

1     **Comparison of the Physical Characteristics of Monodisperse Non-Ionic Surfactant**  
2             **Vesicles (NISV) Prepared Using Different Manufacturing Methods**

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11     **Abbreviations**

12     NISV: Non-ionic surfactant vesicles; TFH: Thin-film hydration; PBS: Phosphate buffered  
13     saline; MPG: Monopalmitin glycerol; Chol: Cholesterol, DCP: Dicyetyl phosphate; AFM:  
14     Atomic force microscope; PDI: Polydispersity index; ZP: Zeta potential; FRR: flow rate  
15     ratios; TFR: total flow rates.

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24 **Abstract**

25 Non-ionic surfactant vesicles (NISV) are synthetic membrane vesicles formed by self-  
26 assembly of a non-ionic surfactant, often in a mixture with cholesterol and a charged  
27 chemical species. Different methods can be used to manufacture NISV, with the majority  
28 of these requiring bulk mixing of two phases. This mixing process is time-consuming and  
29 leads to the preparation of large and highly dispersed vesicles, which affects the  
30 consistency of the final product and could hinder subsequent regulatory approval. In this  
31 study, we have compared the physical characteristics of NISV prepared using two  
32 conventional methods (thin-film hydration method and heating method) with a recently  
33 introduced microfluidic method. The resulting particles from these methods were assessed  
34 for their physical characteristics and *in vitro* cytotoxicity. Through microfluidics, nano-  
35 sized NISV were prepared in seconds, through rapid and controlled mixing of two miscible  
36 phases (lipids dissolved in alcohol and an aqueous medium) in a microchannel, without the  
37 need of a size reduction step, as required for the conventional methods. Stability studies  
38 over two months showed the particles were stable regardless of the method of preparation  
39 and there were no differences in terms of EC50 on A375 and A2780 cell lines. However,  
40 this work demonstrates the flexibility and ease of applying lab-on-chip microfluidics for  
41 the preparation of NISV that could be used to significantly improve formulation research  
42 and development, by enabling the rapid manufacture of a consistent end-product, under  
43 controlled conditions.

44 **Key words:** Non-ionic surfactant vesicles, microfluidics, thin-film hydration, heating  
45 method, drug delivery, cytotoxicity.

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47 **1. Introduction**

48 Non-ionic surfactant vesicles (NISV) or “niosomes”, are synthetic bilayer vesicles  
49 typically formed by the self-assembly of non-ionic surfactants [1], cholesterol and the  
50 addition of a charged species. The self-assembly of non-ionic surfactants into bilayer  
51 vesicles, first reported in the 1980s by a group of cosmetic researchers from L’Oréal  
52 industries [2], have since been applied extensively as drug delivery systems. NISV exhibit  
53 more advantages over liposomes, in terms of cost and stability, and constituent surfactants  
54 have a wider range of chemistries that can be selected to provide greater potential for  
55 innovation related to vesicle composition [1, 3]. Surfactants commonly employed include  
56 polyoxyethylene fatty acid esters (Tweens), sorbitan fatty acid esters (Spans), alkyl ethers,  
57 and alkyl glyceryl ethers (Brijs) [4], while other additives include cholesterol, which affects  
58 the mechanical strength and permeability of the bilayer structure [5, 6], and charged  
59 molecules such as dicetyl phosphate (negative) and stearylamine (positive) [3], which  
60 prevent particle aggregation through electrostatic repulsion mechanisms.

61 NISV have been used to deliver hydrophilic drugs that are encapsulated in the interior  
62 aqueous compartment or adsorbed on the bilayer surface, and hydrophobic drugs that are  
63 localised within the lipid bilayer of the NISV [7]. NISV have also been used to improve  
64 solubility and subsequently bioavailability of poorly soluble drugs, as exemplified by  
65 aciclovir and griseofulvin [8, 9]. Moreover, these particles can also improve the stability  
66 of peptide drugs, e.g. they have been shown to protect encapsulated insulin in the  
67 gastrointestinal tract from degradation by proteolytic enzymes and exhibit good stability in  
68 the presence of bile acid salts such as sodium deoxycholate [10]. Other applications of  
69 NISV have been in the area of transdermal delivery of different drugs such as oestradiol,

70 enoxacin and minoxidil [11-13] and in gene delivery of topical DNA vaccines [14, 15]. In  
71 recent years, NISV have also been used as carriers for contrast agents for clinical imaging  
72 applications in medical diagnostic tools [16].

