

1 Derivatized chitosan-oil-in-water nanocapsules for  
2 *trans*-cinnamaldehyde delivery

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13 **Highlights**

14 O/w chitosan derivatives-coated nanocapsules preparation by spontaneous emulsification.

15 Chitosan-coated nanocapsules show 99 % *trans*-cinnamaldehyde association efficiency

16 N-hexanoyl-*N',N',N'*-trimethyl chitosan-coated nanocapsules are stable in PBS for 24 h.

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18 Abstract

19 *Trans*-cinnamaldehyde, known for its bacterial anti-quorum sensing activity when applied at  
20 sublethal concentrations, has gained traction given its potential use against multidrug resistant  
21 bacteria. In this work, *trans*-cinnamaldehyde-loaded oil-in-water nanocapsules coated with  
22 chitosan, *N,N,N*-trimethyl chitosan chloride, *N*-(2-(*N,N,N*-trimethylammoniumyl)acetyl) chitosan  
23 chloride or *N*-(6-(*N,N,N*-trimethylammoniumyl)hexanoyl)chitosan chloride were obtained. All  
24 the formulated nanocapsules showed a Z-average hydrodynamic diameter ~160 nm and  $\zeta$ -  
25 potential higher than +40 mV. *N,N,N*-trimethyl chitosan-coated oil-in-water nanocapsules  
26 showed the greatest *trans*-cinnamaldehyde association efficiency ( $99.3 \pm 7.6$ ) % and total payload  
27 release ( $88.6 \pm 22.5$ ) %, while *N*-(6-(*N,N,N*-trimethylammoniumyl)hexanoyl)chitosan chloride  
28 chitosan-coated oil-in-water nanocapsules were the only formulations stable in phosphate buffer  
29 saline PBS (pH 7.4) upon incubation at 37 °C for 24 h. Future work should address the stability  
30 of the developed nanocapsules in culture media and their biological performance.

31 KEYWORDS: Chitosan, oil-in-water nanocapsules, *trans*-cinnamaldehyde, stability,  
32 dynamic light scattering, bacterial quorum sensing.

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47 **1. Introduction**

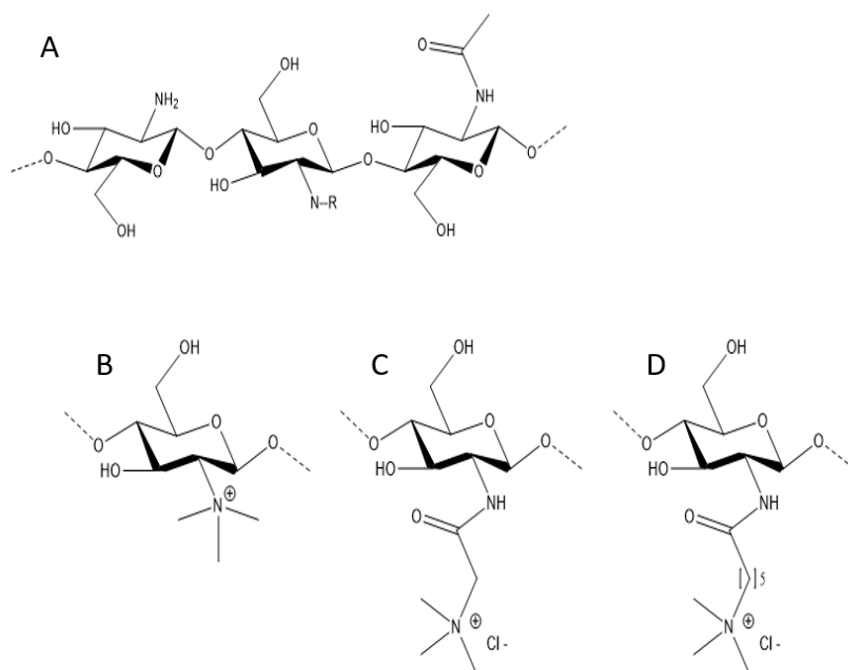
48 *Trans*-cinnamaldehyde (*tCA*) is a phenylpropanoid obtained from cinnamon and *Cassia*  
49 essential oils [1]. The interest on *tCA* lies in its antifungal [2] and antibacterial [3] quorum  
50 sensing inhibitory [4] activities, among others [5]. It has been reported that *tCA* shows a  
51 synergistic effect when administered together with polymyxin B against *Serratia*  
52 *marcescens* [6] and when administered together with colistin against *Pseudomonas*  
53 *aeruginosa* [7]. *tCA* alone or in synergistic blends could be an alternative treatment to  
54 fight against bacterial infections specially when fighting against multidrug resistant  
55 bacteria species. At low concentrations, commonly in the  $\mu\text{M}$  range [5], *tCA* is a well-  
56 established quorum sensing (QS) inhibitor of Gram-negative bacteria [8]. QS are bacteria-  
57 density dependent communication systems that induce virulence genes expression, such  
58 as those involved in biofilm production, bioluminescence, among other traits [9,10]. It  
59 has been reported that *tCA* exert pleiotropic effects on QS, thus reducing the virulence  
60 factors expressed by Gram-negative bacteria [8,11]. In addition, it has been reported that  
61 the *tCA* QS inhibition ability against *Pseudomonas aeruginosa* increased when  
62 combined with colistin or tobramycin [7], which suggests an increase in the sensitivity  
63 against antibiotics when they are co-applied with *tCA*. Given this capacity combined with  
64 the interference with QS, *tCA* may offer a promising potential to fight against multi-  
65 resistant bacteria.

66 The partition coefficient (logP) reported for *tCA* is 1.98 [12], which means that it shows  
67 low water solubility, namely 1.4 mg/mL [13]. Oil-in-water nanoemulsion (NE) have been  
68 proposed as a strategy to increase *tCA* water solubility and bioavailability [14]. However,  
69 NE show low stability, which compromises their beneficial properties. Coating NE with  
70 oppositely charged polyelectrolytes confers it with electrostatic colloidal stability, further  
71 here referred to it as oil-in-water nanocapsules (o/w NC). To increase the interactions

72 between o/w NC and mucosal surfaces, cell membranes and bacterial surfaces,  
73 polycationic polymers, such as Eudragit® [15,16] or chitosan [17], among others, have  
74 been used as coating polyelectrolytes.

