



**Metal-based quantum dots: synthesis, surface modification, transport and fate in aquatic environments and toxicity to microorganisms**

Journal:	<i>RSC Advances</i>
Manuscript ID	RA-REV-05-2016-013016.R1
Article Type:	Review Article
Date Submitted by the Author:	02-Aug-2016
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Subject area & keyword:	Biomaterials < Materials

1 **Metal-based quantum dots: synthesis, surface modification, transport**  
2 **and fate in aquatic environments and toxicity to microorganisms**

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21 **Abstract:** Semiconductor quantum dots (QDs) have raised great attention for their  
22 superiorly optical properties and wide utilization in biological and biomedical studies.  
23 Recently, intense concerns have been focused on the cytotoxicity assessment of QDs  
24 since most QDs are made of heavy metal ions (e.g.,  $\text{Cd}^{2+}$ ) which pose a threat to  
25 human beings and at the same time hamper their practical applications. This review  
26 provides an overview of the synthetic methods, surface modification, dissolution  
27 mechanism and cytotoxicity of core-shell QDs. Accordingly, how the polymer coating  
28 materials and environmental conditions affect the dissolution kinetics of  
29 polymer-coated core-shell QDs are discussed in sufficient details. For offering  
30 systematic analysis of the cytotoxicity of QDs to microorganisms, correlative factors  
31 such as particle size, surface coating materials, photolysis and oxidation, charge,  
32 concentration, exposure time and mechanical stability are taken into consideration  
33 with respect to their toxicity mechanism. Future research will concentrate on  
34 toxicological and pharmacological studies of QDs to find new strategies with lower  
35 risk and higher benefits for public health, providing a unique technique for  
36 nanopharmaceuticals application.

37 **Keywords**

38 Quantum dots; Surface modification; Transport; Dissolution; Cytotoxicity; Reactive  
39 oxygen species

40

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## 42 1. Introduction

43 A variety of engineered nanoparticles (ENs), such as carbon nanotubes, quantum  
44 dots (QDs) (e.g., CdS, CdSe, and CdSe/ZnS), metal-containing nanoparticles (e.g.,  
45 ZnO, Ag, and TiO<sub>2</sub>), dendrimers, and fullerenes have been extensively used in lots of  
46 consumer goods, including detergents, printings, paints, cosmetics, bactericides,  
47 coatings, computer electronics, sunscreens, tires and drug delivery systems.<sup>1-5</sup> QDs,  
48 also known as semiconductor crystals with outstanding photophysical properties, are a  
49 class of inorganic fluorophores that increasingly used in medical imaging and  
50 industry.<sup>6,7</sup> Recent studies showed that QDs have a great potential in promoting the  
51 applications of image sensor.<sup>8-10</sup> The main unique properties of QDs are: (i) narrow  
52 emission spectra, which can be controlled by varying the core size; (ii) broad  
53 absorption spectra, which allow for excitation by a wide range of wavelengths; (iii)  
54 high quantum yield and photostability.<sup>11</sup> In spite of their growing popularity and  
55 widespread use, the impacts of these materials on human health and environments are  
56 poorly understood.<sup>12-14</sup>

57 QDs have highly stable “size-tunable” fluorescence since their  
58 photoluminescence emission band is easily adjustable from the UV to the IR  
59 regions.<sup>15</sup> These properties of QDs prepared by binary alloys have been acquired by  
60 using distinct synthesis routes with a strict control of the constituent material, shape,  
61 size, and surface chemistry.<sup>16,17</sup> For example, the colloidal chemistry method is the  
62 common route to synthesize QDs since the nanocrystals’ surface could be  
63 functionalized during the produce process. This process enables nanocrystals ability to

64 interact with selected species, providing narrow size distribution as well as high  
65 luminescence efficiency.<sup>3,18</sup> Moreover, the QDs should also be stabilized by some  
66 materials to prevent the agglomeration while they are dispersed in a solvent. Because  
67 the QDs are very hydrophobic since many nonpolar surfactant molecules are located  
68 on the QDs' surface. Therefore, it is of significant importance to find appropriate  
69 ligand materials for the surface modification of QDs. This could not only affect the  
70 nanocrystals solution properties but also limit their potential use. Meanwhile, the  
71 selective ligand materials on the surface of QDs play a key role in the shaping of  
72 nanocrystals.<sup>9</sup> For example, the ligand materials can control the particle size and size  
73 distribution during the QDs synthesis as well as nanocrystals structure and  
74 stability.<sup>16,19-22</sup>

75 With the rapid development in commercial and biomedical applications, QDs  
76 may eventually enter the environment.<sup>23-25</sup> The residual QDs may release toxic metal  
77 ions to the environment during the weathering process, exhibiting toxicity to  
78 *Chlamydomonas reinhardtii*,<sup>26</sup> bacteria,<sup>27,28</sup> macroinvertebrate,<sup>29</sup> and even human  
79 being. Therefore, it is of great importance to understand the environmental transport  
80 and fate of QDs.<sup>30,31</sup> Meanwhile, the systematic cytotoxicity assessment of QDs is  
81 also necessary for their practical biological and biomedical applications. To date, a  
82 large number of studies on cytotoxicity of QDs have been carried out.<sup>32-36</sup> For  
83 example, Derfus et al.<sup>32</sup> demonstrated that the surface oxidation of QDs released free  
84 Cd<sup>2+</sup>, which directly correlated with cell death. Parak et al.<sup>36</sup> reported that except for  
85 the release of Cd<sup>2+</sup>, the QDs precipitation on cell surface could also damage cells.

86 They suggested that QDs presented lower cytotoxicity while QDs only existed in the  
87 medium surrounding cells other than ingested by cells. Further, several published  
88 reports indicated that QDs could generate reactive oxygen species (ROS), which were  
89 cytotoxic and genotoxic.<sup>31,33,34,37,38</sup> For instance, in Green and Howman's study,<sup>33</sup> they  
90 speculated that DNA damage occurred because the shell ZnS was oxidized to generate  
91  $\text{SO}_2\cdot^-$ , which then generated superoxide and hydroxyl radicals. Ipe et al.<sup>37</sup> also  
92 reported the similar results: irradiated CdS QDs generated superoxide and hydroxyl  
93 radicals, and irradiated CdSe QDs generated hydroxyl radicals. Thus the release of  
94  $\text{Cd}^{2+}$  and the oxidative stress induced by ROS could function as a mechanism of QDs  
95 cytotoxicity.<sup>39-43</sup> However, the dissolution kinetics and mechanisms of QDs have not  
96 been systematically investigated yet. Moreover, the environmental conditions and the  
97 inherent physicochemical characteristics as the significant factors in assessing the  
98 QDs' toxicity also have not been well documented.

99 The aims of this article were to overview and highlight recent works on transport  
100 and fate of QDs in aquatic environments and evaluate its toxicity to microorganisms.  
101 The effects of environmental factors (e.g., light, pH, dissolved oxygen, ionic strength,  
102 natural organic matter, and extracellular polymeric substances) and polymer coating  
103 on the dissolution kinetics of polymer-coated core-shell QDs were summarized.  
104 Finally, we also discussed the QDs' cytotoxicity to microorganisms by analyzing  
105 particle size, surface coating materials, photolysis and oxidation, charge,  
106 concentration, exposure time, and mechanical stability. To the best of our knowledge,  
107 it is the first time to discuss the effects of polymer coating and environmental factors

108 on dissolution kinetics of core-shell QDs in aquatic environment, as well as its  
109 cytotoxicity to microorganisms. The current knowledge of cadmium nanoparticle  
110 pharmacology and toxicology points out the directions for future research. Focus will  
111 be placed on toxicological and pharmacological studies of QDs to find new strategies  
112 with lower risk and higher benefits for public health, providing a unique technique for  
113 nanopharmaceuticals application.