73 Various conventional bulk methods have been used in the preparation of NISV (e.g. thin-  
74 film hydration, reversed phase evaporation, and heating methods), which utilise mixing of  
75 two liquid phases on a bench scale at elevated temperature, in order to facilitate  
76 spontaneous self-assembly of the lipid components into bilayer vesicles [1, 17, 18]. The  
77 hydration of a thin lipid film (Bangham method) is a simple and widely used process, in  
78 which a mixture of lipids are dispersed in an organic solvent (such as chloroform) followed  
79 by evaporation of the solvent using a rotary evaporator to form a dry lipid film on the flask  
80 wall. NISV are then spontaneously self-assembled by hydrating the lipid film with an  
81 aqueous buffer at a temperature above the phase transition temperature of lipids [19].  
82 Hydrophilic drugs can be encapsulated in the formed vesicles by adding the drug in the  
83 aqueous buffer when hydrating the lipid film, while hydrophobic drugs can be dissolved  
84 with the lipid components before forming the lipid film [20]. Another method reported by  
85 Mozafari *et al.* is the heating method [21], in which NISV can be prepared without the use  
86 of organic solvents, where the various components are hydrated in aqueous media at room  
87 temperature followed by heating at 120°C with mechanical stirring [22]. However, the  
88 methods described above, result in the production of large particles, with high  
89 polydispersity, as a result of inadequate control of chemical and mechanical environments.  
90 These methods necessitate the use of post-production size-altering steps, such as extrusion  
91 or sonication, in order to obtain smaller and more homogeneous vesicle dispersions [1, 18].

92 The ability to control vesicle size and polydispersity is a crucial factor in the success of  
93 any manufacturing method as the particle size of the delivery system influences *in vivo*  
94 performance [23]. Microfluidic mixing is a recently developed method used to prepare  
95 liposomes, which results in the production of small vesicles with efficient encapsulation of  
96 a therapeutic agent [24]. In microfluidics, lipids are dissolved in an organic phase and the  
97 aqueous phase is introduced from different inlets into a precisely defined microchannel that  
98 allows for fast mixing between the two phases at high flow rates and at a temperature above  
99 the phase transition of the lipids. By controlling flow rate ratios (FRR) between the aqueous  
100 and organic phase and total flow rates (TFR) of both phases, homogeneous small vesicles  
101 can be prepared in a single step [23, 25].

102 The main objective of this work was to compare the characteristics of NISV prepared by  
103 these different manufacturing methods. Previous work from our lab has successfully  
104 investigated the development of NISV for vaccine delivery composed of monopalmitin  
105 glycerol (MPG), cholesterol (Chol) and dicetyl phosphate (DCP) at a molar ratio of 5:4:1  
106 of MPG:Chol:DCP [26] so this was used to prepare the NISV. Moreover, in previous work,  
107 we have demonstrated that the type of the aqueous media can significantly affect vesicle  
108 characteristics prepared by microfluidics [27], so we chose phosphate buffered saline  
109 (PBS) to prepare the NISV in all the methods of preparation. The prepared particles were  
110 then compared for their physical characteristics, stability over time and *in vitro*  
111 cytotoxicity.

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115 **Materials and methods**

116 **2.1. Materials**

117 MPG was purchased from Larodan Fine Chemicals AB (Sweden). Chol, DCP, PBS tablets,  
118 resazurin powder, serum-free and antibiotic-free Roswell Park Memorial Institute medium  
119 (RPMI 1640), L-glutamine, penicillin–streptomycin, and foetal bovine serum (FBS) were  
120 purchased from Sigma–Aldrich (UK) (all at cell culture grade). The human cell lines skin  
121 malignant melanoma (A375) and ovarian carcinoma (A2780) were purchased from the  
122 American Type Culture Collection (ATCC®).

123 **2.2. Preparation of NISV by the thin-film hydration (TFH) method**

124 NISV were prepared using the thin-film hydration (TFH) method as described elsewhere  
125 [28]. Briefly, MPG, Chol and DCP were mixed at a molar ratio of 5:4:1 with a total weight  
126 of 22.5 mg (MPG: 9.96mg, Chol: 9.27mg, DCP: 3.27mg). The mixture was placed in a  
127 round bottomed flask and dissolved in 9 ml chloroform. Chloroform was then evaporated  
128 using a rotary evaporator (Rotavapor R-3, BTECH, Switzerland) operated at 50rpm under  
129 vacuum at 50°C until complete solvent evaporation and a thin lipid film formed on the  
130 flask wall. The thin-film was hydrated with 9 ml of PBS (pH 7.4) at 50°C by rotating the  
131 flask at 50 rpm until the lipid film was completely hydrated and a milky suspension was  
132 formed with a final concentration of 2.5 mg/ml.

133 **2.3. Preparation of NISV by the heating method**

134 NISV were prepared by the heating method as described elsewhere with modifications  
135 [22]. Briefly, MPG, Chol and DCP at a molar ratio of 5:4:1 were hydrated at room  
136 temperature with PBS (10 mM, pH 7.4). The mixture was then heated to 140°C with  
137 continuous stirring for two min to form the NISV with a final concentration of 2.5 mg/ml.

138 **2.4. NISV particle size reduction**

139 NISV suspensions prepared by the TFH and heating methods were manually extruded 21  
140 times using an Avanti miniextruder containing a 100 nm pore diameter polycarbonate (PC)  
141 membrane (Avanti polar lipids, Alabaster, AL, USA) at 50°C to reduce the particle size  
142 and distribution.