75 Chitosan (CS) is a family of aminopolysaccharides that shows interesting properties for  
76 the development of drug delivery systems such as mucoadhesion, immunomodulatory  
77 effect, antibacterial [18] and anti-QS properties [19]. Chitosan coating results in  
78 positively charged o/w nanocapsules that will interact easily with negatively charged  
79 bacterial and mammalian cells surfaces [20,21]. *t*CA-loaded CS-coated o/w NC have  
80 been successfully prepared by our research group [1]. We demonstrated that the *t*CA-  
81 loaded NC can target an *E. coli* Top 10 strain QS reporter and inhibited QS more  
82 effectively than non-CS coated NE. These nanocapsules can bind to *E. coli* bacteria under  
83 a “stoichiometric ratio” [21]. In other studies, we have shown the efficacy of the  
84 nanocapsules to load baicalein, quercetin, and naringenin to inhibit bacterial QS and  
85 biofilm formation [22,23]. Given that CS has a pKa of  $6.0 \pm 0.1$  [24], it loses its  
86 polycationic nature at neutral pH. To overcome this limitation and obtain polycationic CS  
87 at pH close to various relevant physiological and biological context, side groups such as  
88 quaternary ammoniumyl have been added to CS to yield quaternary ammonium CS  
89 derivatives with polycationic character at a wide range of pH. Sahariah and colleagues  
90 have shown that these derivatives interact effectively with negative membranes of  
91 bacteria at neutral pH, which increases their antibacterial activity [25] under physiological  
92 conditions. The anti-QS of such chitosan derivatives in solution or in nanostructured  
93 particle formulations has not been reported. As a first step to address this gap, we have  
94 hypothesized in this work that o/w NC coated with CS quaternary ammonium derivatives  
95 and loaded with *t*CA will exhibit improved physicochemical and colloidal stability  
96 properties which will translate into novel antimicrobial approaches. In this work, we

97 formulated *t*CA-loaded quaternary ammonium CS derivative-coated o/w NC using  
 98 synthesized quaternary ammoniumyl CS derivatives having different spacers- *N,N,N*-  
 99 trimethyl chitosan chloride (CSder1), *N*-(2-(*N,N,N*-trimethylammoniumyl)acetyl)-  
 100 chitosan chloride (CSder2) and *N*-(6-(*N,N,N*-trimethylammoniumyl)hexanoyl)-chitosan  
 101 chloride (CSder3) (Fig. 1). We report the synthesis of the chitosan derivatives using a  
 102 novel synthetic methodology to obtain highly N-selective products. We report here, for  
 103 the first time, the feasibility to formulate *t*CA-loaded NC, their thorough biophysical  
 104 characterization and the evaluation of their colloidal stability in PBS at 37 °C up to 24 h,  
 105 that enable to assess the suitability of these systems for following up studies aiming to  
 106 assess their biological performance.



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108 Fig. 1. Structure of partially deacetylated chitosan with side chain designated as R (A).  
 109 The units with the side chains for chitosan (A), *N,N,N*-trimethyl chitosan chloride (B), *N*-  
 110 (2-(*N,N,N*-trimethylammoniumyl)acetyl)-chitosan chloride (C) and *N*-(6-(*N,N,N*-  
 111 trimethylammoniumyl)hexanoyl)-chitosan chloride (D) are also plotted.

## 112 2. Materials and methods

### 113 2.1. Materials

114 Chitosan HMC 90/5 (Batch number 212-181115-04) with a degree of acetylation (DA)  
115 ~5 %, as determined by <sup>1</sup>H-NMR spectroscopy, and molar mass ~20.1 kg/mol, and  
116 polydispersity (Đ) 1.8 as determined by GPC-MALS-DRI, was from Heppe Medical  
117 Chitosan GmbH (Halle, Germany). Quaternary ammonium CS derivatives were  
118 synthesized and characterized in collaboration with the Department of Life and  
119 Environmental Sciences, University of Iceland (Reykjavik, Iceland). The molar mass  
120 distribution of the quaternary ammonium CS derivatives was characterized by  
121 asymmetrical flow field-flow fractionation (FFF multiflow AF2000 from Postnova  
122 Analytics GmbH, Landsberg am Lech, Germany) (Table 1 and Fig. S1 and S2). The  
123 degree of substitution (DS) for all the derivatives was determined by using the integrals  
124 in the <sup>1</sup>H NMR spectrum and are included in Table 1. <sup>1</sup>H-NMR spectra were recorded at  
125 300 K using a Bruker Avance 300 MHz spectrometer equipped with a BBO probe.  
126 Samples were measured in D<sub>2</sub>O at a concentration of 6 mg/mL. The final spectrum was  
127 processed using MestReNova software version 14.2.0-26256. The DS for the chitosan  
128 derivatives was calculated using the following equations:

$$DS \text{ for } CS_{der1} = \left[ \frac{\int(N - CH_3) 6}{\int(H_2 - H_6) 9} \right] \cdot 100 \quad (\text{Eq 1})$$

$$DS \text{ for } CS_{der2} \text{ and } CS_{der3} = \left[ \frac{\int(N - CO - CH_2) 6}{\int(H_2 - H_6) 2} \right] \cdot 100 \quad (\text{Eq 2})$$

129 Note: H<sub>2</sub>–H<sub>6</sub> represent the protons H<sub>2</sub>, H<sub>3</sub>, H<sub>4</sub>, H<sub>5</sub> & H<sub>6</sub> in the glucosamine unit.