## 114 **2. Synthesis of quantum dots**

115 In nanotechnology, cadmium is primarily utilized in the construction of  
116 nanoparticles such as QDs, which are semiconductor metalloid-crystal structures.<sup>44-46</sup>  
117 Due to their small size, QDs have unique electronic and optical properties which  
118 impart the nanoparticle with highly stable “size-tunable” fluorescence. The large  
119 surface area also makes QDs readily to be functionalized with targeting ligands for  
120 site-directed activity. Based on these properties, QDs own the potential to innovate  
121 cancer detection and treatment, biological imaging at the cellular level.<sup>7,44,46-49</sup>  
122 However, fanaticism for QDs is somewhat diluted by the fact that QDs contain  
123 substantial amounts of cadmium in a highly reactive form while we know little about  
124 the health risks when exposed to cadmium nanoparticles.<sup>39,40,45</sup>

125 In the 1980s, CdSe QDs were prepared by top-down techniques such as  
126 lithography. However, size variations, poor optical properties, crystal defects, and  
127 poor reproducibility of such QDs made them inappropriate for advanced  
128 applications.<sup>50</sup> QDs were very hydrophobic since the nanocrystals were capped with

129 nonpolar surfactant molecules, and these nonpolar aliphatic chains were located on  
130 the QDs' surface.<sup>15,51</sup> Murray et al.<sup>18</sup> introduced the currently widespread synthesis of  
131 QDs by the injection of organometallic precursors into trioctylphosphine (TOP) and  
132 trioctylphosphine oxide (TOPO) surfactants at high temperature (190–320°C). The  
133 hydrophobically coated CdS, CdSe, and CdTe QDs could be prepared by pyrolyzing  
134 organometallic precursors of cadmium (dimethyl cadmium) and selenium in a mixture  
135 coordinating solvent composed by TOP and TOPO.<sup>50</sup> Peng et al.<sup>52</sup> indicated that the  
136 existence of small amounts of impurities in the TOPO (essentially phosphinic acids  
137 and alkyl phosphonic) may inhibit the growth of particles. However, adding a certain  
138 amount of compounds such as hexylphosphonic acid (HPA) in the reaction medium  
139 will make the QDs' size homogeneously distributed while the growth of QDs was  
140 inhibited.<sup>52</sup> Afterwards, dimethyl cadmium was displaced by other less toxic, no  
141 pyrophobic, and more superior cadmium precursors such as myristate,<sup>53</sup>  
142 acetylacetonate,<sup>54</sup> and oxide.<sup>55</sup> Therefore, size-tunable photoluminescence (PL) and  
143 better quantum confinement of colloidal QDs were obtained through this method  
144 which attracted many researchers. Another more ancient method, Ostwald ripening,  
145 which resulted from the gradual dissolution of smaller QDs and the formation of  
146 larger ones, was managed by separating the spontaneous nucleation process from the  
147 relatively slow nanocrystal growth process. The primary advantage of this method is  
148 that the size-tunable QDs could be obtained by selecting an injection and growth  
149 temperature.<sup>56,57</sup> But the complicated procedure of the method makes it less utilized.

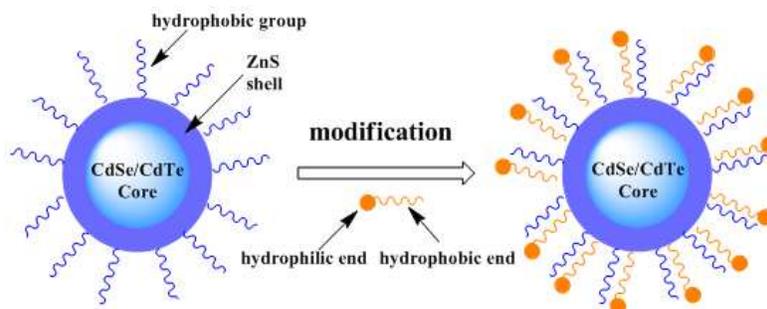
150 The colloidal preparation of CdSe nanocrystals which employs the TOP/TOPO

151 and high temperatures system is one of the most extensive and wrought methods, and  
152 the so-synthesized QDs have been extensively characterized. However, the aqueous  
153 synthetic methods have been proposed to employ lower temperatures and aqueous  
154 systems.<sup>15,58</sup> These strategies are essentially based on the utilization of different zinc  
155 or cadmium inorganic salts and sodium hydrogen selenide or sodium sulphide  
156 precursors, both of which could dissolve in water. Thiol-containing amino acid  
157 cysteine is currently applied as coating agents in this kind of methodology owing to  
158 its high solvation ability. The thiol groups are stabilized to the QDs surface which the  
159 amino acid groups are oriented to the exterior of QDs surface, providing a net charge  
160 for the dissolution of QDs in aqueous solution.<sup>59</sup> Many other coating materials can  
161 also be applied for the synthesis of QDs, such as polyphosphates,<sup>60</sup> poly  
162 (N-vinyl-2-pyrrolidone),<sup>61</sup> 1-thioglycerol,<sup>60,62</sup> thyglycolic acid (TGA),<sup>63</sup> and  
163 3-mercaptopropionic acid.<sup>64,65</sup> Meanwhile, the secondary coating materials such as  
164 polyethylene glycol (PEG) and mercaptopropionic acid are applied to further improve  
165 the solubility of QDs, preventing the aggregation. Such coating materials can be  
166 further conjugated with targeting molecules such as receptor ligands and antibodies,  
167 making the QDs a preferential target to a specific organ or tissue.<sup>17,46,66,67</sup> The  
168 purification of QDs is usually obtained through the precipitation with ethanol or  
169 methanol, centrifugation, and removal of the supernatant which mainly contains  
170 unreacted precursors and other impurities. Some researchers used the size-selective  
171 precipitation method by which small amounts of polar solvents (acetone, ethanol, and  
172 2-propanol) were employed to precipitate polydisperse mixtures of CdS QDs.

173 Repeated the procedure until monodisperse fractions were obtained.<sup>62</sup> The dialysis is  
174 preferred to overcome the difficulties in QDs' dispersion, especially in the aqueous  
175 synthesis of polyphosphate-capped CdS QDs.<sup>60</sup>

### 176 2.1. Structure of quantum dots

177 QDs are made up of a metalloid crystalline core and a shell. The shell serves as a  
178 shield for the core and enables the bioavailability of QDs (Fig. 1). QDs' cores usually  
179 consist of various metal complexes such as magnetic transition metals,  
180 semiconductors, and noble metals.<sup>7,68</sup> Therefore, decorating the QDs' cores with a  
181 layer of protecting shells has been widely encouraged. Additionally, the ZnS shell  
182 layer presented more positive effects than other capping materials since it could: (i)  
183 decrease the Cd toxicity by restricting the dissolution of free ions; (ii) prevent the  
184 CdSe core from oxidation; (iii) recombine the surface defects of core; and (iv)  
185 enhance the photostability. Simultaneously, the size of QDs' core is unchanged while  
186 the ZnS shell layer is directly growing on the cores' surface, thus the luminescence  
187 characteristics of QDs are mainly reserved and only a tiny shift (less than 5 nm) in the  
188 fluorescence maximum wavelength is detected.<sup>15</sup>



189

190 **Fig. 1.** The structure of a representative QDs, the core, shell, and targeting ligands.

191 Further assignation of functional groups or biocompatible coatings can give the  
192 core-shell QDs a desired bioactivity.<sup>69</sup> Newly synthesized QDs are inherently  
193 hydrophobic without biological use due to a hydrophobic capping on the metalloid  
194 cores' surface during their synthesis in organic solvents.<sup>70</sup> Generally, the newly  
195 synthesized QDs are usually functionalized or given secondary coating materials to  
196 improve their water solubility, core durability, and suspension characteristics,  
197 rendering the biologically compatible ability.<sup>70-72</sup> For instance, QDs' core can be  
198 capped with hydrophilic polyethylene glycol (PEG) groups to endow QDs good  
199 biocompatibility and dispersity in aqueous solution, and it can also be further  
200 conjugated with bioactive compounds to target cellular structural features or specific  
201 biologic events.<sup>73,74</sup> Hence, bonding with various molecular entities can functionalize  
202 QDs' cores for specific therapeutic or diagnostic purposes. The functionalization  
203 methods generally include electrostatic interactions, covalent bonding, and  
204 multivalent chelation in consideration of QDs' stability/durability and in vivo  
205 reactivity.

## 206 *2.2. Concentration of quantum dots*

207 Due to the unquantifiable number of ligand molecules that conjugated to QDs,  
208 the concentration of QDs after the colloidal preparation process is hard to ascertain by  
209 elemental composition or gravimetric methods. To this end, Peng's group put forward  
210 empirical equations to reckon the extinction coefficients for CdS, CdSe, and CdTe  
211 QDs, therefore the concentrations of these QDs could be readily determined by the

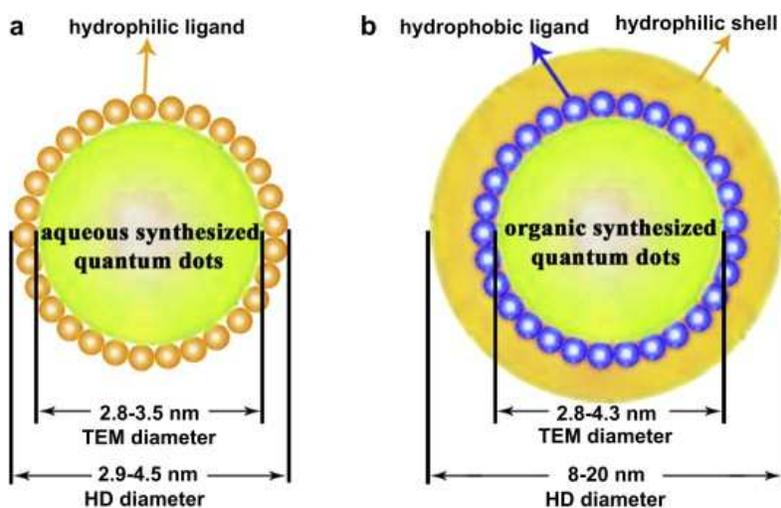
212 Lambert–Beer’s law.<sup>22,52,55</sup> But for the water soluble QDs, the empirical equations had  
213 no availability since the spectrum was not only influenced by the applied coating  
214 materials, but also by the ionic strength and acidity of the working environment.  
215 Alternative optimal method has been currently provided for the calculation of the  
216 QDs’ concentration in aqueous solution, such as the phage-based assays to observe  
217 mercaptoacetic acid-capped CdSe/ZnS QDs<sup>75</sup> and the single-particle counting of  
218 streptavidin-capped CdSe/ZnS QDs.<sup>76</sup>