143 **2.5. Preparation of NISV by microfluidics**

144 NISV were prepared using a NanoAssemblr™ (Benchtop, Precision NanoSystems Inc.,  
145 Vancouver, Canada) as described by Obeid *et al.* [27]. The mixing of the two phases  
146 allowed formation of controlled sized NISV [29]. To prepare NISV at a final concentration  
147 of 2.5 mg/ml, MPG, Chol and DCP were dissolved in ethanol to prepare a stock solution  
148 of 20 mg/ml for each of the components. Specific volumes from each stock solution were  
149 mixed together to prepare the lipid phase of MPG, Chol and DCP in a molar ratio of 5:4:1.  
150 The lipid phase was injected into the first inlet and the aqueous phase into the second inlet  
151 of the microfluidic micromixer, with the mixing temperature set at 50°C. The FRR of  
152 aqueous phase to lipid phase was set at 3:1 and the TFR was set at 12 ml/min. Dispersions  
153 were collected from the outlet stream and immediately diluted with PBS in order to reduce  
154 the final ethanol content in the preparation to 6.25% (v/v).

155 **2.6 Particle size, polydispersity and charge of NISV**

156 Particle size, poly dispersity index (PDI) and Zeta potential (ZP) were measured with a  
157 Zetasizer Nano-ZS (Malvern Instruments, UK). The measurements were performed for  
158 NISV prepared by each method at 25°C at a 1 in 20 dilution in PBS. All samples were  
159 prepared in triplicate and the  $Z_{Average}$ , PDI, and ZP reported.

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161 **2.7 Stability studies of NISV prepared by different methods**

162 NISV prepared by all methods were tested for their stability over a two month period at  
163 either 4, 25, 37 or 50°C storage in controlled temperature rooms. Size, PDI, and ZP were  
164 measured at 0, 10, 20, 30, 40, 50, and 60 days.

165 **2.8 Morphological analysis of NISV using atomic force microscopy (AFM)**

166 Morphological examination of the NISV was performed by atomic force microscopy  
167 (AFM). Five  $\mu\text{L}$  of each formulation was deposited onto freshly cleaved mica surfaces  
168 (G250-2 Mica sheets 1" x 1" x 0.006"; Agar Scientific Ltd., Essex, UK), and air dried for  
169 ~1 h before AFM imaging. The images were obtained by scanning the mica surface in air  
170 under ambient conditions using a Dimension FastScan BioAFM (Bruker, CA, USA)  
171 operated on Peak Force QNM mode. The AFM measurements were obtained using  
172 ScanAsyst-air probes; the spring constant was calibrated by thermal tune ( $0.52 \text{ N m}^{-1}$ ;  
173 Nominal  $0.4 \text{ N m}^{-1}$ ) and the deflection sensitivity calibrated using a silica wafer. AFM  
174 images were collected by random spot surface sampling (at least three areas). The  
175 analyses were performed using the Nanoscope Analysis v1.4 (Bruker, USA).

176 **2.9 *In vitro* cytotoxicity studies**

177 NISV were assessed for cytotoxicity on two different cell lines (A375 and A2780). Each  
178 cell line was seeded in a 96-well plate at a density of  $1 \times 10^4$  per well in RPMI 1640 medium  
179 supplemented with 10% (v/v) FBS, 1% (v/v) L-glutamine and 1% (v/v) penicillin-  
180 streptomycin and incubated at 37 °C, 5 %  $\text{CO}_2$  and 100% humidity for 24 h. The cells were  
181 treated with a range of concentrations of NISV (9.77-1250  $\mu\text{g/ml}$ ) prepared by each  
182 method. Dimethyl sulphoxide (DMSO) was used as a positive kill control and one column  
183 per plate contained untreated cells and medium. PBS alone without the particles was also



184 included to ensure that the media itself used to prepare the particles was not toxic. The  
185 plates were then incubated for 24h and then treated with 20  $\mu$ L of resazurin (0.1 mg/ml) to  
186 each well and incubated for a further 24 h. The transformation of resazurin into resorufin  
187 by the live cells was then detected by measuring the absorbance at 560 – 590 nm using a  
188 SpectraMax M5 plate reader (Molecular Devices, Sunnyvale, CA, USA). The cell viability  
189 was calculated as a percentage of the absorbance from the treated cells with NISV to the  
190 absorbance of the untreated cells.

#### 191 **2.10 The effects of TFR and FRR on NISV prepared by microfluidics**

192 The effects of TFT and TFR on the characteristics of the NISV prepared by microfluidics  
193 were also investigated. The TFR of aqueous buffer and lipid phase was varied from 0.5  
194 ml/min to 12 ml/min and the FRR of the aqueous to lipid phases was varied from 1:1 to  
195 5:1 and the particle size, charge and PDI measured.

#### 196 **2.11 Statistical analysis**

197 All experiments were performed in triplicate and one way analysis of variance (ANOVA)  
198 was used to assess statistical significance. Tukey's multiple comparisons test and a t-test  
199 were performed for paired comparisons. The statistical analysis was performed using  
200 Minitab software version 17. A value of  $p < 0.05$  was considered to be statistically  
201 significant. Graphs were produced using OriginPro 2015.

