that all the AST-SLNs had
28 narrow size distribution. The developed AST-SLNs shows a mean percentage yield of

1 68.74 ± 1.74 %, entrapment efficiency of 77.42 ± 1.15 % and mean loading capacity of
2 47.63 ± 1.07 %. The scanning electron microscopy (SEM) and transmission electron
3 microscopy (TEM) of prepared AST-SLNs shows that the particles were spherical in
4 shape with the nano range (Figure 2b and 2c).

5 The presence of astaxanthin, produced a significant effect on the optimal formulation, but
6 the design space was found to be robust enough to accommodate the drug. An entrapment
7 efficiency of 77.42%, along with mean percentage yield of 68.74 ± 1.74, % and mean
8 loading capacity of 47.63 ± 1.07 % was found for optimal formulation.

9 **3.3. *In vitro* release of AST-SLN**

10 The *In vitro* drug release data shows that the total amount of drug released at the end of
11 48 hrs was 81.40 % and the release pattern of the drug from the formulation was found to
12 be sustained and controlled release (Fig 3). *In vitro* release of astaxanthin from all the
13 tested formulations are represented supplementary figure 2.

14 **3.4. Radiolabelling of optimized formulation**

15 AST-SLNs were radio labeled with Technetium-99m (99mTc). The labeling efficiency of
16 the 99mTc-labeled AST-SLNs was determined by instant thin layer chromatography
17 (ITLC) using ITLC-SG mini strips and was found to be 96.82 % and the presence of
18 radio colloids was found to be > 4 %. The radio labeled SLNs were 96 to 98% stable
19 even after 48 hours of labeling in phosphate-buffered saline (pH 7.4).

20 **3.5. Biodistribution studies**

21 For the biodistribution study of AST-SLNs, it was administered through intravenous and
22 intranasal route. At different time interval various organs, including the brain, intestine,
23 stomach, kidneys, spleen, liver, lungs, heart, blood was examined and percent activity
24 per gram of organ (% Ag⁻¹) was calculated and shown in Table 4 & 5. It can be clearly
25 seen that the brain levels were higher while blood levels were less after intranasal
26 administration as compared with intravenous route. Also, very large portion of the
27 radioactivity was found in the lungs, liver, spleen, and kidneys through the intravenous
28 route indicating rapid biodistribution, elimination, and the 99mTc-AST-SLN uptake.

1 However, very high radioactivity levels could be detected in the stomach with the
2 biodistribution data that SLNs were effective in increasing the ^{99m}Tc -AST-SLN
3 concentration in the brain. Bio-distribution studies in albino rats showed that 1 h post-
4 administration, brain accumulation of AST-SLNs (i.n.) was found to be 1.70 ± 0.13
5 (more than 200%) as compared to 0.844 ± 0.12 for AST-SLN (i.v.) respectively. Thus
6 Comparative biodistribution data indicate higher drug concentration in the brain was
7 achieved by intranasal ^{99m}Tc -AST-SLN as compared with ^{99m}Tc -AST-SLN (i.v.) and
8 gamma scintigraphy results were concordant with biodistribution data.

9 **3.6. Gamma scintigraphy imaging**

10 In order to visualize brain uptake following intranasal and intravenous administration of
11 the ^{99m}Tc -AST-SLN formulation, gamma scintigraphy was performed 1 h after
12 intranasal and intravenous administration of the ^{99m}Tc -AST-SLN for localization of the
13 ^{99m}Tc -AST-SLN in different organ and tissues of experimental subject, as determined
14 by gamma camera imaging, is shown in Figure 6. Gamma scintigraphy imaging of rats
15 following intravenous and intranasal administration confirmed the localization of the
16 drug in the brain. Thus, the biodistribution pattern seen on non-invasive imaging with
17 ^{99m}Tc -AST-SLN was similar to the radiometric data obtained after sacrificing the
18 animals (Figure 4).

19 **3.7. *In-vitro* evaluation on rat pheochromocytoma (PC12) cell lines**

20 In order to carry out *in vitro* experimentation dose standardization was carried out
21 through MTT assay and on the basis of the result obtained (Figure 5) two doses were
22 selected sequentially viz $5\mu\text{g/ml}$ and $10\mu\text{g/ml}$. Treatment with H_2O_2 led to a significant
23 decrease in viable cells in all three paradigms assessed through MTT assay, while
24 significant protection was observed in cells pretreated with $5\mu\text{g/ml}$ and $10\mu\text{g/ml}$ of AST-
25 SLN .

26 There was an increase of 65% percent viability of PC12 cells of negative control
27 (untreated with AST-SLN) than the positive control (cells treated with H_2O_2 only).
28 Among all tested concentration of AST-SLNs, $5\mu\text{gml}^{-1}$ and $10\mu\text{gml}^{-1}$ showed 94.45 %
29 and 96.21 % cell viability while $25\mu\text{gml}^{-1}$, $50\mu\text{gml}^{-1}$, $100\mu\text{gml}^{-1}$ and 200 showed a

1 reduced cell viability less than 65% by MTT assay. Therefore AST-SLNs concentrations
2 of $5\mu\text{gml}^{-1}$ and $10\mu\text{gml}^{-1}$ were selected for *in-vitro* test.