130 *t*CA (M<sub>w</sub> = 132.6 g/mol, 99 % richness, density 1.08 g/mL) was purchased from Sigma-  
131 Aldrich (UK). Lecithin (Epikuron 145 V) was purchased from Cargill Texturizing  
132 Solutions GmbH (Hamburg, Germany) and stored at -20 °C until use. Miglyol 812® was  
133 purchased from IOI OLEO GmbH (Witten, Germany). Acetonitrile and water were HPLC

134 grade and were purchased from Fisher Chemical (UK). 0.01 M phosphate buffer saline  
135 (PBS) tablets (pH 7.4) were purchased from Fischer BioReagents (Belgium, code:  
136 BP2944-100). Absolute ethanol was purchased from VWR. MilliQ water (resistivity =  
137 18.2 mΩ) was also used. All chemicals used in synthesis were purchased from Sigma-  
138 Aldrich.

## 139 2.2. Methods

### 140 2.2.1. Synthesis

141 **Chitosan hydrochloride salt.** Chitosan (DA ~5%, Mw ~2 x 10<sup>4</sup> g/mol) was stirred in  
142 hydrochloric acid 37 % at 0.06 g/mL until fully dissolved. The solvent was removed under  
143 reduced pressure. The solid was triturated with 20 mL of acetonitrile twice and  
144 redissolved in water (100 mL) and lyophilized to obtain the final product that will be used  
145 for further modification. Yield: 3.6 g (98%).

146 **CSder1.** Chitosan hydrochloride (1 g, 4.63 mmol) was dissolved in DMSO (30 mL),  
147 followed by addition of 10.02 mmol of NaHCO<sub>3</sub>. 25.06 mmol of methyl iodide was then  
148 added dropwise to the reaction and the mixture was stirred at 50 °C for 48 h. The reaction  
149 mixture was diluted with 20 mL de-ionized water and purified using dialysis membrane  
150 (3.5 kDa Mw cut-off). The solution was ion-exchanged against 10% NaCl and re-dialyzed  
151 against water for 24 h and then lyophilized. Yield: 0.96 g (79.3%). <sup>1</sup>H NMR (300 MHz,  
152 D<sub>2</sub>O): δ 2.10 (N-Ac), 3.37 [N(CH<sub>3</sub>)<sub>3</sub>], 3.57 [6-O-CH<sub>3</sub>], 3.77–4.49 (H-2–H-6), 5.49 (H-1)  
153 ppm.

154 **CSder2.** Chitosan hydrochloride (1 g, 4.63 mmol) was dissolved in DMSO (30 mL),  
155 followed by addition of 10.02 mmol of Cs<sub>2</sub>CO<sub>3</sub>. 25.06 mmol of Bromoacetyl chloride  
156 was then added dropwise to the reaction and the mixture was stirred at 50°C for 48 h.  
157 After completion, the product was precipitated by diluting with de-ionized water (30 mL),  
158 filtered and washed with 20 mL of acetonitrile twice. The precipitate was then stirred in

159 25 mL of trimethylamine solution 31-35 wt. % in ethanol at room temperature for 24 h.  
160 The reaction mixture was then diluted with de-ionized water, dialyzed and lyophilized as  
161 described above to obtain CSder2. Yield: 1.18 g (79.1%). <sup>1</sup>H NMR (300 MHz, D<sub>2</sub>O): δ  
162 2.07 (N-Ac), 3.35 [N(CH<sub>3</sub>)<sub>3</sub>], 3.53–3.85 (H-2–H-6), 4.20 (CO-CH<sub>2</sub>), 4.65 (H-1) ppm.  
163 **CSder3.** Chitosan hydrochloride (1 g, 4.63 mmol) was dissolved in DMSO (30 mL),  
164 followed by addition of 10.02 mmol of Cs<sub>2</sub>CO<sub>3</sub>. 25.06 mmol of 6-bromohexanoyl  
165 chloride was then added dropwise to the reaction and the mixture was stirred at 50°C for  
166 48 h. After completion, the precipitation and following treatments were as described  
167 above to obtain CSder3. Yield: 1.25 g (70.6%). <sup>1</sup>H NMR (300 MHz, D<sub>2</sub>O): δ 1.41 (N-  
168 CH<sub>2</sub>-), 1.69 (-CH<sub>2</sub>-), 1.84 (-CH<sub>2</sub>-), 2.07 (N-Ac), 2.36 (CO-C-CH<sub>2</sub>), 3.12 [N(CH<sub>3</sub>)<sub>3</sub>],  
169 3.33–3.95 (H-2–H-6), 4.65 (H-1) ppm.

#### 170 2.2.1. Preparation of oil-in-water nanocapsules

171 Oil-in-water nanocapsules were prepared following the spontaneous emulsification  
172 technique developed by Calvo and colleagues [26], with slight modifications: the method  
173 was down-scaled dividing by half all the volumes while keeping concentrations. To  
174 prepare blank CS-coated o/w NC, 100 μL of Epikuron 145V at 100 mg/mL in ethanol  
175 were mixed with 132.5 μL of ethanol and 31.5 μL of Miglyol 812®. On top of the solution  
176 obtained, 2.375 mL of ethanol was added to form the organic phase solution, which was  
177 later poured on the water phase under moderate magnetic stirring. Water phase consisted  
178 in 5 mL of CS or CS derivative solution, prepared at 0.5 mg/mL. (the first was prepared  
179 in 5 % stoichiometric excess of HCl whereas CS derivative solutions were prepared in  
180 MilliQ water). After mixing both phases by pouring the organic phase over the aqueous  
181 one, a milky solution was obtained. Ethanol was evaporated in rotavapor (HeidolphHei-  
182 Vap advantage, Heidolph Instruments GmbH & Co, KG, Denmark) at 40 °C and rotating  
183 at 100 rpm. The pressure was set to 150 mbar for 5 minutes and then was lowered to 50



184 mbar for another 12 minutes keeping temperature and rotation. The final volume was 1  
185 mL approximately. Then, another mL of MilliQ water was added to the formulation. To  
186 prepare loaded o/w NC, the same procedure was applied with slight variations in the  
187 preparation of the organic phase: instead of adding 132.5  $\mu$ L of absolute ethanol, this  
188 volume corresponded to a solution of *t*CA in ethanol at 75.6 mM. For the preparation of  
189 NE, the water phase consisted only in MilliQ water.