### 219 **3. Surface modification**

220 As stated earlier, the high surface energy of the crystalline nanoparticles can  
221 result in surface defects that quench the fluorescence properties of exposed QDs.<sup>77-79</sup>  
222 In addition, exposed QDs may suffer photochemical degradation and surface  
223 oxidation, and leach metal ions after long term exposure to ionic media or cellular  
224 media then result in metal ions toxicity.<sup>80-82</sup> Therefore, it is necessary to cap the  
225 surface of QDs’ core with stable materials to reduce its high reactivity and surface  
226 defects. ZnS is usually used as a capping material to increase the stability of QDs core  
227 and enhance the quantum yield at room temperature.<sup>54</sup>

228 The QDs can be prepared by aqueous phase synthesis or the organometallic route.  
229 In the former case the QDs can be obtained under normal atmospheric conditions  
230 without special requirements of equipment. High temperature thermal decomposition  
231 of organometallic compounds is a well-confirmed method for the preparation of QDs.  
232 This method is carried out with the absence of oxygen and water to make the

233 organometallic compounds decomposed into a non-aqueous media at high  
234 temperature.<sup>83</sup> Organic QDs possess distinctly different surface properties as  
235 compared to aqueous QDs. The surface of organic QDs is covered with a large  
236 amount of hydrophobic ligand molecules (e.g., TOP/TOPO) while the aqueous QDs'  
237 surface is capped by hydrophilic molecules (e.g., 3-mercaptopropionic acid, MPA).  
238 Therefore, the organic QDs have to receive additional surface modification to enhance  
239 its water-dispersibility while the aqueous QDs are inherently water dispersible  
240 without any surface modification.<sup>84</sup> As shown in Fig. 2. The surface modification  
241 could usually significantly enhance the hydrodynamic diameter of QDs as detected by  
242 dynamic light scattering (DLS). Consequently, organic QDs and aqueous QDs are of  
243 similar particle sizes as determined by transmission electronic microscopy (TEM),<sup>85</sup>  
244 the hydrodynamic diameter of surface modified organic QDs are larger than 5.0 nm  
245 while aqueous QDs typically possess small hydrodynamic diameter (less than 5.0  
246 nm).<sup>85-87</sup>



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**Fig. 2.** Schematic characteristics of aqueous synthesized QDs with hydrophilic ligands and organic synthesized QDs with hydrophobic ligands.<sup>85</sup>

250           The polarity of the medium which applied to disperse QDs could strongly  
251 influence the QDs' luminescent properties as it directly determines the stability of  
252 surface capping ligands of QDs.<sup>88</sup> It is decisive for QDs to maintain their ability and  
253 optical properties during transferring into a polar medium to interact with target  
254 analytes. Thus ligand exchange is the usual method that employed to replace the  
255 hydrophobic capping ligands on the QDs' surface. To this end, the most widely used  
256 capping ligands are thiol-based species, such as L-cysteine or glutathione (GSH) and  
257 mercaptoacetic acid (MAA) or 3-mercaptopropionic acid (MPA). Usually, the  
258 exchange of the original hydrophobic capping ligands may induce the generation of  
259 poor-stability QDs and dramatically reduce the luminescence quantum yields.<sup>89</sup>  
260 Another strategy to promote the solubility of QDs in aqueous media is encapsulation,  
261 thereby avoiding ligands exchange.<sup>90</sup> Encapsulation is usually carried out in polymer  
262 layers or silica shells to protect QDs' cores efficiently with optical properties and  
263 original hydrophobic coating layers unchanged.<sup>91</sup> The two encapsulation methods  
264 present different advantages: the polymer layers could incorporate multifarious  
265 functionalities on the QDs' surface, and then enhance their interaction with target  
266 analytes while the silica shells are chemically inert. Amphiphilic polymers such as  
267 calixarenes, cyclodextrins, and other similar organic cyclic species are the most  
268 widely employed polymers in the synthesis.<sup>92,93</sup> In addition, the polyethylene glycol  
269 (PEG) derivatives, which are commercial available and simplicity for encapsulation,  
270 become another popular material used for the QDs' synthesis. The only drawback of  
271 micelle encapsulation is that not all of the nanoparticle sizes are suitable for

272 encapsulation.<sup>94</sup>

### 273 *3.1. Inorganic surface*

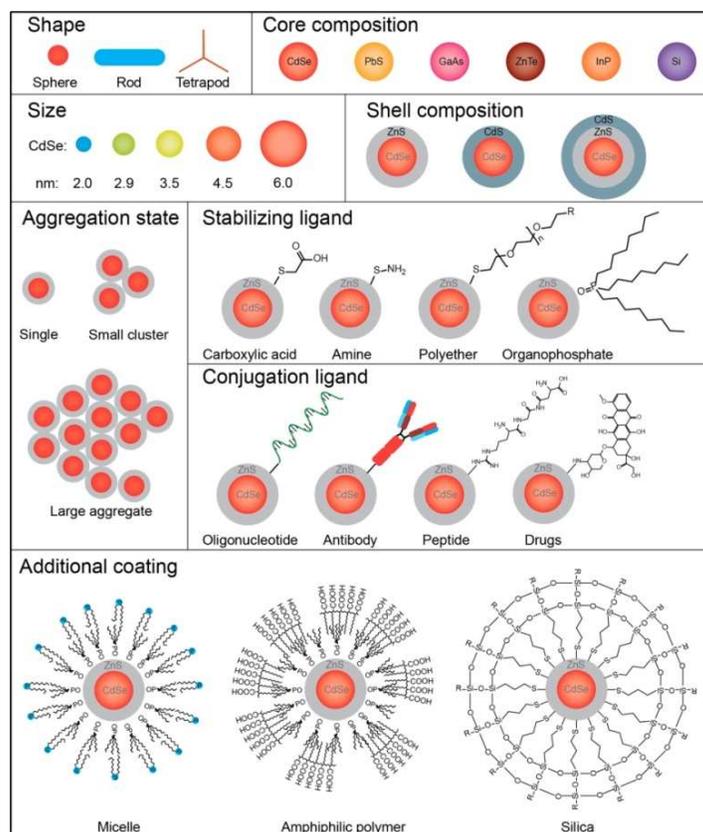
274 Most of the binary QDs cannot meet the obligatory band gap and band alignment  
275 demands due to the lattice mismatch between the shell and the core, thus an overall  
276 coating for the QDs is necessary. Inorganic surface modification of QDs can establish  
277 a multilayer semiconductor heterogeneous system with relative conduction band and  
278 valence band. The main advantage of such a heterogeneous system is that it could  
279 provide extraordinary photoluminescence, higher quantum yield, increased half life  
280 time, enhanced optical properties, better structural properties and improved stability  
281 towards photo-oxidation. If an inorganic semiconducting layer is provided over the  
282 core-shell QDs and its band gap is higher than that of the shell, the particle is called a  
283 quantum dot quantum well (QDQW).<sup>95,96</sup> Core-shell structured nanoparticles combine  
284 favorable properties of the magnetic core with a protective polymer, gold, silica,  
285 carbon or metal oxide shell. These coating materials may not only protect the  
286 chemical-active metal core from acid erosion and oxidative degradation but also be  
287 responsible for further surface modification.<sup>97</sup> Coating the surface of nanoparticles  
288 with an amorphous silica layer is called silanization. As shown in Fig. 3. Surface  
289 silanization renders QDs biocompatible for cancer diagnosis and therapy. Replacing  
290 the surface ligand with a thiol-derived silane such as mercaptopropyltris silane is the  
291 first step of surface silanization. The trimethoxysilane groups can be well cross-linked  
292 by the formation of siloxane bonds. During further growth of the shells, other types of