3 In pretreatment module PC12 cells were treated with AST-SLN formulation for 24 hours
4 following 12 hours of H_2O_2 insult resulted in 86.89 % cell viability with $5\mu\text{gml}^{-1}$ dose of
5 astaxanthin nanoformulation and 96.04 % cell viability with $10\mu\text{gml}^{-1}$ as compared with
6 the only H_2O_2 treated group which resulted in 34.83 % cell viability (Figure 6).

7 In post treatment module PC12 cells were treated with formulation for 24 hours prior to
8 H_2O_2 insult for 12 hours resulted in 42.44 % cell viability with $5\mu\text{gml}^{-1}$ dose of
9 astaxanthin nanoformulation and 55.02 % cell viability with $10\mu\text{gml}^{-1}$ (Figure 6).

10 In co exposure module PC12 cells treated with formulation for 24 hours along with H_2O_2
11 insult for 12 hours resulted in 88.04 % cell viability with $5\mu\text{gml}^{-1}$ dose of astaxanthin
12 nanoformulation and 94.57 % cell viability with $10\mu\text{gml}^{-1}$ (Figure 6).

13 **3.8. Effect on glutathione levels**

14 Effect of astraxanthin formulation on hydrogen peroxide induced alterations in the levels
15 of intracellular GSH concentrations is summarized in Figure 7. Statistically significant
16 decrease ($p<0.01$) in levels of GSH has been observed in comparison to control.
17 Pretreatment with AST-SLN protected intracellular levels of GSH in both $5\mu\text{gml}^{-1}$ and
18 $10\mu\text{gml}^{-1}$ ($p<0.01$). A similar trend of protection has been observed in post treatment
19 module wherein AST-SLN showed therapeutic response upon hydrogen peroxide
20 exposure but less in comparison to the pre treatment module. Significant increase
21 ($p<0.05$) in levels of GHH has been found in groups co exposed with AST-SLN and
22 H_2O_2 with both doses of AST-SLN.

23 **3.9. Effect on lipid peroxidation**

24 AST-SLN formulation showed its antioxidant properties by controlling the damage
25 caused by H_2O_2 in all three paradigms in the study. A significant increase ($p<0.01$) in
26 lipid peroxidation has been observed in the group exposed to H_2O_2 in comparison to
27 control. Exposure to AST-SLN resulted to decrease the enhanced lipid peroxidation
28 levels in pretreatment ($5\mu\text{gml}^{-1}$ ($p<0.05$); $10\mu\text{gml}^{-1}$ ($p<0.05$)), post treatment ($5\mu\text{gml}^{-1}$

1 ($p < 0.05$); $10 \mu\text{gml}^{-1}$ ($p < 0.05$) and co treatment ($5 \mu\text{gml}^{-1}$ ($p < 0.05$); $10 \mu\text{gml}^{-1}$ ($p < 0.05$))
2 groups (Figure 8).

3 **4. Discussion**

4 Regarding the effect of independent variables such as lipid level, drug % and surfactant ratio
5 on the overall responses such as PDI and PS, this study clearly showed that the
6 physiochemical properties of nanoparticles were significantly influenced by these
7 formulation ingredients (Table 2, Figure 1, and Supplementary Figure 1). In most cases,
8 fitting of the second-order quadratic regression models with the experimental data were
9 found to be highly adequate to describe the relationship between the formulation ingredients
10 and the nanoparticles properties satisfactorily ($R^2 > 0.98$). The quadratic effects of lipid
11 concentration, drug % and the ratio of surfactant to co-surfactant, had significant ($p < 0.0001$)
12 effects on all response variables studied.

13 A uniform distribution of radioactivity was observed throughout the body, including the
14 brain, when $^{99\text{mTc}}$ -AST-SLN was administered intravenously, indicating that SLNs could
15 cross the BBB.²⁶ Moreover, intranasal administration further improved the brain uptake of
16 the drug as compared with intravenous route due to direct nose-to-brain delivery, indicating
17 that SLNs through intranasal route have been found to be effective for brain targeting. Thus,
18 the combined results of bio-distribution and gamma scintigraphic imaging studies on $^{99\text{mTc}}$ -
19 AST-SLN conclusively prove that intranasal administration of SLNs is effective for brain-
20 targeted delivery and has tremendous potential for delivery of drugs to the central nervous
21 system.