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207 **3. Results**

208 **3.1 The effect of the manufacturing method on the particles size, PDI and ZP**

209 Table 1 shows the characteristics of NISV, prepared by the TFH and heating methods  
210 (before and after extrusion) and those prepared by microfluidics.

211 Dynamic light scattering revealed that the particle size of the extruded NISV prepared by  
212 the TFH method and heating method were small and monodisperse ( $124.7 \pm 0.72$  nm and  
213  $152.34 \pm 1.76$  nm, respectively) while the non-extruded particles were large and  
214 polydisperse (Table 1). However, particles prepared by microfluidic mixing were small  
215 with a narrow particle distribution ( $165.90 \pm 0.92$  nm). Microfluidics can prepare small  
216 and monodisperse particles in minutes. However, the preparation of these particles with  
217 the other methods took hours to get the same results of microfluidics. The PDI values of  
218 the extruded NISV prepared by the TFH and heating methods were low ( $0.12 \pm 0.01$  and  
219  $0.10 \pm 0.02$  respectively) and comparable to the PDI value of the particles prepared by  
220 microfluidics ( $0.08 \pm 0.02$ ) with no significant difference ( $p > 0.05$ ). Moreover, since all the  
221 particles prepared by the three methods used the same lipid compositions, the ZP values  
222 for the extruded particles prepared by the TFH and the heating methods and by  
223 microfluidics were the same with no significant difference ( $p > 0.05$ ) (Table 1).

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229 **Table 1.** Comparison of particle characteristics prepared by the TFH method, heating  
 230 method, and microfluidic mixing in terms of size, PDI and ZP. n=3 ± SD

Method of preparation	Size (nm)	PDI	ZP (mV)
<b>TFH (before extrusion)</b>	1027.17 ± 75.79	0.83 ± 0.03	-12.30 ± 3.22
<b>TFH (after extrusion)</b>	124.70 ± 0.72	0.12 ± 0.01	-28.70 ± 1.39
<b>Heating method (before extrusion)</b>	3938.00 ± 95.25	0.85 ± 0.04	-14.50 ± 1.25
<b>Heating method (after extrusion)</b>	152.34 ± 1.76	0.10 ± 0.02	-36.67 ± 3.14
<b>Microfluidic mixing</b>	165.90 ± 0.92	0.08 ± 0.02	-31.38 ± 1.80

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### 232 **3.2. The effects of the manufacturing method on overall NISV stability**

233 Figure 1 shows the stability in term of particles size of the NISV prepared by the three  
 234 methods when stored at four different temperatures over two months. Samples were  
 235 characterised immediately after preparations and again at each time point. The method of  
 236 preparation was shown to have no effects on the particles stability as the particles prepared  
 237 by the three methods exhibited nearly identical size distribution as the original samples at  
 238 all the tested temperatures.

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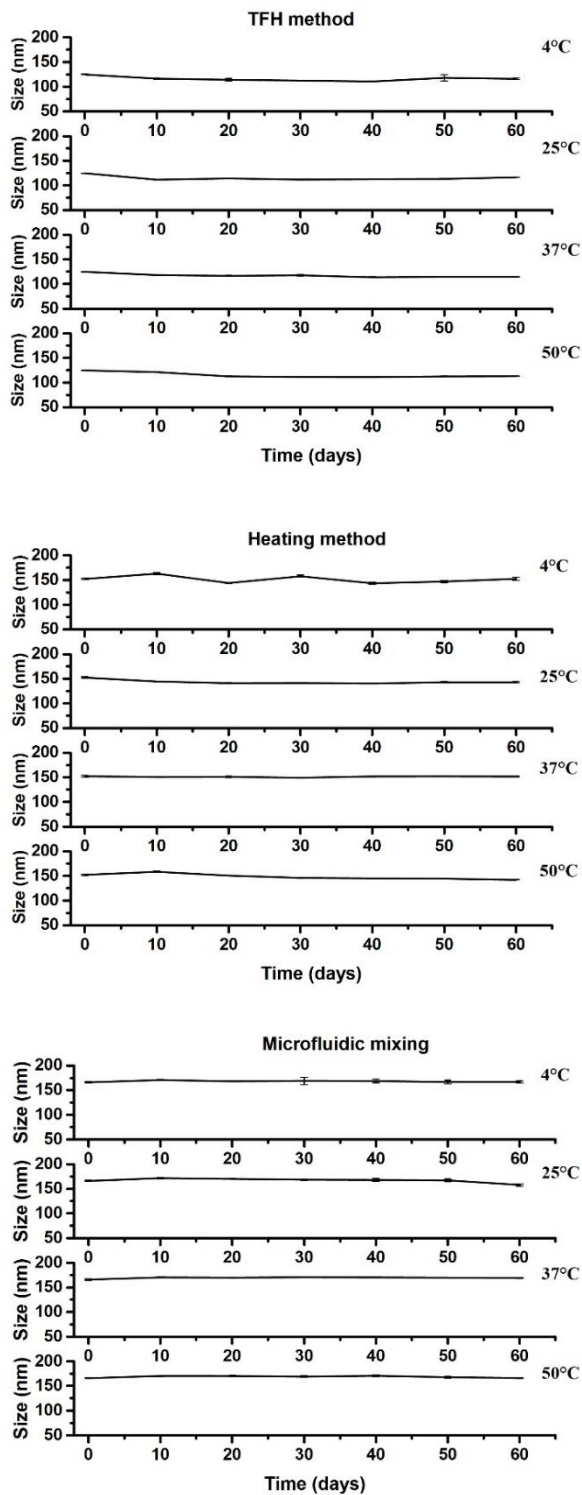