293 silicon can also be added to provide functional groups and different charge on the  
294 QDs' surface. Generally, the additional materials that used frequently are  
295 phosphor-silanes, aminopropyl-silanes, and polyethylene glycol silanes. Silanized  
296 QDs are extremely steady since the silica shells are highly cross-linked.<sup>74</sup> In addition,  
297 the electrochemical properties of silica make it a perfect material to improve the  
298 solubility of QDs in aqueous media.<sup>74</sup> Apart from silica, other metals and metal oxides  
299 can also be employed as shell materials. For example, gold as a shell material has  
300 been widely studied by many researchers.<sup>65,98,99</sup> Wang et al.<sup>100</sup> successfully  
301 synthesized Fe<sub>3</sub>O<sub>4</sub>@PAH@Au multifunctional QDs, which presented both magnetism  
302 and near-infrared absorption. Xuan et al.<sup>99</sup> also reported Fe<sub>3</sub>O<sub>4</sub>@PANI@Au  
303 multifunctional QDs with well-defined core-shell structures, optical property,  
304 magnetic separability, and catalytic activity. On the other hand, the gold could also  
305 endow the QDs with biocompatibility through the modification of thiol/amine  
306 terminal groups. When the core is composed of a polymer or different copolymers, an  
307 inorganic surface modification could be applicable. Coating the polymeric core with  
308 an inorganic shell is greatly beneficial to QDs' mechanical strength, thermal and  
309 colloidal stability, as well as the resistance ability against oxidation and corrosion.  
310 Meanwhile, these particles also present perfectly polymeric properties such as  
311 flexibility, toughness, and excellent optical properties.

### 312 *3.2. Organic surface*

313 The QDs produced by colloidal synthetic method are mostly hydrophobic and

314 could only dissolve in non-polar solvents such as toluene or chloroform. Nevertheless,  
315 almost all the biological applications of QDs demand the aqueous conditions, thus a  
316 direct modification on the QDs' surface to improve the water solubility without  
317 altering the cores' properties is necessary. For this purpose, water-soluble QDs are  
318 obtained by introducing functional groups (hydroxyl, carboxyl, or amino) over its  
319 surface to achieve a total net charge. Additionally, the surface modification makes  
320 QDs more convenient to conjugate with biomolecules.<sup>15,101-103</sup> In general, the usual  
321 method for organic surface modification is to coat the QDs with thiolate ligands  
322 during the growth period. As shown in Fig. 3. Mercaptoacetate, thioglycerol,  
323 2-mercaptoethanol, 1,4-dithiothreitol, cysteine, glutathione, and methionine have been  
324 applied as capping ligands. Amines like n-butylamine, n-hexylamine, and  
325 hexadecylamine have also been applied in conjugating with TOP and TOPO.<sup>74</sup>



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327

**Fig. 3.** Schemes of different QDs surface modification methods. An additional coating

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can further protect the QDs core from oxidation. Surface chemistry influences the

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QDs propensity to aggregate, particularly in biological solutions.<sup>104</sup>

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Ligand exchange occurred during the substitution process of hydrophilic ligands

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for native hydrophobic ligands through mass action.<sup>105,106</sup> Generally, these substituting

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ligands possess bifunctional groups: a) thiols ( $-\text{SH}$ ) to bind the ZnS shell on the QDs'

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surface; b) hydroxyls ( $-\text{OH}$ ), carboxyls ( $-\text{COOH}$ ), and amines ( $-\text{NH}_2$ ) to enhance the

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water solubility and provide secondary conglutination for biomolecules such as

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antibodies, proteins or drugs.<sup>105,107</sup> The main advantage of these ligands is that they

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can effectively prevent the QDs from aggregation and at the same time passivate

337

surface defects, ensuring the quantum yield.<sup>108-110</sup> Organic ligands, which can be

338 replaced by water soluble ligands through simple mass action, could provide excellent  
339 stability and solubility for QDs to cooperate with organic non-coordinating  
340 solvents.<sup>110</sup> Evidences showed that the ligands on QDs' surface are in a dynamic  
341 equilibrium with the native ligands in solvent, thus these two kinds of ligands could  
342 substitute for each other under the equilibrium conditions.<sup>111</sup> In general, the ligand  
343 exchange can be proceeded by increasing the local probability of replaceable ligands  
344 through supplying more replaceable ligands in the solution than the existing ligands  
345 when the surface affinity of the replaceable ligands is low.<sup>112</sup>

346 The QDs' surface can also be encapsulated by TOP/TOPO ligands with  
347 amphiphilic phospholipids or polymers which could unite both hydrophilic groups  
348 and hydrophobic alkyl chains (Fig. 3). Under the circumstances, non-specific  
349 hydrophobic interactions are competent for linking the alkyl chains, including the  
350 phosphine ligands and the phospholipid/polymer, while the polar functional groups  
351 located outside provide water solubility for QDs. The amphiphilic polymers are  
352 usually applied on the base of a polyester backbone (maleic anhydride) with a  
353 hydrophobic alkyl chain, including dodecyl,<sup>113</sup> octadecane,<sup>114</sup> and tetradecene.<sup>115</sup>  
354 These polymers wrap the QDs' surface by forming an amine-type cross-linker like  
355 hexamethylene triamine. Other polymer coating compounds such as alginate,  
356 polyvinyl pyrrolidone, and chitosan, also have been applied to produce water-soluble  
357 and less toxicity QDs.<sup>15</sup>

358 Several researches have demonstrated that the stabilization of QDs through  
359 ligand exchange, covalent modification and other chemical surface modification

360 showed several drawbacks: (i) Small ligand with one head group attached to the QDs  
361 surface can easily be released and influence the stabilization process, especially when  
362 excessively unbound ligands exist in the suspension; (ii) The thiol-containing ligands  
363 can bind strongly to QDs, but it should be carefully selected on the basis of the core  
364 material.<sup>74,116</sup> It has been well established in a variety of reports that using  
365 multifunctional ligand molecule to modify QDs could not only improve their water  
366 solubility but also enhance the stabilization effect.<sup>116,117</sup> Interestingly, owing to the  
367 various bonding points on the particle surface, the amphiphilic molecules could avoid  
368 facile desorption of the polymer molecule during the modification of QDs. For  
369 instance, the amphiphilic coating could interlink the amphiphilic molecule with its  
370 hydrophobic ligand groups by hydrophobic interaction which neither depends on the  
371 type of ligand molecule nor exacts material composition (Fig. 3). Such observations  
372 are mainly based on hydrophobic interaction between hydrocarbon chains and the  
373 polymer molecules. Meanwhile, the amphiphilic molecules coated on QDs' surface  
374 exhibit the same physicochemical surface properties as the independent of core  
375 material.<sup>74,116</sup>

376 Core-shell QDs are more desirable for biological applications as the shell could  
377 enhance their fluorescent properties and decrease the leaching ability.<sup>118</sup> The ligand  
378 functional group, which has the electron donating and withdrawing ability, can induce  
379 trapping effects on the QDs' surface.<sup>118</sup> CdSe/ZnS-ssDNA fluorescent dye conjugates  
380 were applied as bioprobes by Huang et al.<sup>119</sup> to detect micrococcal nuclease with high  
381 sensitivity and specificity. Furthermore, water-soluble encapsulation CdTe/ZnS QDs

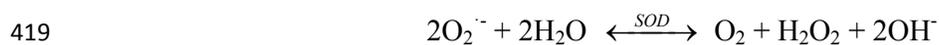
382 were also served as a pH probe for tiopronin determination<sup>120</sup> and enzyme kinetics.<sup>121</sup>  
383 One-step DNA functionalization on QDs or core-shell QDs synthesis in aqueous  
384 media was reviewed by Samanta et al..<sup>122</sup> The polydentate-phosphine coating QDs  
385 have been employed in cancer diagnosis<sup>123</sup> for large animals through imaging.  
386 Additionally, capped InP/ZnS QDs have also been applied to cellular imaging.<sup>124</sup>

#### 387 **4. Environmental conditions for transport and fate of quantum dots** 388 **in aquatic environments**

389 As a new type of pollutant in aquatic environments, QDs will cause the  
390 ecological pollution, and it is closely related to the composition and chemical  
391 properties of the core-shell. To thoroughly evaluate the potential environmental and  
392 ecological risks of QDs, it is necessary to make a better understanding of the  
393 environmental transport and fate of QDs. Although a number of studies have  
394 investigated the weathering process of QDs, our knowledge about its potential  
395 mechanisms and dissolution kinetics is limited. Coexistence of heavy metals in  
396 aquatic environment could significantly enhance the QDs' toxicity while the natural  
397 organic matter would affect the adsorption and migration reaction on QDs' interface.  
398 On the other hand, the pollution characteristics of QDs could be influenced by many  
399 environmental factors, such as light, pH, dissolved oxygen and ionic strength etc. At  
400 the same time, aquatic organism could secrete extracellular polymeric substances  
401 (EPS) and stabilize QDs on EPS layer or subcellular structure to change the form of  
402 QDs in aquatic environments.