22 Lipophilic drugs tend to show slow clearance because of their longer retention and wider
23 distribution in the body, while, hydrophilic drugs show rapid clearance from the body.²⁷ Our
24 data indicate that $^{99\text{mTc}}$ -AST-SLN complex showed strong lipophilic characteristics. It
25 rapidly reached the target area and was cleared in a sustained manner. A significant uptake of
26 the $^{99\text{mTc}}$ -AST-SLN antioxidant complex in various major organs can offer high value
27 antioxidant therapy in cancer treatment through its unique antioxidant mechanism. Increased
28 accumulation of the $^{99\text{mTc}}$ -AST-SLN complex in stomach and intestine, because of its
29 lipophilic nature, suggests that the most probable route of excretion of the $^{99\text{mTc}}$ -AST-SLN
30 complex and its metabolites was through the biliary and intestinal excretion.²⁷ However,

1 accumulation of this complex was also observed in the kidneys of the animals, which suggest
2 that the drug complex also get excreted from the renal route. Thus, our study conclusively
3 reports that AST-SLN has a wide spectrum of biodistribution throughout the body which can
4 be attributed to the lipophilic nature of the drug as well as the ability of the astaxanthin solid
5 lipid nanoparticles to cross the blood brain barrier and protect the brain from oxidative stress,
6 could potentially provide valuable support for brain health.

7 Antioxidant potency of natural astaxanthin has been shown to be even better than that of β -
8 carotene, zeaxanthin, canthaxanthin, vitamin C and vitamin E.²⁸ Astaxanthin has a singlet
9 oxygen quenching activity over 500 times greater than that of α -tocopherol,²⁹ as well as a
10 100-fold greater activity than vitamin E in inhibiting lipid peroxidation.³⁰ In recent years,
11 increasing studies on astaxanthin have also revealed such other pharmacological activities in
12 inflammation, cancer and diabetes.²⁸ Astaxanthin has a protective effect in neuronal
13 SHSY5Y cells exposed to oxidative damage.³¹

14 With this background the AST-SLN has been evaluated in *in vitro* paradigm against H_2O_2
15 induced cellular damage in order to justify the utilization of the formulation as therapeutic,
16 prophylactic or as protective medication. Our findings are in accordance with the earlier *in*-
17 vitro studies which suggest that Astaxanthin significantly inhibited apoptosis, mitochondrial
18 abnormalities and intracellular ROS generation in neuronal SHSY5Y cells exposed to
19 oxidative damage.^{31, 32}

20 The neuroprotective effect of AST-SLN could be conferred upon its antioxidant potential
21 and mitochondrial protection³¹ therefore, it is suggested that AST-SLN may be an effective
22 treatment for oxidative stress-associated neuro degeneration.

23 It is evident that tyrosine hydroxylase enzyme has been involved in biosynthesis of
24 catecholamines which is a rate limiting step in the process.³³ Alteration in the level of the
25 enzyme activity might lead to schizophrenia, Parkinson's disease etc.³⁴ H_2O_2 has been
26 shown to modulate the level of tyrosine hydroxylase in PC-12 cells.³⁵ Various mechanisms
27 have been proposed to demonstrate the mechanism of oxygen radical formation and
28 involvement of tyrosine hydroxylase enzyme.³⁶ In context with our present study which
29 focuses on anti-oxidant system and free radical scavenging, proves to be a perfect model to

1 verify the potency of AST-SLN. The result of the present study demonstrates that AST-SLN
2 significantly protects PC-12 cells as well as altering the expression of TH enzyme evaluated
3 in *in vitro* system. These results demonstrate an effective role of AST-SLN on *in vitro*
4 neuroprotective efficacy against H₂O₂ induced cellular injury and its action on the
5 modulation of tyrosine hydroxylase.

6 **5. Conclusion**

7 The AST-SLN has shown a strong neuroprotective effect against oxidative stress in
8 neuronal cell lines. On the other hand, in-vivo model has shown a wide biodistribution
9 pattern of AST-SLN in different organ and tissues which can be further studied for
10 different type of cancer in these organs and tissues. The direct nose to brain delivery of
11 the ^{99m}Tc-AST-SLN has been evident by gamma scintigraphy imaging and radiometric
12 data after sacrificing the animal. These findings substantiate that nanoformulation can be
13 effectively utilized for brain targeting and can offer a protection from various
14 neurological disease conditions. Further AST-SLN can be studied in a neurodegenerative
15 disease animal model to validate the in-vitro results which strongly suggest that
16 astaxanthin can offer neuroprotection from oxidative stress induced cellular damage.

17 **Declaration of conflict of interest**

18 *The authors report no conflicts of interest.*

19 **Acknowledgment**

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1 Tables Legend

2 **Table 1:** Levels of formulation parameters (A) lipid concentration (B) Amount of drug %
3 (C) surfactant ratio used in Box-Behnken's response surface design of astaxanthin solid
4 lipid nanoparticles

5 **Table 2:** Box-Behnken's design with actual and predicted values of particle size and
6 polydispersity index for astaxanthin solid lipid nanoparticles

7 **Table 3:** Analysis of variance of calculated model of astaxanthin solid lipid nanoparticles
8 for particle size and poly dispersity index (PDI)

9 **Table 4:** Bio-distribution of ^{99m}Tc AST-SLN in Wister rats following intranasal
10 administration for 1-24 hours at different time intervals

11 **Table 5:** Bio-distribution of ^{99m}Tc AST-SLN in Wister rats following intravenous
12 injection for 1-24 hours at different time intervals

13 14 Figures Legend

15 **Figure 1:** Three-dimensional (3D) response surface (A, C and E) and contour plots (B, D
16 and F), showing the effects of lipid concentration, drug percentage and surfactant ratio on
17 PDI of the astaxanthin nanoformulation.