Figure 1. Size of NISV prepared by the TFH method, heating method, and microfluidic mixing and stored over 60 days at 4°C, 25°C, 37°C and 50°C. The data represents the mean ± SD (n=3).

269 **3.3. Morphological analysis of NISV prepared by different methods**

270 Figure 2 shows the morphology of NISV prepared by the TFH and heating methods after  
271 extrusion and by microfluidics. All the particles were spherical in shape regardless of the  
272 method of preparation. Some images showed large particle aggregates, which are due to  
273 the high concentration of these particles in the tested samples which formed upon drying  
274 the sample on the mica surface.

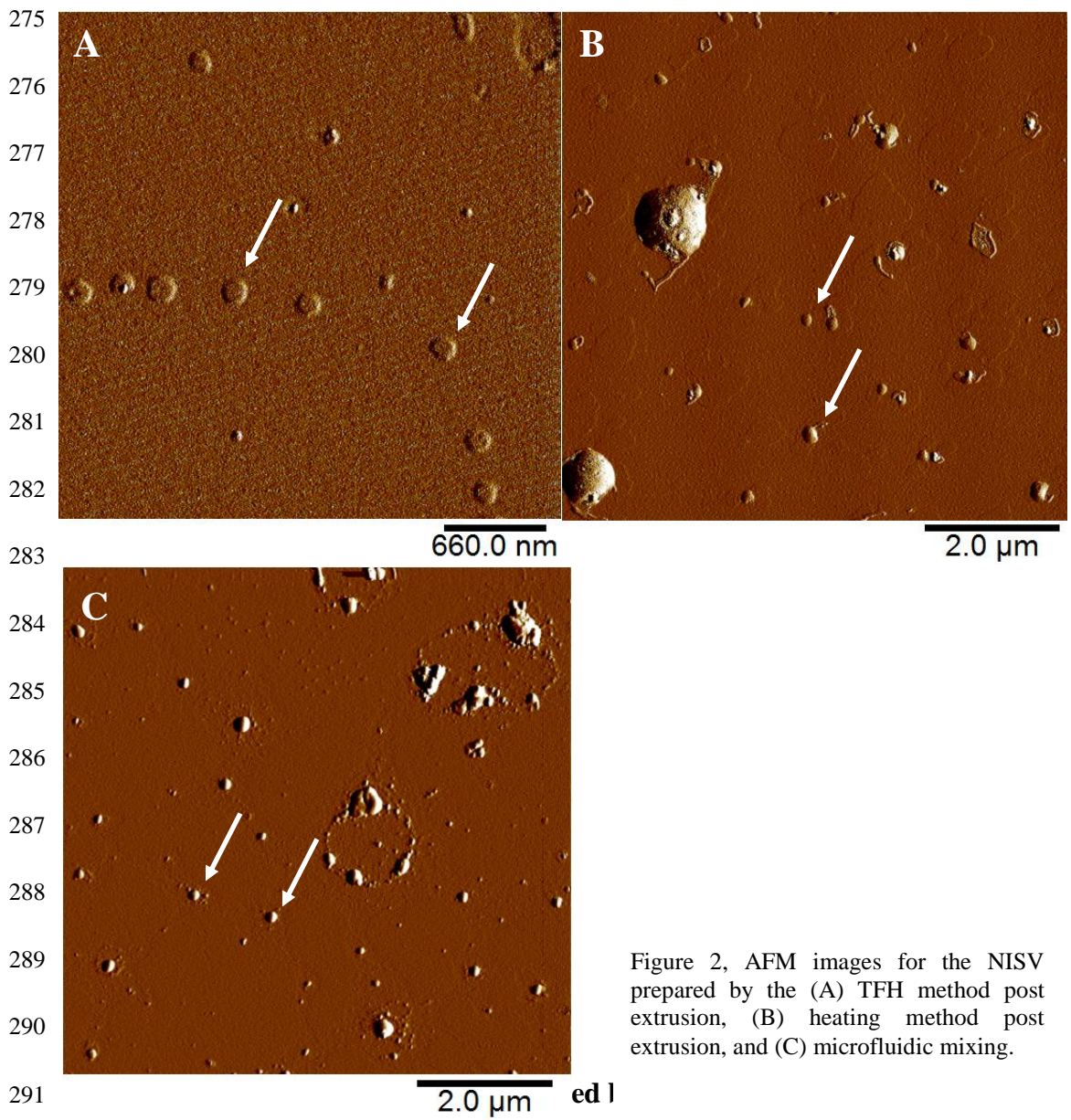
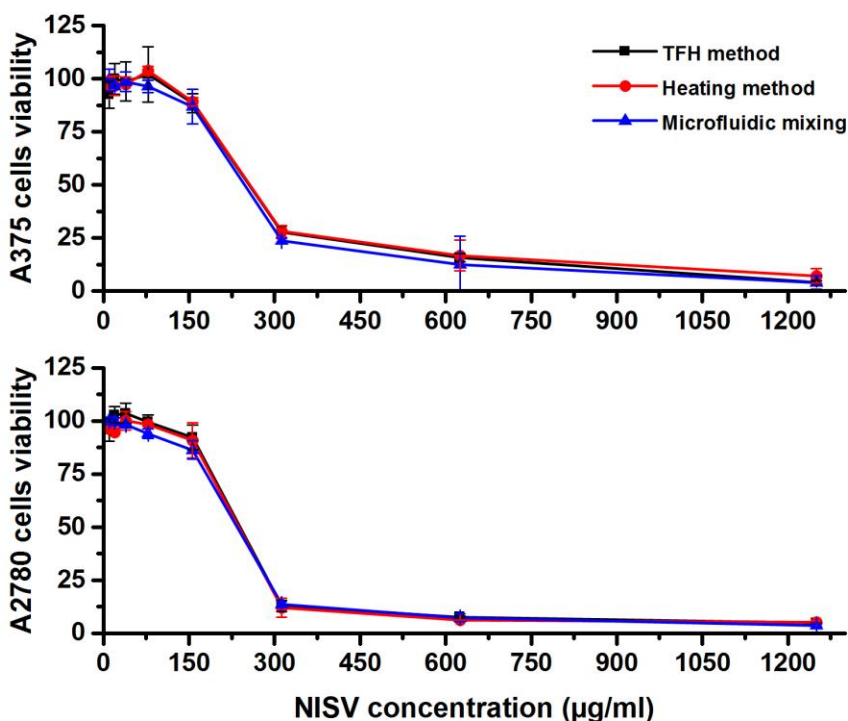