#### 190 2.2.2. Size and $\zeta$ -potential characterization

191 The hydrodynamic diameter distribution was measured by non-invasive back-scattering  
192 (NIBS) dynamic light scattering (DLS) at an angle of 173°. The  $\zeta$ -potential was  
193 determined from the electrophoretic mobility by mixed-mode measurement phase  
194 analysis light scattering (M3-PALS). Both parameters were measured using a Zetasizer  
195 Ultra model zsu5700 (Malvern Pananalytical, Worcestershire, UK) equipped with a 4  
196 mW He/Ne laser beam ( $\lambda = 633$  nm). Each measurement corresponds to the average of 4  
197 runs executed under automatic conditions. Prior to each analysis, the formulations were  
198 diluted up to 5 % in only in MilliQ water for the size analysis and in 1 mM NaCl to  
199 perform  $\zeta$ -potential analysis measurements. Both parameters were measured at 25 °C.

#### 200 2.2.3. Morphology

201 Transmission electron microscopy (TEM) analysis was carried out using a transmission  
202 electron microscope JEOL JEM-1400. A droplet of the o/w NC under analyses was  
203 deposited on a copper grid carbon coated. Then, the excess of liquid was removed, and  
204 the sample was allowed to dry. The images were captured at 100 kV.

#### 205 2.2.4. Encapsulation efficiency and loading capacity

206 *Trans*-cinnamaldehyde content in each o/w NC or NE solution was analyzed by HPLC.  
207 The stationary phase was a C18 Kinetex column (Kinetex 5  $\mu$ m C188 100 Å, LC column  
208 150 x 4.6 mm, H18-045285, 5701-0054). The flow rate was set to 0.6 mL/min and the  
209 signal from UV – detector set online were recorded for 20 min. Water (A) and acetonitrile  
210 (B) were used as mobile phases in gradient mode: 0-10 min 70 % A and 30 % B, 10-16  
211 min 50 % A and 50 % B, 16-19 min 70 % A and 30 % B. The *t*CA was detected at  $\lambda =$   
212 285 nm. The volume injected for each analysis was 5  $\mu$ L. The results shown are the  
213 average of 3 different injections carried out at the same conditions.

214 A calibration curve was performed for the analysis of *t*CA solutions in ethanol at  
215 concentration in the range 0.005 to 4 mM, following the methodology explained above.  
216 From the chromatograms obtained at  $\lambda = 285$  nm, the area under the curve (AUC) of the  
217 peak eluted at around 3.5 min was analyzed. The calibration curve was created plotting  
218 AUC against concentration (in M). The  $R^2$  was 0.9999. The calibration curve function  
219 was  $AUC = 2451.4 \times \text{concentration} - 16.135$ .

220 For the determination of encapsulation efficiency, 1 mL of each o/w NC formulation was  
221 centrifuged at 25000 g for 60 minutes at 15 °C in a high-speed centrifuge (Beckmann  
222 culter Avanti j-30I). This process allows the separation of the sample in three phases: a  
223 top creamy layer containing o/w NC, a pellet consisting on the exceeding components  
224 complexed together and between those previously indicated, a subnatant containing  
225 uncomplexed components in free solution. The creamy phase was collected and placed in  
226 separate tube and filled with water up to one mL. Then, 25  $\mu$ L of the solution prepared  
227 was added in 475  $\mu$ L of ethanol and centrifuged at 2200 g for 5 minutes at room  
228 temperature in a centrifuge (5418, Eppendorf, Germany). The amount of *t*CA was  
229 determined by HPLC, as indicated above. The encapsulation efficiency (EE%) was  
230 determined as percentage of *t*CA in the creamy phase ( $c_{o/w NC}$ ) with respect to the total

231 concentration of the payload added in the formulation ( $c_{total}$ ), according to the equation  
232 3.

$$EE (\%) = \frac{(c_{o/w NC} \times 100)}{c_{total}} \quad (\text{Eq. 3})$$

233 It was calculated the loading capacity (LC %) of different o/w NC as the percentage of  
234 mass of entrapped tCA ( $m_{entrapped tCA}$ ) with respect to the total mass of the o/w NC  
235 ( $m_{o/w NC}$ ), according to the equation 4.

$$LC (\%) = \frac{m_{entrapped tCA} \times 100}{m_{o/w NC}} \quad (\text{Eq. 4})$$

#### 236 2.2.5. *In vitro* tCA release

237 The *in vitro* release test was carried out in PBS: 0.5 mL of o/w NC for each formulation  
238 was added to 4.5 mL of PBS solution and incubated for 6 h at 37 °C. This was considered  
239 as an end-point measurement, based on our previous study [1]. To this end, 1.5 mL of  
240 each solution were placed in a Vivaspin tube 15 (Sartorius, UK, 30000 MWCO) and  
241 centrifuged at 3992 g for 20 min in a Rotina 380R centrifuge (Hellettic Zentrifugen). The  
242 concentration of tCA in the filtered solution was determined by HPLC following the  
243 method described above. The *in vitro* release was calculated as percentage according to  
244 the equation 5:

$$In vitro \text{ release } (\%) = \frac{(c_{tCA \text{ released}} \times 100)}{c_{total}} \quad (\text{Eq. 5})$$

245 Where  $c_{tCA \text{ released}}$  is the concentration of tCA quantified in the filtrated by HPLC.

#### 246 2.2.6. Stability study

247 The stability of the o/w NC was evaluated in terms of size variation over time after  
248 incubation in PBS 0.01 M pH 7.4 at 37 °C in order to evaluate the aggregation of the  
249 particles. 0.25 mL of each nanocapsules suspension were transferred into cuvettes  
250 containing 2.25 mL of PBS solution and the suspension was incubated at 37 °C for 24  
251 hours. The size of the o/w NC or NE by DLS was analyzed following the same method  
252 described above, at different time points: immediately after adding the o/w NC or NE to  
253 the PBS and then every hour up to 3 h and after 24 h of incubation.