18 **Figure 2:** (a) Particle size distribution of prepared astaxanthin solid lipid nanoparticles
19 (AST-SLN). (b) Scanning electron microscopy (SEM) of prepared astaxanthin solid lipid
20 nanoparticles (AST-SLN). (c) Transmission electron microscopy (TEM) of prepared
21 astaxanthin solid lipid nanoparticles (AST-SLN).

22 **Figure 3:** In-vitro release of astaxanthin from the SLN's as a function of time at different
23 time intervals (0-48 hrs) by using dialysis method in phosphate buffer at pH 7.4.

24 **Figure 4:** Scintigraphy image of Wistar rat 1 h after intravenous (a) and intranasal (b)
25 administration of ^{99m}Tc -AST-SLN for localization of ^{99m}Tc -AST-SLN in different
26 organ and tissues of experimental subject.

27 **Figure 5:** Dose standardization of AST-SLN and percentage cell survival by MTT assay.

28 **Figure 6:** Comparative analysis of AST-SLN on H_2O_2 induced oxidative stress in PC12
29 cells.

30 **Figure 7:** Effect of astaxanthin formulation on hydrogen peroxide induced alterations in
31 the levels of intracellular GSH concentrations.

32 **Figure 8:** Effect of astaxanthin formulation on hydrogen peroxide induced alterations in
33 the levels of intracellular lipid per oxidation.

34

Table 1: Levels of formulation parameters (A) lipid concentration (B) Amount of drug % (C) surfactant ratio used in Box-Behnken's response surface design of astaxanthin solid lipid nanoparticles.

Formulation Parameters	Levels		
	-1	0	+1
Lipid Concentration (g100ml ⁻¹)	50	150	250
Amount of Drug (%)	3	8	13
Poloxamer: Lecithin	100:50	200:50	300:50

Table 2: Box-Behnken's design with actual and predicted values of particle size (PS) and poly dispersity index (PDI) for astaxanthin solid lipid nanoparticles

S. No	Lipid Concentration (mg)	% Amount of drug	Ratio of Poloxamer: Lecithin	PS		PDI	
				Actual	Predicted	Actual	Predicted
1	50	3	200:50	174	199.45	0.354	0.581
2	250	3	200:50	1658	1539.25	0.798	0.798
3	50	13	200: 50	182.9	301.65	0.853	0.852
4	250	13	200: 50	1958	1932.55	0.864	0.636
5	50	8	100: 50	377.7	268.4	0.569	0.473
6	250	8	100: 50	1684	1718.9	0.214	0.346
7	50	8	300: 50:	172	137.1	0.569	0.436
8	250	8	300: 50	1548	1657.3	0.468	0.563
9	150	3	100: 50	259	342.85	0.542	0.409
10	150	13	100: 50	1093	1083.55	0.123	0.218
11	150	3	300: 50	729.9	739.35	0.349	0.253
12	150	13	300: 50	578	494.15	0.421	0.553
13	150	8	200: 50	789	682	0.224	0.224
14	150	8	200: 50	584	682	0.224	0.224
15	150	8	200: 50	729	682	0.224	0.224
16	150	8	200: 50	654	682	0.224	0.224
17	150	8	200: 50	654	682	0.224	0.224

Table 3: Analysis of variance of calculated model of astaxanthin solid lipid nanoparticles for particle size and poly dispersity index.

	Size	PDI
Regression		
Sum of square	5192813	0.710103
Df	9	9
Mean squares	576979.2	0.0789
F value	42.56005	2.623971
P	<0.0001	0.1085
Residual		
Sum of square	94897.78	0.210483
Df	7	7
Mean square	13556.83	0.030069
Lack of fit test		
Sum of square	70067.78	0.210483
Df	3	3
Mean squares	23355.93	0.070161
F value	3.762533	-
P value	0.1166	-
Coefficient correlation (r^2)	0.982053	0.771359
Coefficient of variation (CV %)	14.31787	40.69399
Adequate precision value	20.10568	4.770856

Table 4: Bio-distribution of ^{99m}Tc AST-SLN in Wister rats following intranasal injection for 1-24 hours at different time intervals.