Figure 2, AFM images for the NISV prepared by the (A) TFH method post extrusion, (B) heating method post extrusion, and (C) microfluidic mixing.

292 Figure 3 shows the cytotoxicity of the NISV prepared by the three methods on A375 and  
 293 A2780 cell lines and Table 2 shows the calculated EC50. All three formulations show the  
 294 same cytotoxicity profile as the difference in the EC50 between the particles on both cell  
 295 lines was not significant ( $p>0.05$ ). NISV with a concentration  $\leq 150 \mu\text{g/ml}$  found to be  
 296 non-toxic where 100 % cell viability was detected on both cell lines regardless of the  
 297 method of manufacturing. The buffer alone used in the vesicle preparation was not toxic  
 298 and the cells were 100% viable (data not shown).  
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301 Figure 3. Cytotoxicity of the NISV prepared by three methods on A375 and A2780 cell lines. The  
 302 data represents the mean  $\pm$  SD (n=3).

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305 Table 2. EC50 values in ( $\mu\text{g/ml}$ ) of NISV, prepared using three different manufacturing  
 306 methods, on A375 and A2780 cells. The data represents the mean  $\pm$  SD (n=3).

Method of preparation	EC50 ( $\mu\text{g/ml}$ )	
	A375 cell line	A2780 cell line
TFH method	254.7 $\pm$ 11.5	229.9 $\pm$ 14.43
Heating method	258.9 $\pm$ 19.53	224.6 $\pm$ 28.32
Microfluidic mixing	240.1 $\pm$ 13.81	228.9 $\pm$ 5.651

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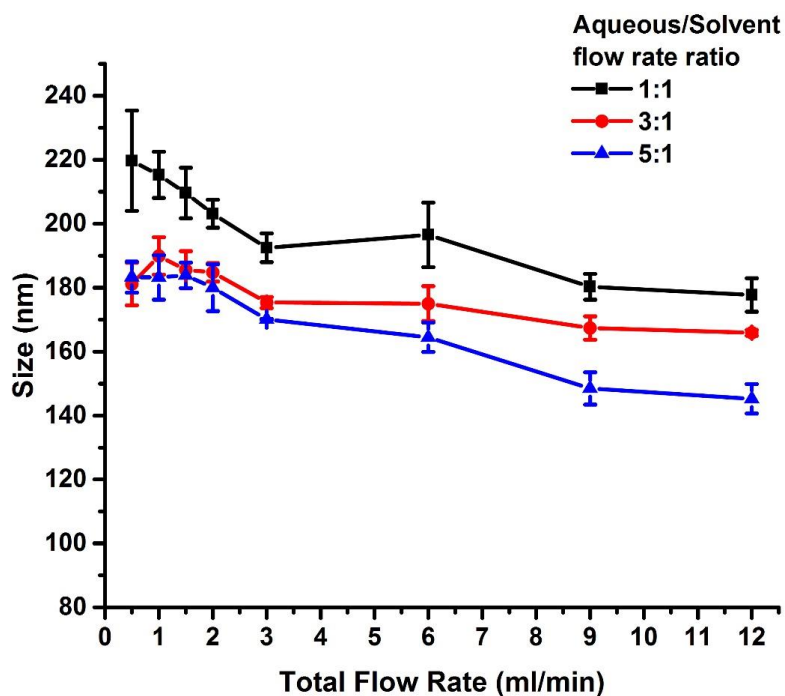
### 308 3.5. The effects of TFR and FRR on NISV prepared by microfluidics