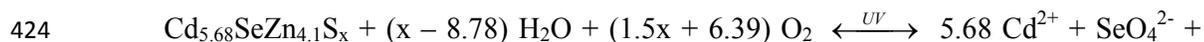
## 403 4.1. Light

404 When QDs were excited by incident light carrying higher photon energies than  
 405 the band gap of QDs, a bound electron-hole pair that could react with the surrounding  
 406 oxygen molecules was formed and produced ROS including  $\cdot\text{OH}$ ,  $^1\text{O}_2$ , and  
 407  $\text{O}_2^{\cdot-}$ .<sup>37,125-127</sup> As shown in Fig. 4. Two independent methods, UV-vis and scavenging  
 408 experiments were executed to analyze the formation of ROS during the dissolution of  
 409 QDs under UV irradiation.<sup>31</sup> Previous studies showed that the release rate of  $\text{Cd}^{2+}$  did  
 410 not change distinctly when excess  $\cdot\text{OH}$  and  $^1\text{O}_2$  scavengers were expended, indicating  
 411 that  $\cdot\text{OH}$  and  $^1\text{O}_2$  were not the main substances during the formation of ROS.  
 412 However, when excess  $\text{O}_2^{\cdot-}$  scavengers were added before the reaction, an obvious  
 413 retardation on the release of  $\text{Cd}^{2+}$  was observed, suggesting that the photoexcitation  
 414 may lead to the generation of  $\text{O}_2^{\cdot-}$ , a precursor of oxidative dissolution of QDs.<sup>31,37</sup>  
 415 Interestingly, several studies confirmed that superoxide dismutase (SOD) could  
 416 increase the release of  $\text{Cd}^{2+}$  observably after irradiation, probably because the SOD  
 417 could catalyze the conversion of  $\text{O}_2^{\cdot-}$  into  $\text{H}_2\text{O}_2$ , which accelerated the release of  
 418  $\text{Cd}^{2+}$ .<sup>35,128</sup> The reaction was shown as follows:



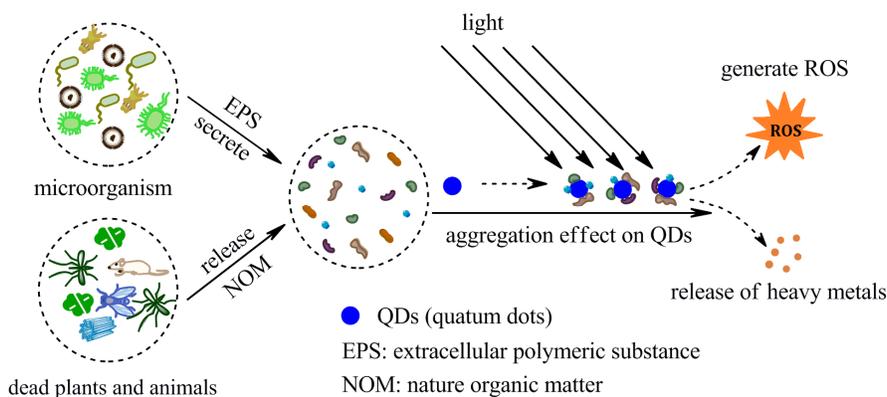
420 Therefore,  $\text{H}_2\text{O}_2$  is the most likely intermediate oxidant that reacts rapidly with  
 421 QDs.<sup>129</sup>

422 To explore the stoichiometry reaction of QDs, the possible ionic species are  
 423 firstly determined after photooxidation of QDs, as shown in the reaction.



425  $4.1 \text{ Zn}^{2+} + x \text{ SO}_4^{2-} + (2x - 17.56) \text{ H}^+$

426 The photooxidation of QDs is a proton-generating process, as confirmed by the  
 427 observed decrease in pH value.<sup>59,130</sup> The above chemical formula is determined on the  
 428 basis of the total element composition measurement with ICP-MS. The  
 429 photo-degradation products ( $\text{Cd}^{2+}$ ,  $\text{Zn}^{2+}$ , and  $\text{SeO}_4^{2-}$ ) may release from the core-shell  
 430 structure, decreasing the hydrodynamic size of QDs.



431

432 **Fig. 4.** Effects of light, nature organic matter, and extracellular polymeric substance  
 433 on the dissolution and stability of QDs in aquatic environments.

#### 434 4.2. Weathering of QDs at pH variation

435 In a previous study, the laboratory condition was adjusted to pH value ranging  
 436 from 2 to 12 to investigate possible QDs weathering process.<sup>27</sup> Several different  
 437 processes, including QDs aggregation, core-shell QDs leaching, and precipitation of  
 438 metal oxides, could be conducted under extremely acidic or alkaline conditions. Low  
 439 pH value was expected to solubilize core-shell QDs readily, while high pH value may  
 440 relate to the chemical speciation, precipitation, and bioavailability of Cd and Se  
 441 (Table 1).

**Table 1**Supernatant concentrations of QD constituents measured at various pH values<sup>27</sup>

QD	pH treatment	total Cd (mg/L)	total Se (mg/L)
QD557-PMAO	coated (pH 7)	29.2 ± 5.3	23.0 ± 3.8
	weathered (pH 2)	2853 ± 93.3	2760 ± 129
	weathered (pH 12)	1511 ± 97.6	1617 ± 94.5
QD559-PEI	coated (pH 7)	28.0 ± 7.3	21.5 ± 5.6
	weathered (pH 2)	3362 ± 207.4	3029 ± 42.5
	weathered (pH 12)	3123 ± 101.9	2819 ± 103.8
QD655-carboxyl	coated (pH 7)	14.9 ± 1.2	5.3 ± 0.8
	weathered (pH 2)	3528 ± 74.5	934 ± 106.7
	weathered (pH 12)	3729 ± 99.0	1052 ± 88.3

Note: values represent the average ± the range of 3 observations.

442 It is well documented that luminescent properties of QDs depend on pH  
 443 values.<sup>59,130-132</sup> Nevertheless, pH may have a dual influence on luminescent properties  
 444 of QDs since it affects QDs' structure and the function of capping ligands.<sup>130</sup> For  
 445 instance, pH-dependent cadmium-thiol complexes can be produced at the interface of  
 446 Cd-containing QDs and capping ligands when pH > 5.<sup>59</sup> But at pH < 5, protonation  
 447 could result in the detachment of capping ligands from QDs' surface and induce the  
 448 agglomeration of QDs, thus making the luminescence intensity and lifetime  
 449 declined.<sup>133</sup> Zhang et al.<sup>130</sup> have reported that the decline of pH value from 12 to 5  
 450 could result in the agglomeration of QDs (Fig. 5), causing the change of the

451 luminescence intensity of QDs.

#### 452 *4.3. Dissolved oxygen*

453 It has been demonstrated that the dissolved oxygen can induce and catalyze the  
454 oxidation of QDs.<sup>31,134-137</sup> For instance, several phenomena have been observed after  
455 exposing the QDs to an oxidative environment: (i) A blue-shift in the excitonic  
456 fluorescence spectra; (ii) A broad red-shifted adjacent to the excitonic fluorescence  
457 peak; (iii) A progressive change in the absorbance profile of QDs solution; and (iv) A  
458 decline in the quantum yield.<sup>32</sup> Shifts in the fluorescence and absorbance spectra may  
459 result from the decline of the QDs' size (a result of oxidative damage on surface  
460 atoms) while the broad red-shifted fluorescence peak can be attributed to the  
461 formation of lower-energy band gaps (a result of newly-formed defective structures).  
462 It has been established that O<sub>2</sub> molecules can oxidize chalcogenide atoms (S and Se)  
463 to form oxides (SO<sub>4</sub><sup>2-</sup> and SeO<sub>2</sub>) on the QDs' surface (Fig. 5).<sup>27,32</sup> In the case of CdSe  
464 QDs, these SeO<sub>2</sub> molecules could desorb from the QDs' surface, leaving the  
465 "dangling" decreased Cd atoms behind. Therefore, prolonging exposure of QDs to an  
466 oxidative environment could induce the decomposition of nanocrystal, leading to the  
467 desorption of Cd<sup>2+</sup> or CdSe complexes from the QDs' core.<sup>32,138,139</sup>

#### 468 *4.4. Ionic strength*

469 Ionic strength is an important parameter in analyzing the transport and fate of  
470 QDs in granular aquatic environments.<sup>140,141</sup> However, as limited by available