Organ	Percent injected dose/gram organ (\pm SEM)			
	1hr	2hr	4hr	24hr
Blood	0.50 \pm 0.04	0.345 \pm 0.05	0.309 \pm 0.03	0.065 \pm 0.002
Heart	0.27 \pm 0.07	0.21 \pm 0.01	0.16 \pm 0.03	0.094 \pm 0.007
Lung	0.48 \pm 0.21	0.35 \pm 0.12	0.31 \pm 0.16	0.055 \pm 0.05
Liver	1.07 \pm 0.39	0.83 \pm 0.26	0.573 \pm 0.17	0.096 \pm 0.06
Spleen	0.41 \pm 0.12	0.335 \pm 0.09	0.21 \pm 0.08	0.043 \pm 0.001
Kidney	0.88 \pm 0.09	0.67 \pm 0.06	0.34 \pm 0.04	0.089 \pm 0.001
Stomach	6.6 \pm 0.68	4.48 \pm 0.6	1.98 \pm 0.22	0.049 \pm 0.003
Intestine	20.06 \pm 1.08	14.84 \pm 0.97	9.02 \pm 0.24	1.49 \pm 0.16
Brain	1.70 \pm 0.13	1.34 \pm 0.11	1.1 \pm 0.17	0.15 \pm 0.005

Data from four rats group expressed as % injected dose/gram organ \pm SEM

Table 5: Bio-distribution of ^{99m}Tc AST-SLN in Wister rats following intravenous injection for 1-24 hours at different time intervals..

Organ	Percent injected dose/gram organ (\pm SEM)			
	1hr	2hr	4hr	24hr
Blood	0.87 ± 0.12	0.67 ± 0.15	0.61 ± 0.09	0.075 ± 0.004
Heart	0.38 ± 0.03	0.31 ± 0.03	0.27 ± 0.01	0.019 ± 0.001
Lung	0.36 ± 0.07	0.29 ± 0.06	0.21 ± 0.02	0.030 ± 0.001
Liver	1.08 ± 0.05	0.91 ± 0.01	0.59 ± 0.08	0.087 ± 0.05
Spleen	0.59 ± 0.06	0.52 ± 0.41	0.31 ± 0.02	0.036 ± 0.003
Kidney	0.78 ± 0.05	0.69 ± 0.10	0.63 ± 0.03	0.006 ± 0.002
Stomach	8.172 ± 1.01	6.5 ± 0.63	3.1 ± 0.56	0.080 ± 0.001
Intestine	7.76 ± 0.60	5.73 ± 0.70	3.98 ± 0.02	0.467 ± 0.27
Brain	0.844 ± 0.12	0.72 ± 0.18	0.61 ± 0.09	0.086 ± 0.08

Data from four group expressed as % injected dose/gram organ \pm SEM

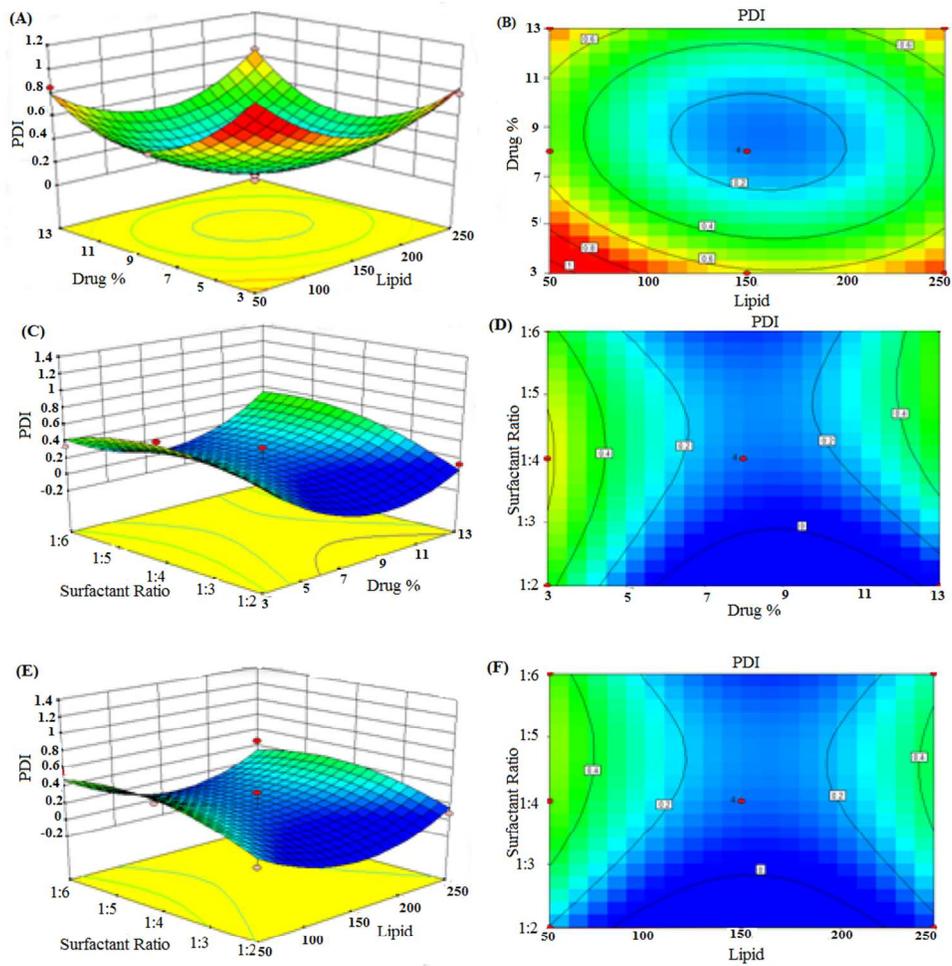


Figure 1: Three-dimensional (3D) response surface (A, C and E) and contour plots (B, D and F), showing the effects of lipid concentration, drug percentage and surfactant ratio on PDI of the astaxanthin nanoformulation.