309 Figure 4 shows the changes of the particles size by changing the FRR from 1:1 to 5:1  
 310 (aqueous: lipid phases) and the TFR from 0.5-12 ml/min. As can be seen in Figure 4, as  
 311 the aqueous/ethanol FRR increased from 1:1 to 5:1, a significant ( $p<0.05$ ) reduction in  
 312 NISV size was observed and found to be TFR dependant. At a TFR  $<$  3 ml/min, the  
 313 difference between the particles prepared at FRR of 3:1 and 5:1 was not significant  
 314 ( $p>0.05$ ). However, at higher TFR ( $>$  3 ml/min), the difference between these two FRRs  
 315 was significant ( $p<0.05$ ). For example, at a TFR of 0.5 ml/min, the particle size prepared  
 316 at FRR of 1:1, 3:1 and 5:1 were  $219.71 \pm 15.69$  nm,  $181.14 \pm 6.65$  nm, and  $183.32 \pm 4.88$   
 317 nm, respectively while at a TFR of 12 ml/min, the particle size for NISV was  $177.73 \pm 5.26$   
 318 nm at FRR 1:1,  $165.90 \pm 0.92$  at FRR 3:1 and particles prepared at FRR 5:1 was  $145.25 \pm$   
 319  $4.64$  nm. The TFR was shown to have a significant ( $p<0.05$ ) effect on particle size where  
 320 the increase in the TFR from 0.5 ml/min to 9 ml/min resulted in an overall reduction in  
 321 particle size at all the FRR. However, further increase in the TFR above 9 ml/min was not  
 322 associated with a significant decrease in particle size at all the FRR (Figure 4).

323 Regarding the effects of the FRR on the total particle charge, the increase in the solvent  
324 concentration at lower FRR (1:1) results in a higher percentage of the charged material (i.e.  
325 DCP) in the particles. Therefore, as the FRR increased from 1:1 to 5:1 there was a decrease  
326 in the absolute value of the ZP from about -30 mV at 1:1 to about -20mV at 5:1 regardless  
327 of the TFR. This means that the FRR factor also has an effect on the ZP in addition to its  
328 effect on particle size. However, this effect on the ZP was not significant ( $p>0.05$ ).

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332 Figure 4. Size changes of NISV prepared at different TFR and FRR of the aqueous and  
333 lipid phase. The data represents the mean  $\pm$  SD (n=3).

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#### 338        **4. Discussion**

339        The objective of this work was to assess the physicochemical properties of the NISV  
340        produced by three different methods. The TFH and heating methods have previously been  
341        reported to produce large multilamellar particles that require a post-manufacturing size  
342        reduction step [30], as confirmed by this study. Microfluidic mixing on the other hand was  
343        shown to produce small sized nanoparticles with low distribution in a single production  
344        step [24].

345        Traditionally, the production of small and monodisperse particles using the TFH and  
346        heating methods were limited by the use of the post-manufacturing size reduction step to  
347        produce particles of the required size and to reduce the PDI. This has limited the use of  
348        these methods to bench scale since there is a much longer industrial scale process required  
349        to produce a consistently size end product. However, microfluidic mixing allows the  
350        production of controlled particle size with homogenous distribution in a single step without  
351        the need for post-manufacturing size reduction (Table 1). This offers the potential to  
352        facilitate the production of NISV at larger scale. Moreover, the production of these small  
353        particles by microfluidics can save time as the total preparation time took minutes while  
354        the production of small particles by the other methods required several hours.

355        Next, we evaluated the stability of the vesicles over two months, at different storage  
356        temperatures following extended incubation by monitoring any changes in the particles  
357        size, PDI, and ZP. As can be seen in Figure 1, TFH and heating methods (post extrusion)  
358        and microfluidic mixing produced stable particles with respect to size with no significant  
359        change at all storage temperatures. Also, there was no significant change in the particles  
360        PDI and ZP at all the tested temperatures regardless of the method of preparation (data not