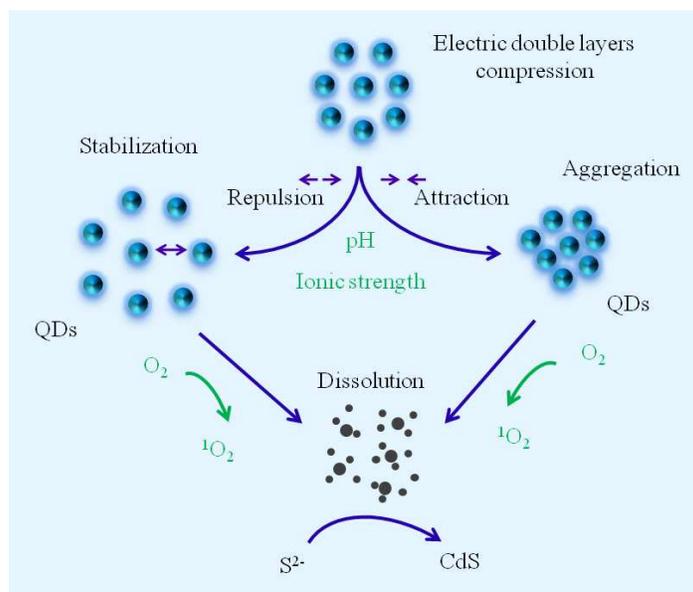
471 experimental techniques, the sizing suspended QDs are difficult to be obtained.<sup>142</sup>

472 It has been reported that the addition of monovalent electrolyte (e.g.,  $K^+$  and  $Na^+$ )  
473 will increase the ionic strength and compress the electric double layers (EDLs) in QDs  
474 (shown in Fig. 5). A plausible explanation is that the capping ligands on the QDs'  
475 surface may extend into the electric double layers and protect QDs from approaching  
476 to each other when the ionic strength increases.<sup>25,143,144</sup>

477 The aggregation behavior of QDs in most surface water within the presence of  
478 divalent cations has also been examined in some studies. The main reason for the  
479 destabilization of divalent cations is the formation of complexes with the thioglycolate  
480 capping ligands on QDs' surface, through which the negative charge on it could be  
481 neutralized. Furthermore, the complexes could bridge the gap between one QD and  
482 the other QD to form aggregates. Therefore, the divalent cation complexation  
483 constants of capping ligands can be used to quantify QDs' aggregation. Here we set  
484  $Ca^{2+}$  for an example in this paper.  $Ca^{2+}$  complexes are formed through the  
485 combination of  $Ca^{2+}$  and carboxyl groups on the QDs' surface. A  $Ca^{2+}$  may bond to  
486 either monodentate or bidentate capping ligand sites.<sup>145,146</sup> The  $Ca^{2+}$  complexation  
487 constants are determined by calcium titration. According to the results of previous  
488 aggregation experiments, even a low concentration of  $Ca^{2+}$  could lead to the formation  
489 of  $Ca^{2+}$  complexes with QDs' capping ligands, supported by the high complexation  
490 constants of the bound capping ligands.<sup>25,147,148</sup>

491 Similar to the divalent electrolyte, the trivalent electrolyte (e.g.,  $Al^{3+}$ ) could also  
492 reduce the negative zeta-potentials of QDs and cause the aggregation. The

493 inconformity in QDs aggregation with  $\text{Al}^{3+}$  at pH value between 5 and 8 is correlative  
 494 to the complexation mechanism of  $\text{Al}^{3+}$  with the capping ligands.<sup>59,130</sup> In liquid media,  
 495  $\text{Al}^{3+}$  can be hydrolyzed and present as  $\text{Al}^{3+}(\text{H}_2\text{O})_n[(\text{OH})_{6-n}]^{n-6}$ . Thus the complexation  
 496 of  $\text{Al}^{3+}$  with the capping ligands may occur through the substitution reaction between  
 497  $\text{OH}^-$  groups or the original water molecules and amino groups or carboxyl groups in  
 498  $\text{Al}^{3+}(\text{H}_2\text{O})_n[(\text{OH})_{6-n}]^{n-6}$ .<sup>25,149</sup>



499  
 500 **Fig. 5.** Effects of pH, dissolved oxygen, and ionic strength on the dissolution and  
 501 stability of QDs in aquatic environments.

#### 502 4.5. Natural organic matter

503 Transport and fate of QDs in aquatic environment are not only dependent on  
 504 physicochemical parameters, such as light, pH, dissolved oxygen, and ionic strength  
 505 as described by the DLVO theory,<sup>150,151</sup> but also related to the natural organic matter  
 506 (NOM). Some researchers have confirmed that the humic substances (HS) which are

507 commonly present in aquatic environment as a kind of NOM,<sup>152,153</sup> could affect the  
508 environmental transformations of QDs.<sup>31,154,155</sup> Evidence showed that HS could alter  
509 the surface properties of QDs, thus influenced the dispersibility and aggregation state  
510 of QDs,<sup>24</sup> or even transferred the primitively hydrophobic QDs to aqueous QDs.<sup>156-158</sup>  
511 While the content of NOM in aquatic environments exceeds the charge of DLVO  
512 theory, the QDs will tend to form larger aggregations, especially when the ionic  
513 strength is high.<sup>1</sup> NOM can either enhance the QDs stability through coating the QDs'  
514 surface with negative charges by static repulsion<sup>159</sup> or decline the QDs stability  
515 through a variety of mechanisms, including pearls-on-a-string formation<sup>160</sup> and  
516 bridging effect.<sup>161</sup> Hence, NOM could greatly affect the stability of QDs through both  
517 direct physicochemical processes and indirect chemical reactions (Fig. 4).

#### 518 *4.6. Extracellular polymeric substances*

519 Extracellular polymeric substances (EPS) are widespread in aquatic  
520 environments and have an effect on QDs transport and toxicity.<sup>154</sup> As with many other  
521 engineered nanoparticles, quantitative information on the transport and fate of QDs in  
522 aquatic environments is confined, particularly in open waters. Owing to their  
523 amphipathy, EPS are ubiquitous in the environment and have a remarkable ability for  
524 self-assembly or assembly with other molecules, including metal ions, nanoparticles,  
525 and NOM (Fig. 4). Therefore, EPS can act as a strong agent for QDs to aggregate in  
526 aquatic environments through electrostatic and hydrophobic interactions.<sup>1</sup> The  
527 electrostatic interactions are based on the surface properties of QDs. For example,

528 positively charged amine-functionalized QDs have a more strongly affinity to EPS  
529 than the negatively charged carboxyl-functionalized QDs<sup>162</sup> since the positively  
530 charged surfaces could contribute to stabilize QDs to EPS by enhancing cross-links in  
531 the gel networks.<sup>1,163</sup> Furthermore, due to the formation of aggregate networks  
532 between QDs and EPS, the release of QDs into the aquatic environments can  
533 potentially disturb the aquatic biosphere and at the same time change their own  
534 biological pathways. On the other hand, EPS could reduce QDs' stability, promote the  
535 degradation of QDs and facilitate the release of Cd<sup>2+</sup> into the aquatic environments  
536 when exposed to light.<sup>164</sup> According to some researchers' study, the increased  
537 degradation of QDs is directly related to the ROS provided by EPS<sup>31</sup> as well as the  
538 composition (ratio of carbohydrates/proteins) of the EPS,<sup>1,164</sup> but the mechanisms  
539 involved need to be further studied.

## 540 **5. Toxicity of quantum dots to microorganisms**

541 QDs are composed of semiconductor core (e.g., CdS and CdSe) and usually  
542 encapsulated by a shell (e.g., ZnS) to improve the electronic and optical properties  
543 and prevent the core metal from leaching.<sup>32,165,166</sup> For many applications, QDs are  
544 often coated with organic molecule ligands to enhance their dispersibility in solution  
545 and guide them to biological targets.<sup>17,167-169</sup> Recent advances lead to the  
546 large-quantity production of water soluble QDs. Given their wide applications,  
547 substantial productions of QDs are envisioned in the nature.<sup>7,43,170,171</sup> However, most  
548 currently produced QDs consist of heavy metal chalcogenides (e.g., PbS and CdSe)

549 which may cause a hazard to humans and microorganisms in consideration of toxic  
550 metal releases and nanoscale properties. The toxicity of QDs depends on multiple  
551 factors derived from both the inherent physicochemical properties and the acquired  
552 environmental conditions. Particle size, charge, concentration, bioactivity of the  
553 surface coatings (capping ligands and functional groups), exposure time, photolysis,  
554 oxidation, and mechanical stability are the main factors that determine QDs' toxicity  
555 individually or collectively. Functional capping, physicochemical characteristics, and  
556 the stability of QDs' core are recognized as the significant factors in assessing the  
557 QDs' toxicity to microorganisms in real world exposure.