#### 254 2.2.7. Statistical analysis

255 Normal distribution of variables and homogeneity of variances were confirmed by  
256 Shapiro-Wilk and Levene tests, respectively. ANOVA one-way test followed by a Games  
257 Howell test were carried out to identify the significant differences among the  
258 characteristics studied on each data population. The significance level was fixed to 95 %.  
259 For statistical analyses SPSS software version 28.0.1.1. was used.

### 260 3. Results and discussion

261 Different approaches have been explored to overcome the low colloidal stability of NE  
262 formulations in certain instances. For example, inorganic particles, such as silica (SiO<sub>2</sub>)  
263 nanoparticles, have been used to stabilize *t*CA NE forming Pickering emulsions [27].  
264 Silica-coated *t*CA-loaded o/w NC showed antibacterial activity on gram positive (*S.*  
265 *aureus*) as well as on Gram-negative (*E. coli*, *P. aeruginosa* and *En. cloacae*) bacteria  
266 models and promoted cell proliferation of cells 3T3 [27]. Other strategies are based on  
267 the use of polycationic polymers for coating *t*CA-loaded o/w NC. Polycationic polymers  
268 are used to target the o/w NC against cell membranes and bacterial surfaces due to their  
269 negative charge. To this end, CS with Mw in the range  $\sim 1.15 \times 10^5$  g/mol and DA 10 %  
270 (from Sigma-Aldrich Co. Ltd) was used as stabilizing agent for *t*CA-loaded NE. The

271 resulting o/w NC showed a synergistic antibacterial effect between CS and *tCA*, namely  
272 98 % on *S. aureus* and 96 % on *E. coli* bacterial strands when *tCA* applied was 17.1 and  
273 34.2  $\mu\text{M}$ , respectively [28]. In our previous work, CS (molar mass  $\sim 1.15 \times 10^5$  g/mol and  
274 DA  $\sim 42$  %) that did not show antibacterial activity, was used to prepare *tCA*-loaded NC.  
275 This system showed anti-QS and no toxic activity against *E. coli* [1]. The inhibition of  
276 QS activity has been pursued as a strategy to inhibit the virulence of phenotypic factors  
277 such as the formation of biofilms, including multispecies biofilms. Thus, in principle, the  
278 inhibition of QS can serve to mitigate the virulence of a broad spectrum of bacterial  
279 species.

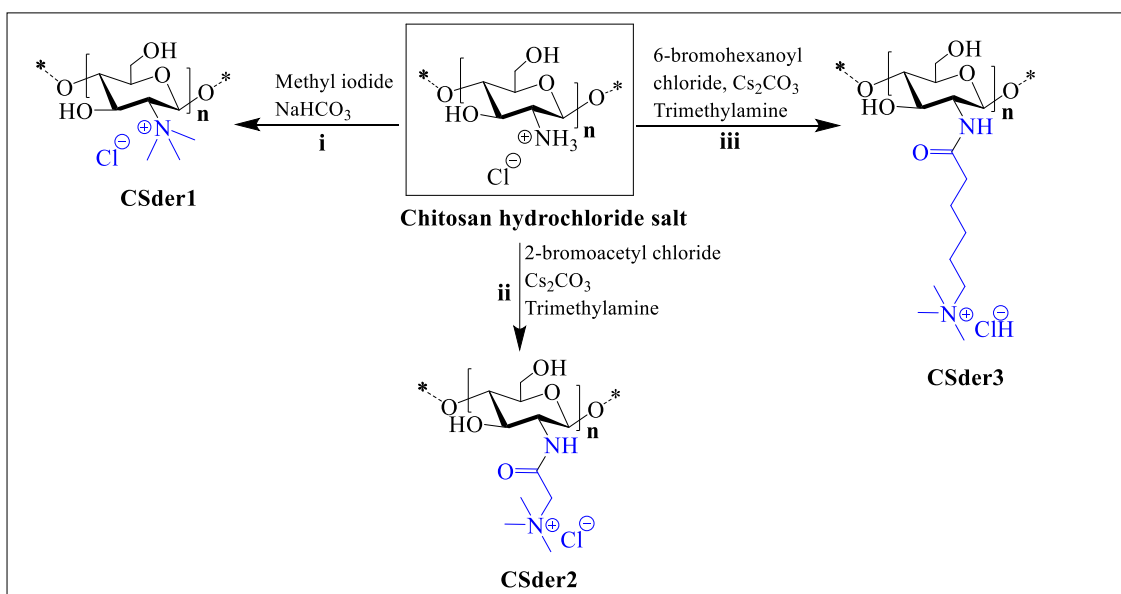
### 280 3.1. Preparation of chitosan derivatives

281 Quaternary ammonium chitosan derivatives significantly enhance the interaction of the  
282 polymer with the bacterial membrane as seen in previous studies. In this study, we  
283 synthesized a series of CS derivatives where the cationic functionality was incorporated  
284 into the amino group of the polymer backbone using various chain lengths. Previous  
285 studies on quaternization of the amino group of chitosan [29] reported the use of acidic  
286 medium or other heterogeneous medium resulting in low DS in the product. This has  
287 recently been overcome by use of protection groups where up to 100% DS is reported  
288 [30,31]. However, requirement of additional synthetic steps such as  
289 protection/deprotection combined with the significant degradation of the polymer  
290 backbone, puts limitations on this strategy. In this study, we report a direct method of  
291 functionalizing the amino group of CS using the hydrochloride salt of chitosan in organic  
292 medium to produce highly *N*-substituted product (Fig. 2). CSder1 was synthesized from  
293 CS hydrochloride salt using methyl iodide/ $\text{NaHCO}_3$  in DMSO. We obtained a *N*-  
294 trimethylated product with DS= 89.2 % and small % of 6-O-methylation (at 3.5 ppm)  
295 [32]. Using similar conditions ( $\text{CS}_2\text{CO}_3/\text{DMSO}$ ) combined with the corresponding acid