361 shown). Temperature can have an energy input to the system and can sometimes lead to  
362 changes in the crystalline structure of the lipids or might cause changes in the ZP and these  
363 changes might affect the stability of the particles [31]. Several researchers have reported  
364 the instability of the particles when stored at high temperatures. In two different studies,  
365 Feritas *et al.* (1998 and 1999) reported the instability of their solid lipid nanoparticles  
366 (SLN) with the introduction of energy to the system. This instability was reported in terms  
367 of size increase and reduction of ZP when the particles were stored at 50°C [32, 33]. At  
368 4°C, this was generally the most favourable storage condition although some reports  
369 indicate the instability of the formed particles when stored at low temperatures [31]. In this  
370 study, all three methods exhibited excellent stability at four different temperatures with no  
371 significant increase in the average particle size, PDI, and ZP ( $p>0.05$ ) when stored for two  
372 months even at the higher storage temperatures. These data indicate that microfluidics not  
373 only enables rapid, robust, and scalable production of NISV, but also supports the stable  
374 formation of these vesicles which is necessary for applications requiring prolonged shelf  
375 life such as in pharmaceutical drug delivery. Although there was some residual ethanol in  
376 the formulations prepared by microfluidics, this good vesicles stability suggests that the  
377 amount of ethanol sequestered in the NISV bilayer is not significant as high ethanol content  
378 will promote rapid degradation of the bilayer structure which is not the case in these  
379 formulations. However, this residual ethanol can be removed, if necessary, via  
380 conventional batch purification techniques such as evaporation, extraction, or dialysis  
381 [34].

382 Morphological observations of AFM images confirmed the formation of spherical particles  
383 of NISV prepared by the TFH and heating methods after extrusion and by microfluidics

384 (Figure 2). These results confirmed that the particles prepared by microfluidics in a single  
385 step are similar to the extruded particles prepared by more traditional TFH and heating  
386 methods.

387 Regarding the effects of the manufacturing methods on particle cytotoxicity, the viability  
388 of A375 and A2780 cells were measured after treatment with a range of NISV  
389 concentrations (9.76 -1250  $\mu\text{g/ml}$ ) prepared by all three methods. Cell metabolic activity  
390 measurements by conversion of resazurin showed no difference in cytotoxicity of the NISV  
391 prepared by the three methods as assessed by their EC50 values (Table 2). NISV with lipid  
392 concentrations below 150  $\mu\text{g/ml}$  were non-toxic with 100% cell viability retained. Any  
393 difference in the physical characteristics of the particles such as size or charge would affect  
394 their cellular uptake, which would then affect cell viability [27, 35]. Here, since the  
395 particles prepared by the three methods have comparable characteristics in terms of size  
396 and charge, there was no difference on cell viability regardless of the method of  
397 preparation. This reflects the potential to have significant impact on various drug delivery  
398 applications by improving the manufacturing process of currently available NISV-based  
399 drugs. This would be achieved by replacing conventional methods of preparation with  
400 microfluidics to obtain the same outcomes, while gaining advantages in terms of rapid  
401 production of reproducible particles.

402 For the formation of lipid-based particles through microfluidic mixing, the rate of mixing  
403 as well as the ratio of aqueous-to-solvent streams were anticipated to be crucial factors in  
404 particle preparation as these factors will affect the ratio of each phase in the mixing process  
405 as well as the mixing time between both phases [25, 36]. Therefore, NISV composed of  
406 MPG:Chol:DCP (5:4:1 molar ratio) were prepared by microfluidic mixing at different TFR

407 and FRR. The FRR strongly affected the final solvent concentration. At lower FRR (1:1),  
408 the final solvent concentration increased, thus boosting the production of larger particles  
409 due to particle fusion and lipid exchange while at higher FRR (5:1), the chance of  
410 producing large particles was reduced as a result of reduced solvent concentration. Previous  
411 work using hydrodynamic flow-focusing techniques for the preparation of NISV using  
412 different types of sorbitan esters surfactant have also been reported to increase NISV size  
413 with the decrease in FRR, which is in agreement with results in this study [23].

414 The effect of the TFR on particle size is still debatable. While some researchers have  
415 reported that TFR does not have a significant effect [37], others have reported the contrary  
416 [38]. In this study, TFR was shown to have an impact on particle size especially at values  
417 < 9 ml/min. This means that these two factors (FRR and TFR) should be optimised when  
418 NISV are formulated by microfluidic mixing. In our previous work, we have demonstrated  
419 that the aqueous media used also has a significant effect on NISV characteristics when  
420 prepared by microfluidics [27]. So microfluidic mixing allows the production of NISV with  
421 a tuned particle size by varying the TFR, FRR, and aqueous media.

## 422 **5. Conclusions**

423 In this work, the characteristics of NISV prepared by microfluidics were compared with  
424 those prepared by the conventional TFH and heating methods. Microfluidic mixing enabled  
425 preparation of small, monodisperse particles in a single step, without the need of a size  
426 reduction step as in the case of the other methods. The method of preparation did not have  
427 significant effects on particle stability and toxicity. Using microfluidic mixing, a  
428 homogenous NISV suspension was prepared with high reproducibility. FRR and TFR  
429 between the two phases of the microfluidic mixing are the factors that have significant

430 effects on particle characteristics, which can be optimised in order to produce NISV with  
431 a defined size which is important in developing an effective drug delivery system. This  
432 work suggests that the use of microfluidic mixing in NISV preparation may facilitate the  
433 development and optimisation of these dispersions for nanomedicine applications at both  
434 bench and industrial scales.

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