#### 558 *5.1. Particle size*

559 Particle size is critical for the biological performances of nanoparticles.<sup>172-174</sup>  
560 Several reports have proved that particle size affects QDs toxicity at the intracellular  
561 level. In cellular studies, CdTe QDs within 2.2 nm had greater toxicity than the  
562 particles within 5.2 nm.<sup>35,175</sup> Additionally, the intracellular biodistribution of QDs also  
563 showed an obviously size-dependent in some studies.<sup>84,176</sup> Larger particles were  
564 distributed in the cytoplasm while smaller particles were localized around and in the  
565 nucleus of the cell.<sup>35,45,177</sup> Hardman<sup>7</sup> has also found that QDs size could influence the  
566 subcellular distribution, in which larger cationic QDs presented in the cytosol and the  
567 smaller cationic QDs distributed in the nuclear compartment. Endocytosis, including  
568 pinocytosis and phagocytosis, has been well-recognized as the main mechanism for  
569 QDs to enter the cells (Fig. 6).<sup>178,179</sup> The pinocytosis is further classified into at least

570 four mechanisms (e.g., caveolae-mediated, clathrin-mediated, macropinocytosis, and  
571 clathrin/caveolae-independent endocytosis) depending on the product of intracellular  
572 vesicles.<sup>180,181</sup> Additionally, the intracellular localization of QDs is also particularly  
573 important for the cytotoxicity.<sup>175,182</sup> The confocal fluorescence images demonstrated  
574 that CdTe QDs were predominantly located in the cytoplasmic and perinuclear area.<sup>183</sup>  
575 However, the distribution of QDs was not uniform but presented in dotted pattern with  
576 the differential intensity. Especially, high-intensity dots were concentrated in the  
577 marginal and perinuclear area of the cell.<sup>84</sup> Such heterogeneous distribution of QDs  
578 might cause an abnormally high local concentration of Cd<sup>2+</sup> in the nuclei or other  
579 organelles, aggravating the damage to these organelles. The concentrated effect of  
580 Cd<sup>2+</sup> on organelles was responsible for the higher cytotoxicity of CdTe QDs than  
581 CdCl<sub>2</sub>. All in all, CdTe QDs may enter the subcellular organelles and directly result in  
582 a functional loss of the organelles.

### 583 *5.2. Surface coating materials*

584 A main cause of the QDs toxicity is the cadmium contained in the QDs core. The  
585 toxicity of uncoated CdSe or CdTe QDs has been extensively studied in several  
586 reports.<sup>184,185</sup> Results showed that the QDs' toxicity is closely associated with the free  
587 Cd released from QDs' core into the suspensions since it was found that the  
588 cytotoxicity of QDs was consistent with Cd<sup>2+</sup> toxicity from the QDs' core.<sup>32,34,186,187</sup>  
589 Derfus et al.<sup>32</sup> found that the uncoated QDs could release Cd<sup>2+</sup> through the surface  
590 oxidation when incubated with rat hepatocytes, indicating that the uncoated QDs

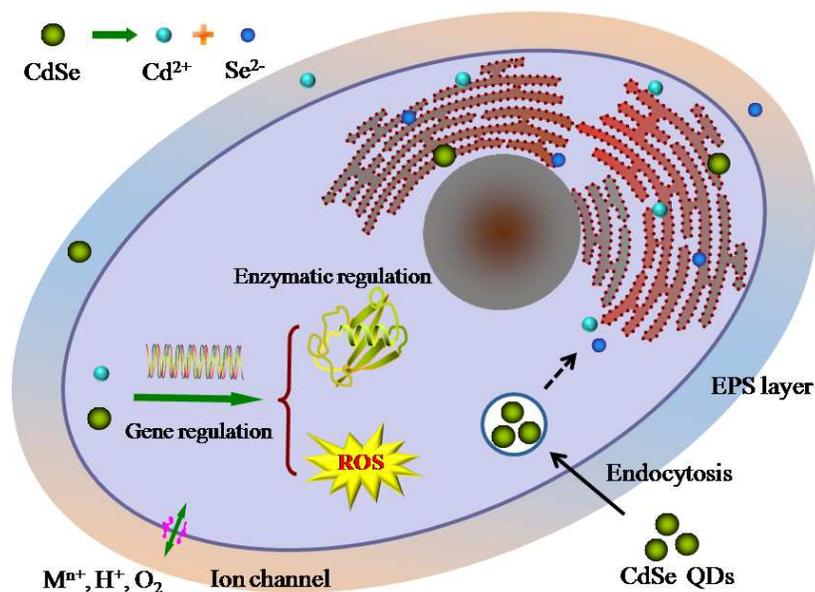
591 cores could be degraded in biological environment. Therefore, the  $\text{Cd}^{2+}$  toxicity from  
592 QDs' cores is likely to be responsible for QDs' cytotoxicity. However, CdSe or CdTe  
593 QDs are also highly charged and can be easily affected by air or photo oxidation.  
594 Hence, the generation of free radical is also considered as another major mechanism  
595 for QDs' cytotoxicity.<sup>33,37,188,189</sup> Cho et al.<sup>190</sup> found that the CdTe QDs cytotoxicity  
596 was not relevant to the  $\text{Cd}^{2+}$  released from the QDs' core, but related to the formation  
597 of free radical (Fig. 6). Additionally, similar to the findings we mentioned above, the  
598 uncoated QDs have also been involved in other cytotoxicity. For example, in  
599 SH-SY5Y neuroblastoma cells, the damage CdTe QDs induced was relevant to  
600 up-regulation of Fas expression, which may result from the oxidative stress caused by  
601 the QDs.<sup>191-193</sup> Tang et al.<sup>194</sup> carried out the neurotoxicity of CdSe QDs in  
602 hippocampal neurons and found a dose dependent augment in neuronal death.  
603 However, evidences showed that the influx of extracellular  $\text{Cd}^{2+}$  and release of  
604 intracellular  $\text{Cd}^{2+}$  were enhanced even at low doses.

605 Encapsulation of QDs with a ZnS shell or other coating materials has been  
606 testified as an effective way to reduce the QDs' toxicity, although much work remains  
607 to be accomplished in this arena. Derfus et al.<sup>32</sup> indicated that free Cd released from  
608 CdSe QDs into the aqueous media could be dramatically declined by ZnS shell. In  
609 addition to decreasing the free Cd release, ZnS shell was also observed to reduce the  
610 generation of free radical by protecting the QDs from air oxidation. Hence, the  
611 encapsulation of QDs with a ZnS shell or other coating materials appears to be a  
612 promising way to inhibit the release of  $\text{Cd}^{2+}$  and the generation of free radicals.<sup>195,196</sup>

613 However, in order to accurately assess the toxicity of shell or coated QDs, the  
614 degradation of shell or coating materials, along with the toxicity must also be  
615 considered adequately. Previous studies showed that the ZnS shell did not completely  
616 eliminate the QDs' toxicity due to the effect of photo or air oxidation on the shell<sup>32</sup>  
617 and on the other hand, the CdSe/ZnS QDs could also induce the generation of free  
618 radical species.<sup>33,189</sup> These researchers hypothesized that the ZnS shell could prevent  
619 the CdSe core from oxidation, but it could not inhibit the generation of  
620 electron-induced radical in the surrounding environment, indicating that the ZnS shell  
621 might be slowly oxidized in the presence of air or water, thus generating the  $\text{SO}_2^-$   
622 radical.<sup>45</sup>

623 In addition, several groups have also found to enhance the toxicity when  
624 associated with coating materials such as TOPO and MPA.<sup>46</sup> Hoshino et al.<sup>197</sup>  
625 observed that the surface coatings of QDs such as MPA could be detached under  
626 oxidative and acidic conditions in endosomes and then released into the cytoplasm. To  
627 assess the toxicity of surface capping materials, Hoshino et al.<sup>197</sup> employed three  
628 capping materials (thioglycerol, MPA, and cysteamine) and two possible impurities  
629 (ZnS and TOPO) in the study. The result demonstrated that the removal of TOPO  
630 from the QDs samples was important in decreasing cytotoxicity since the TOPO was  
631 observed to be genotoxic and cytotoxic. Their findings provided obvious evidence to  
632 prove that the QDs induced genotoxicity and cytotoxicity were not caused by the QDs  
633 core but by the hydrophilic QDs' coating materials. Taken together, these reports  
634 indicated that the ingredient of a shell or capping materials needs to be more

635 thoroughly assessed.



636

637 **Fig. 6.** Schematic illustration of the cytotoxicity induced by CdSe  
 638 QDs are transported across the cell membrane, free Cd<sup>2+</sup> is released into the  
 639 cytoplasm. The QDs nanocrystal and free Cd<sup>2+</sup> induced a series of protective  
 640 responses including the up-regulation of proteins and an increase in oxidative stress.