296 chlorides we successfully performed N-acylation with different chain lengths- CSder2  
297 and CSder3, followed by substitution of the terminal halide by a *N*-trimethyl group. The  
298 DS obtained for the products CSder2 & CSder3 are 92.5 and 74.0 %, respectively (Table  
299 1). The spectra for CSder2 & CSder3 derivatives do not show very significant 3-*O* or 6-  
300 *O*-methyl peak in the region of 3.4-3.5 [32]. So, we can thus suggest that the method  
301 mostly provides N-selective modification. Therefore, this synthetic method has the  
302 advantage of direct modification in a homogeneous medium and can be used to produce  
303 selective *N*-substituted products. The average molar mass for the derivatives is in the  
304 range 1.3–6.9 x 10<sup>4</sup> g/mol and the dispersity (Đ) is around 1.1. Đ is a parameter that shows  
305 variability in chitosan and other biopolymers. In previous studies, we have reported Đ  
306 values for chitosan in the range from ~1.5 to ~2.0 [33]. Of note, the Đ value for the  
307 commercial chitosan used in this work (HMC 95/100 Batch number 212-090914-01) to  
308 formulate NCs was equal to 1.2, lower a value than found in previous studies. The low Đ  
309 values also found also for the chitosan derivatives (Table 1), might be related with a  
310 narrow molecular weight distribution of the parent chitosan in their synthesis.

311 We characterized the series of water-soluble CS derivatives using <sup>1</sup>H-NMR spectroscopy.  
312 The corresponding spectrum for each compound with the assigned peaks, chemical shifts  
313 and integrals are shown in Fig. 3.

314

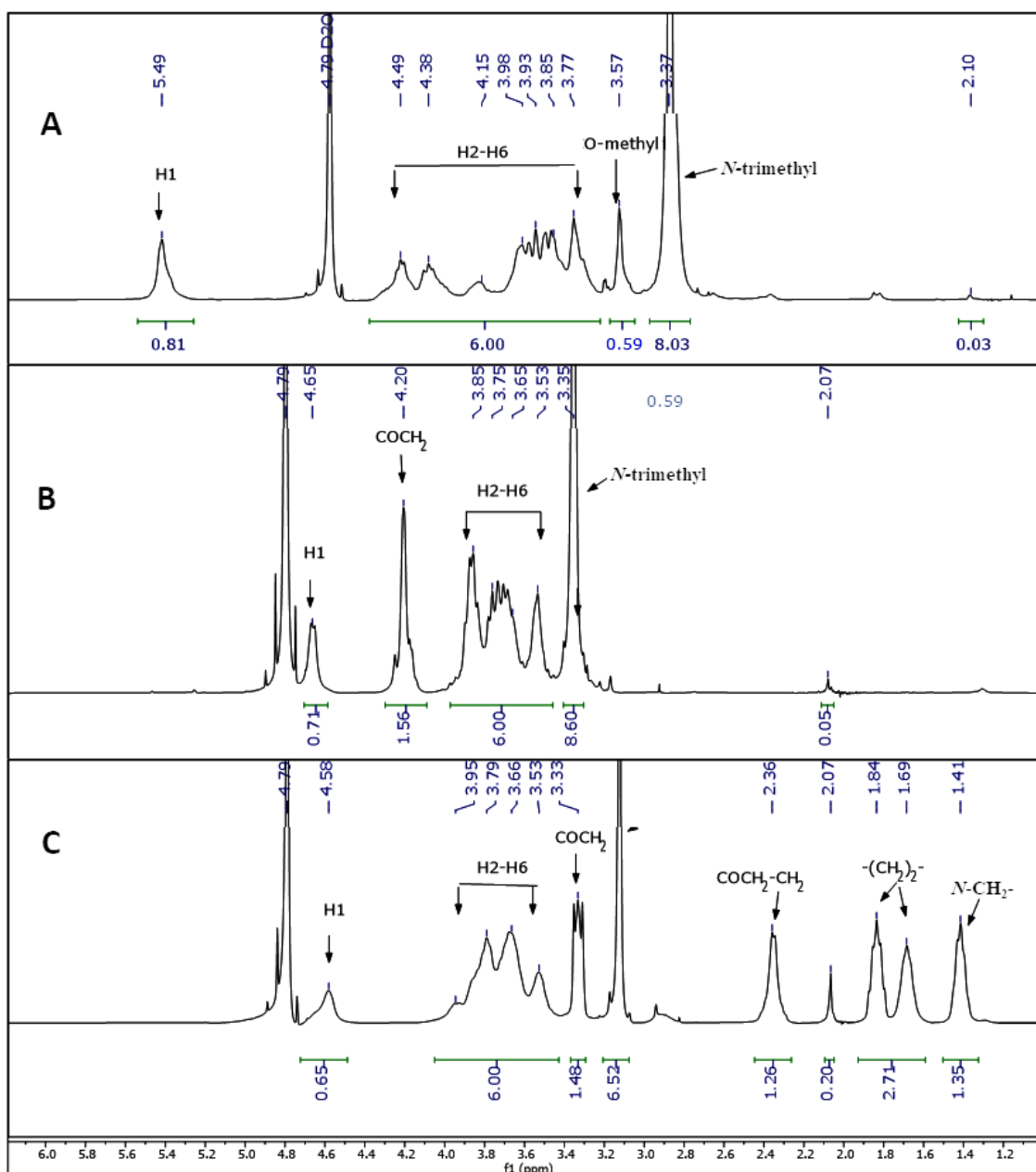


316 Fig. 2. Synthetic route for the quaternary ammonium chitosan derivatives (CSder1,  
 317 CSder2 & CSder3) used in this work. Note: the degree of acetylation (5%) has been  
 318 omitted for clarity in the structure.