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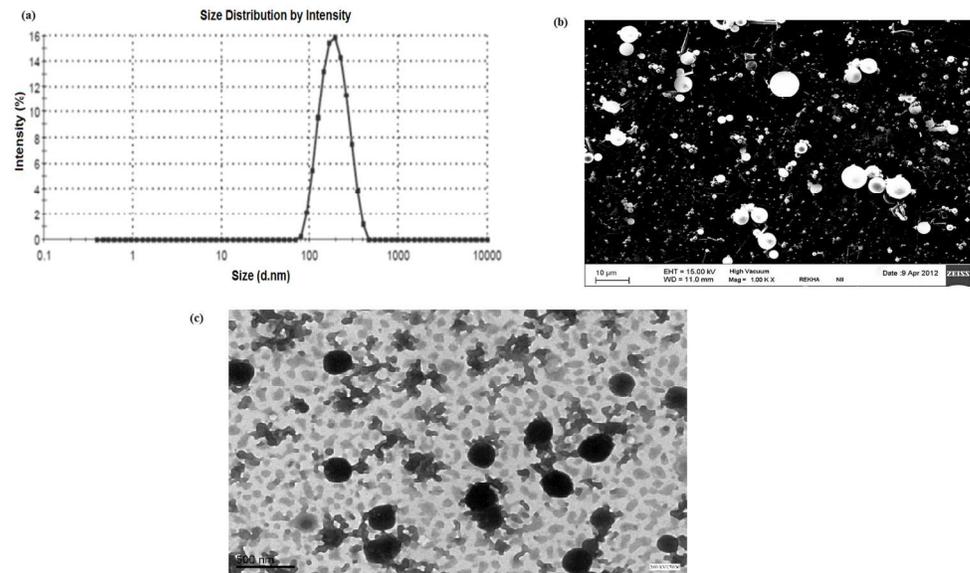


Figure 2: (a) Particle size distribution of prepared astaxanthin solid lipid nanoparticles (AST-SLN). (b) Scanning electron microscopy (SEM) of prepared astaxanthin solid lipid nanoparticles (AST-SLN). (c) Transmission electron microscopy (TEM) of prepared astaxanthin solid lipid nanoparticles (AST-SLN).

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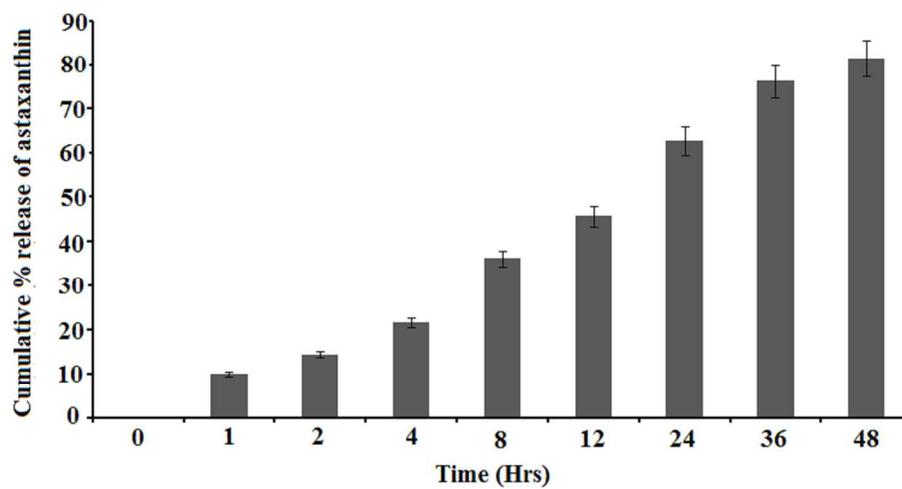


Figure 3: In-vitro release of astaxanthin from the SLN's as a function of time at different time intervals (0-48 hrs) by using dialysis method in phosphate buffer at pH 7.4.