### 641 5.3. Photolysis and oxidation

642 QDs' stability, both in vivo and storage, is a significant aspect for assessing their  
 643 toxicity. Some reports indicated that QDs' cytotoxicity may relate to photolysis or  
 644 oxidation.<sup>7,32,198,199</sup> Under photolytic and oxidative conditions, the core-shell QDs  
 645 coatings were too labile to maintain the stability of QDs, thus the potentially toxic  
 646 coating materials or intact core metalloid complexes were exposed to the environment  
 647 and caused the dissolution of the core complexes. Zhang's group<sup>200</sup> demonstrated that  
 648 the fluorescence intensity of CdSe/ZnS QDs showed a shift to blue spectra and was

649 reduced with contacting time when exposing to the living cells, indicating that the  
650 ZnS shell was deteriorated intracellularly.<sup>200,201</sup> Hardman<sup>7</sup> reported that the primary  
651 rat hepatocytes exposed to 62.5 µg/mL MAA-CdSe QDs appeared cell death, which  
652 may relate to photolysis and oxidation of the QDs' capping material. Derfus et al.<sup>32</sup>  
653 deduced that QDs' toxicity was relevant to environmental conditions, and lengthened  
654 exposure time of QDs to photolytic and oxidative environments could lead to the  
655 decomposition of MAA-TOPO capped CdSe QDs. Although ZnS coating materials  
656 could significantly decrease the ambient air oxidation, it did not completely eliminate  
657 the photooxidation, with high levels of free Cd<sup>2+</sup> found in solution under  
658 photooxidative conditions.<sup>7,192</sup> Aldana et al.<sup>202</sup> have also observed the photochemical  
659 instability of thiol-coated CdSe QDs in the experiment, although not at correlative UV  
660 wavelengths (254 nm), it was noted that the photochemical stability of CdSe QDs was  
661 nearly related to the packing and thickness of the ligand monolayer. Kloepper et al.<sup>203</sup>  
662 reported that when exposing *Staphylococcus aureus* cultures to conjugated QDs  
663 solution for 2 weeks, a noteworthy increase in fluorescence was observed. The change  
664 of fluorescence may relate to the intracellular oxidation of QDs since a remarkable  
665 increase of Se was found in cells. Therefore, the photostability of QDs' conjugates is a  
666 considerable issue during the preparation, and at the same time the QDs' conjugation  
667 procedures should also be performed under little or no light condition to avoid the  
668 photolysis of QDs. Some studies suggested that QDs may be susceptible to photolysis  
669 and oxidation, thus the possibility of QDs' degradation in vivo or intracellular could  
670 be increased. For example, recent study indicated that QDs' surface coatings and

671 ligands were slowly degraded in vivo, leading to the surface defects and fluorescence  
672 quenching.<sup>204</sup> However, several reports noted that QDs coated with a grafted 8-carbon  
673 alkyl side chain and a high molecular weight copolymer even showed a greater  
674 stability in vivo than those with simple polymer and amphiphilic lipid coatings.<sup>7</sup>  
675 Hoshino et al.<sup>205</sup> observed CdSe/ZnS-SSA QDs in EL-4 cells within approximately  
676 10% of the cells reserving QDs after exposure for 10 days, and the fluorescent  
677 intensity of the cells was found to gradually decline and highly concentrate in  
678 endosomes. Likewise, a substantial loss of QDs' fluorescence was declared by Gao et  
679 al.<sup>204</sup> upon implement of QDs to live animals.

#### 680 *5.4. Charge, concentration, and exposure time*

681 As with pharmacological studies, QDs' toxicity studies confront the same  
682 difficulties in terms of charge, concentration, and exposure time, which underscore the  
683 requirement for their rigorous physicochemical properties. Existed evidences showed  
684 that surface modifications could influence QDs' properties such as surface net charge,  
685 which may contribute to QDs' cytotoxicity.<sup>32,165</sup> For example, uncharged  
686 (polyethylene glycol; PEG), negatively charged (carboxyl-modified; COOH), and  
687 positively charged (amino-terminated; NH<sub>2</sub>) CdSe/ZnS QDs were employed to  
688 monitor the uptake, ingestion and depuration procedures of nanoparticles in  
689 *Ceriodaphnia dubia* and *Daphnia magna* over 24 h of exposure.<sup>162</sup> Their studies  
690 proved that CdSe/ZnS QDs with higher negative charge (QDs-COOH) were taken up  
691 to a greater extent by *Daphnia* ( $259.17 \pm 17.70$ ) than either positive charge (QDs-NH<sub>2</sub>)

692 (150.01 ± 18.91) or uncharged PEG-QDs (95.17 ± 9.78). To some extent, these results  
693 are also relevant to the surface functional groups attached to QDs.

694 Particle concentration is also intricately related to the QDs' toxicity since surface  
695 area is critical for nanoparticle actions. QDs' dosage or exposure concentration has  
696 been widely reported in the literature using various units of measurement (e.g., QDs  
697 per cell, molarity, micrograms per milliliter, and milligrams per kilogram body  
698 weight). However, correlative dosage studies are currently challenging. For instance,  
699 no cytotoxicity was observed during a 2 h acute exposure of cells to QDs.<sup>206-208</sup>  
700 Critical questions related to toxicological researches are relevant to how to estimate  
701 the effects of QDs' exposure on humans and what will be the effective way to describe  
702 the express concentration of QDs to humans.

703 Finally, exposure time deserves further consideration. QDs appear to widely  
704 distribute in tissues and almost cannot be excreted or metabolized.<sup>190</sup> In consideration  
705 of the tissues' resistance, it is critical to assess the toxicological risk of QDs in long  
706 term researches. In the case of QDs, an electronically active Cd nanoparticle may be  
707 excessively reserved in tissues for years. In general, QDs cause the toxicity by  
708 releasing Cd<sup>2+</sup> and generating free radicals to the environment, both of which could  
709 influence the transcription and synthesis of DNA or even changed the signal  
710 transduction in long term treatment.

## 711 **6. Conclusions and perspectives**

712 It is critical to understand the transport and fate mechanism as well as the

713 toxicity of QDs for its practical biomedical and biological applications in diagnostics,  
714 therapy, and imaging. However, it is difficult to assess the overall environmental  
715 implications of QDs from present reported studies due to the complexity of inherent  
716 physicochemical properties, environmental conditions, and analytic methods. The  
717 synthetic methods and surface modifications of QDs will greatly affect its  
718 physicochemical properties and its interaction with cellular membrane and the  
719 subsequent uptake into the cells. So the transport and fate of QDs in aquatic  
720 environment and their toxicity to microorganisms depend on the multiple synthesis  
721 methods and surface modification ways. Light, pH, dissolved oxygen, ionic strength,  
722 NOM, and EPS have been implicated as the determining factors in evaluating the  
723 transport and fate of QDs in aquatic environment. And unless stabilized by NOM and  
724 EPS or other natural species in the environment, QDs may ultimately be degraded in  
725 aquatic environment and serve as a source for toxic mobile Cd species. The increasing  
726 production and utilization of QDs nanoparticles caused the concerns for the possibility  
727 of the contamination in the aquatic and terrestrial ecosystems. Thus it is necessary to  
728 make extensive investigations on the toxicological and pharmacological for the  
729 applications of QDs to reduce the environmental risk. Therefore, studies on the QDs'  
730 behavior in aquatic environment and the cytotoxicity of QDs become critical  
731 important, and future directions need to include: (i) complete physicochemical  
732 characterization of QDs structure; (ii) environmental considerations—with increasing  
733 application of Cd-containing QDs in biomedical study and therapy, researches are  
734 required to consider the environmental risk of core-shell particles and the dissolution

735 extent of shell materials; and (iii) increase animal toxicity studies to evaluate  
736 biological persistence of QDs in tissues, particularly in long term studies. Research  
737 without overall assessing these critical areas will make human health at risk and  
738 impede the progress on nanomedicine development. However, sensible further  
739 researches into these areas will undoubtedly contribute to the public health and  
740 development of pharmaceuticals for drug delivery and cancer treatment.

## 741 **Acknowledgments**

742 This work was financially supported by the National Natural Science Foundation  
743 of China (51521006, 51178171, 51378190, and 51579099), the Environmental  
744 Protection Technology Research Program of Hunan (2007185) and the Program for  
745 Changjiang Scholars and Innovative Research Team in University (IRT-13R17).

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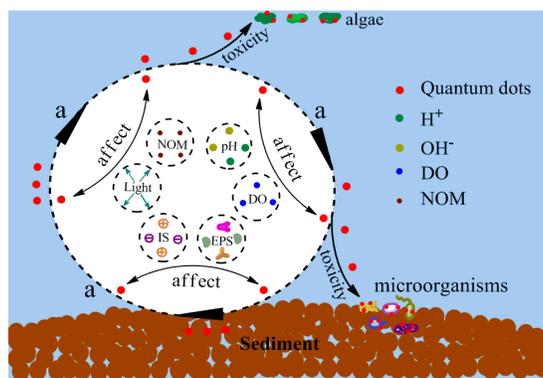
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### Aquatic Environment

a: migration and transformation; NOM: natural organic matter; DO: dissolved oxygen; EPS: extracellular polymeric substances; IS: ionic strength.

The fanaticism for metal-based QDs is somewhat diluted by the fact that it causes risks in aquatic environment.