319 Table 1. Physico-chemical properties of the synthesized chitosan derivatives.

	DA (%)	DS (%)	Mw ( $\times 10^4$ g/mol)	Mn ( $\times 10^4$ g/mol)	$\bar{D}$ (Mw/Mn)	Solubility
CSder1	5	89.2	1.27 $\pm$ 0.04	1.19 $\pm$ 0.01	1.07 $\pm$ 0.02	water
CSder2	5	92.5	6.9 $\pm$ 0.3	6.6 $\pm$ 0.2	1.060 $\pm$ 0.002	water
CSder3	5	74.0	2.04 $\pm$ 0.06	1.78 $\pm$ 0.05	1.15 $\pm$ 0.01	water

320 DA = degree of acetylation; DS = degree of substitution (substituent groups are *N,N,N*-  
 321 trimethyl, *N*-(2-(*N,N,N*-trimethylammonium)acetyl) and *N*-(6-(*N,N,N*-  
 322 trimethylammonium)hexanoyl) for CSder1, CSder2 and CSder3, respectively); Mw &  
 323 Mn = weight average molar mass and number average molar mass as determined by  
 324 multidetection (MALS-DRI) asymmetric flow-field flow fractionation;  $\bar{D}$  = dispersity



325

326 Fig. 3. Stacked  $^1\text{H}$ -NMR spectra for the chitosan derivatives. A) CSder1, B) CSder2 and  
 327 C) CSder3.

### 328 3.2. Oil-in-water nanocapsules: preparation and characterization

329 We utilized the three quaternary ammonium CS derivatives synthesized to prepare NCs  
 330 and compared them with NCs prepared using a non-derivatised CS (DA ~5% and molar  
 331 mass  $\sim 2 \times 10^4$  g/mol).

#### 332 3.2.1. Hydrodynamic characterization



333 Chitosan-coated o/w NC formulated in this work were monodisperse (PDI  $\leq$  0.2) with  
 334 droplet Z-average hydrodynamic diameter and  $\zeta$ -potential values lying within a narrow  
 335 range of  $\sim$ 156-166 nm  $\sim$ +41-48 mV, respectively (Table 2 and Fig. 4). These results agree  
 336 well with the physical characteristics of *t*CA-loaded CS-coated o/w NCs obtained by an  
 337 identical protocol for spontaneous emulsification reported in our previous study [1],  
 338 despite the differences in the CS characteristics used in the such study (*cf.* DA  $\sim$ 42 %,   
 339 molar mass  $\sim$ 1.15 x 10<sup>5</sup> g/mol). The blank (non-loaded) o/w NC showed a hydrodynamic  
 340 diameter equal to  $\sim$ 149 nm and  $\zeta$ -potential equal to  $\sim$ +50 mV, while *t*CA-loaded o/w NC  
 341 showed a hydrodynamic diameter equal to  $\sim$ 165 nm and  $\zeta$ -potential equal  $\sim$ +42 mV [1].  
 342 However, in previous studies [34], we have reported that the overall size of the o/w NC  
 343 depend on the properties of CS used for coating the NE droplets.

344 Table 2. Characteristics of *t*C-loaded and blank nanoemulsions and nanocapsules  
 345 formulations.

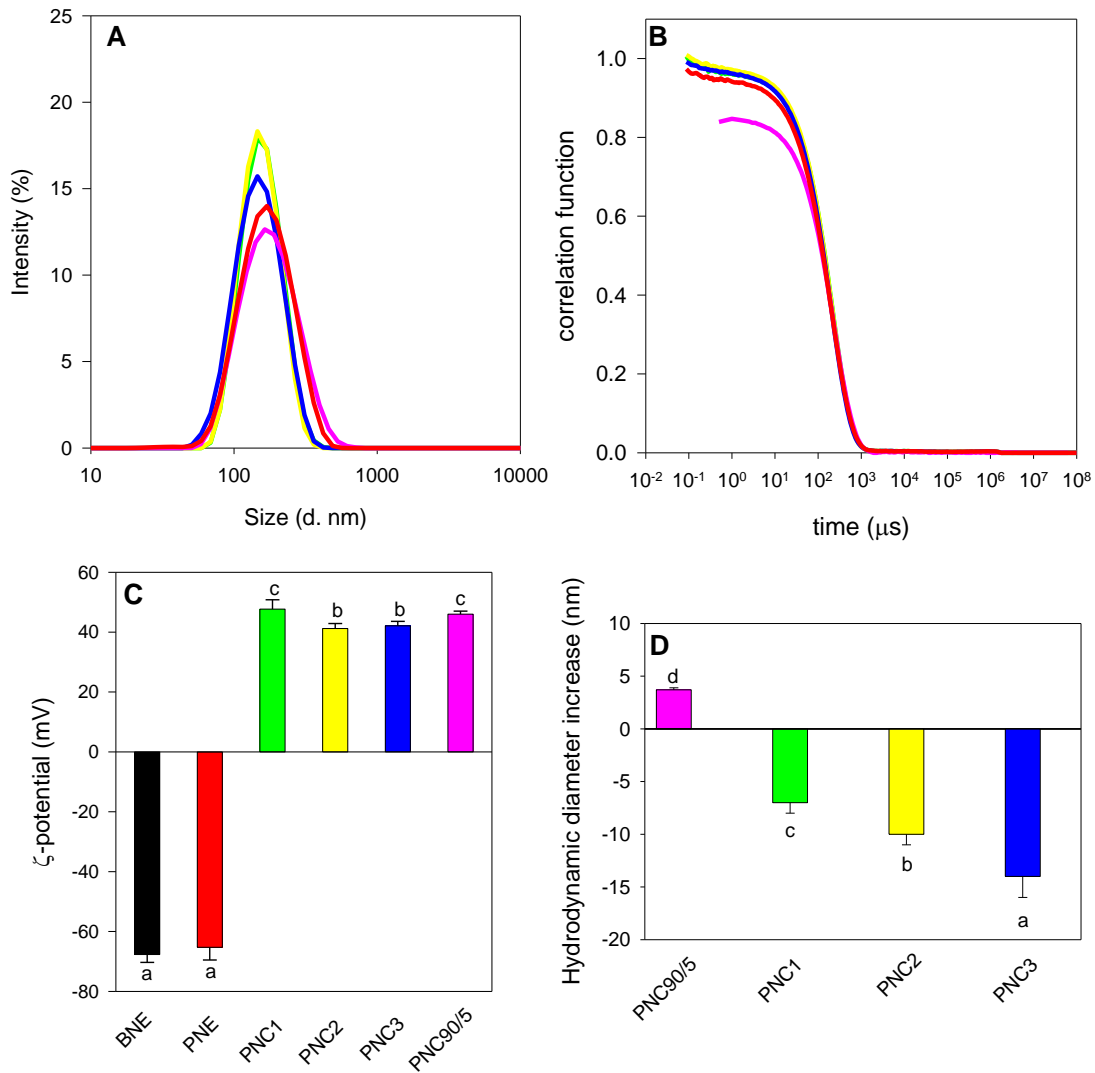
Formulations <sup>a</sup>	Z-av. hydrodynamic diameter (nm)	PDI	pH	$\zeta$ -potential (mV)
BNE	179 $\pm$ 14	0.21 $\pm$ 0.02	4.1	-68 $\pm$ 3
PNE	162 $\pm$ 11	0.20 $\pm$ 0.02	4.6	-65 $\pm$ 4
PNC90/5	166 $\pm$ 8	0.15 $\pm$ 0.02	2.5	+46 $\pm$ 1
PNC1	162 $\pm$ 24	0.07 $\pm$ 0.02	4.2	+48 $\pm$ 3
PNC2	158 $\pm$ 16	0.07 $\pm$ 0.01	3.7	+41 $\pm$ 2
PNC3	156 $\pm$ 17	0.11 $\pm$ 0.02	4.4	+42 $\pm$ 2