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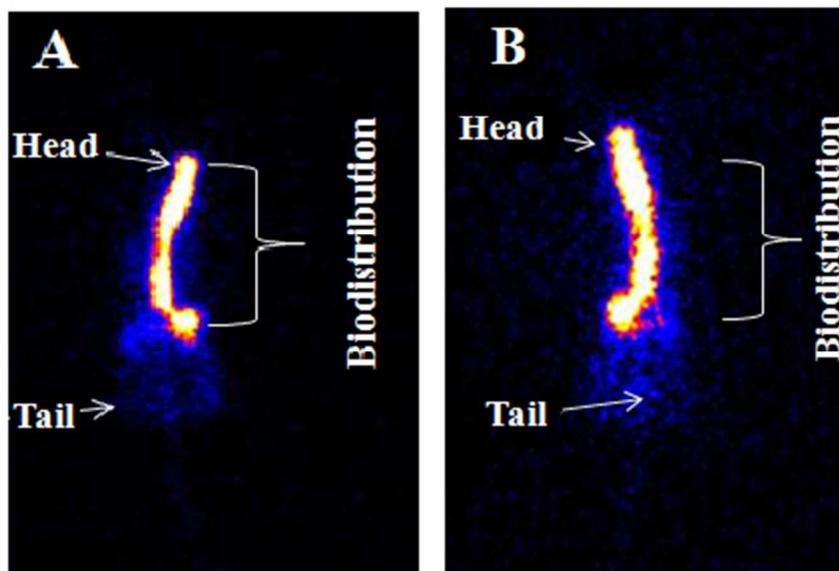


Figure 4: Scintigraphy image of Wistar rat 1 h after intravenous (a) and intranasal (b) administration of ^{99m}Tc -AST-SLN for localization of ^{99m}Tc -AST-SLN in different organ and tissues of experimental subject.

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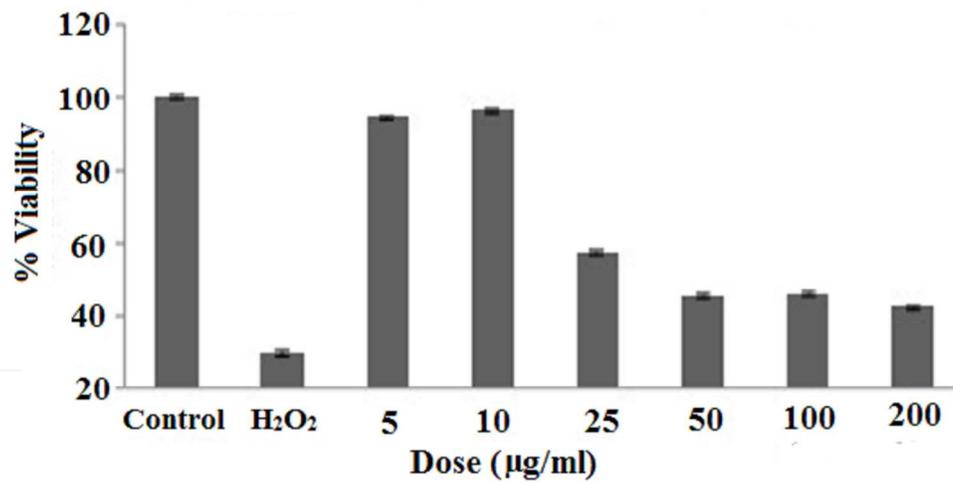


Figure 5: Dose standardization of AST-SLN and percentage cell survival by MTT assay

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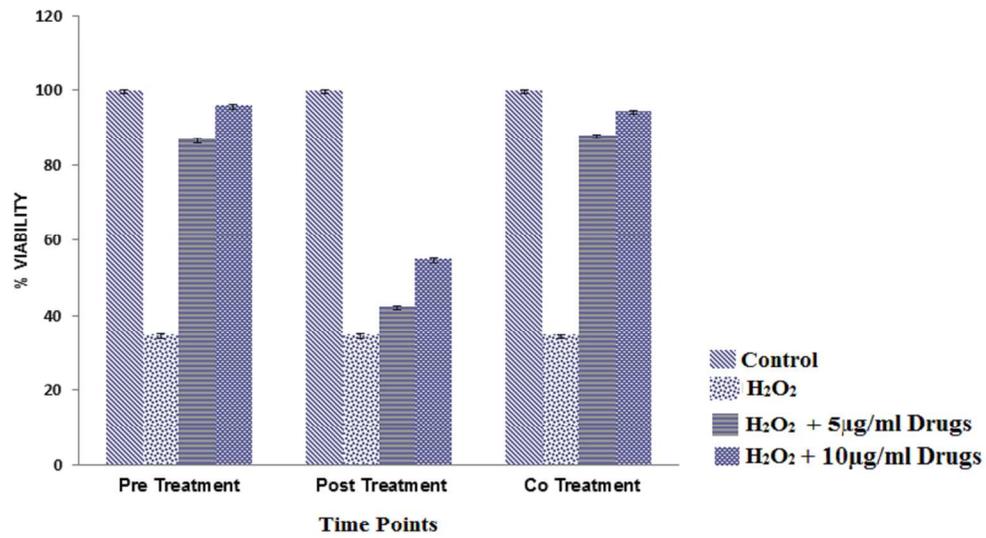


Figure 6: Comparative analysis of AST-SLN on H₂O₂ induced oxidative stress in PC12 cells

430x291mm (96 x 96 DPI)

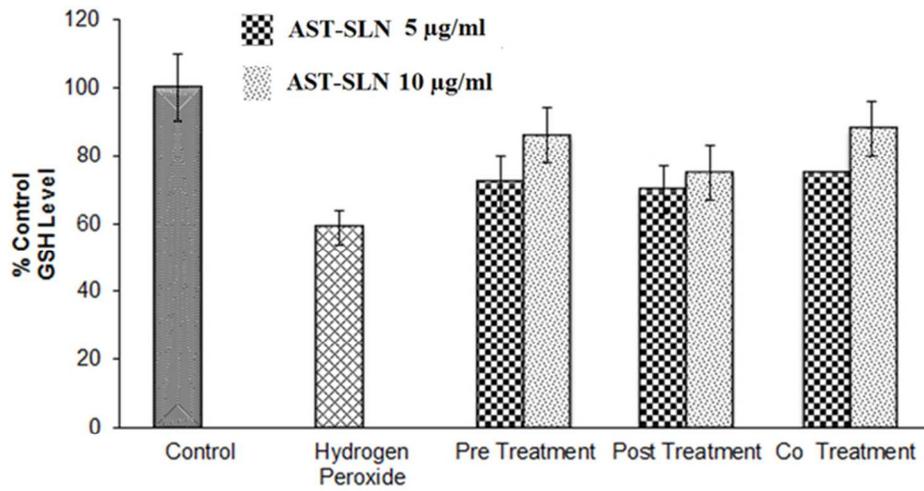


Figure 7: Effect of astaxanthin formulation on hydrogen peroxide induced alterations in the levels of intracellular GSH concentrations.

63x40mm (300 x 300 DPI)

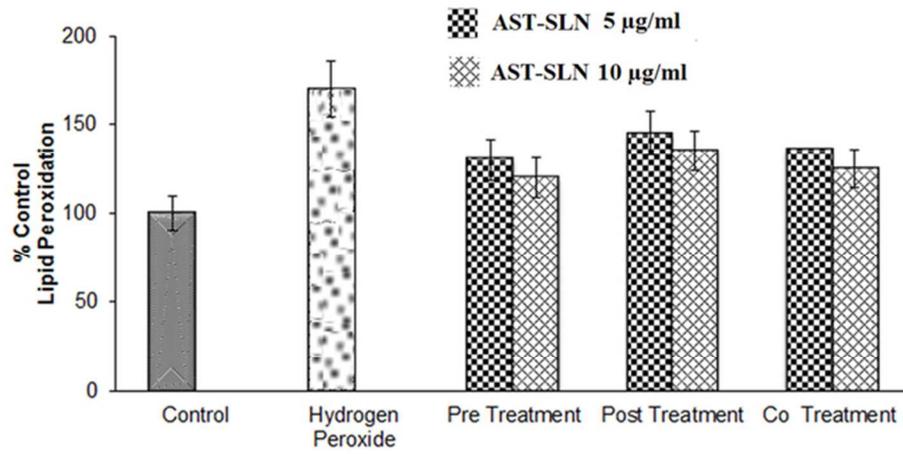
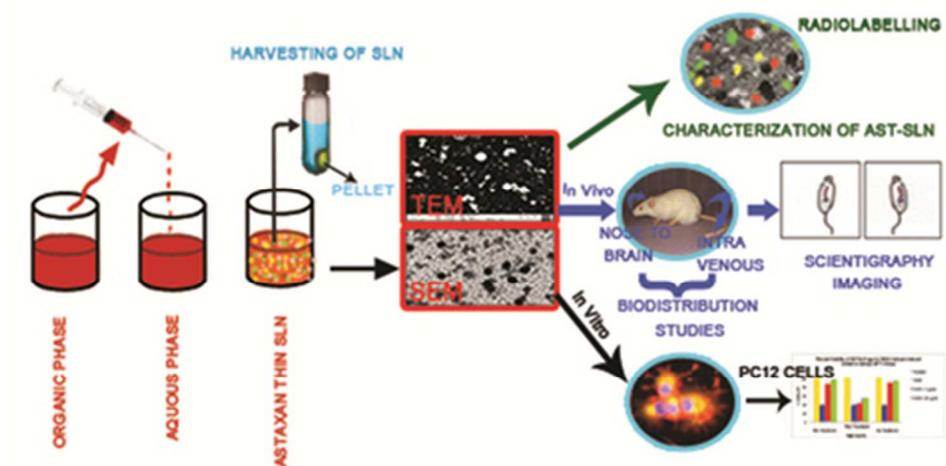


Figure 8: Effect of astaxanthin formulation on hydrogen peroxide induced alterations in the levels of intracellular lipid per oxidation.

63x38mm (300 x 300 DPI)



The prepared astaxanthin nano-formulation was found to be appropriate in all measures and was found to be free of any adverse effects. The formulation showed strong antioxidant activity in Pheochromocytoma cell lines against H₂O₂ induced oxidative stress. Biodistribution and brain delivery of the drug was found to be very promising as compared to the conventional dosage form.

39x19mm (300 x 300 DPI)