346 <sup>a</sup>BNE = blank (non-loaded) NE; PNE = *t*CA-loaded NE; PNC90/5 = non-derivatized CS-  
 347 coated *t*CA-loaded o/w NC; PNC1 = CSder1-coated *t*CA-loaded o/w NC; PNC2 =  
 348 CSder2-coated *t*CA-loaded o/w NC; and PNC3 = CSder3-coated *t*CA-loaded o/w NC.

349 The hydrodynamic diameter of CS derivatives-coated *t*CA-loaded o/w NC was the same  
 350 as the non-derivative-CS-coated *t*CA-loaded o/w NC, regardless the length of the side

351 chain. Regarding the differences in size between *t*CA-loaded NE and o/w NC, there seems  
352 to be a slight dependence on the length of the side chain of CS derivatives following the  
353 order CSder1 > CSder2 > CSder3 (Fig. 4D), thus suggesting that the longer the side chain  
354 is, the greater the reduction in the hydrodynamic size. Even when the observed differences  
355 in the Z-average hydrodynamic diameter values lie within the standard error of the DLS  
356 determinations, the overall size distribution curves (Fig. 4A) show discernible shifts on  
357 the higher tail end of the curve for the *t*CA-loaded NE with respect to the NCs coated  
358 with the CS derivatives, in keeping with a twice as large PDI values. Unexpectedly,  
359 although chitosan derivatives resulted in a size decrease of the NCs, the use of non-  
360 modified chitosan yielded a size increase of NCs (Fig. 4D), which agrees with the  
361 reported size increase of 6 nm [34] or 45 nm [1] of chitosan-coated NE.

362 Regarding the  $\zeta$ -potential, all o/w NC showed a positive charge regardless the CS or CS  
363 derivative used for coating the NE (Table 2 and Fig. 4C). Of note, the use of CS  
364 derivatives, soluble at neutral pH, result in a similar pH than the pH of the NE suspension,  
365 with exemption of CSder2, that resulted in a pH decrease to 3.7. However, the need of  
366 acidic conditions to dissolve non-modified CS resulted in o/w NC suspension with pH  
367 equals to 2.5. This lower pH though, did not result in a noticeably different  $\zeta$ -potential  
368 with respect to the other NCs prepared with CS derivatives.



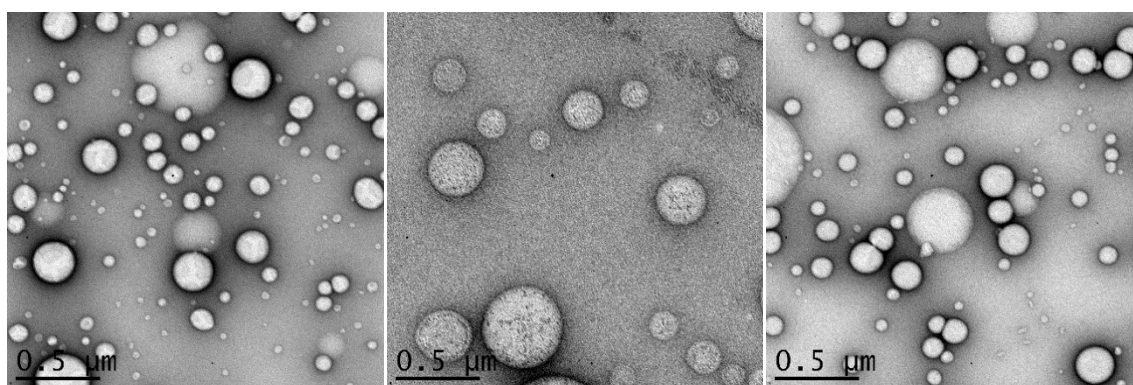
369

370 Fig. 4. Particle size distribution by intensity (A), correlation function (B),  $\zeta$ -potential (C)  
 371 and increment of the hydrodynamic diameter between *trans*-cinnamaldehyde-loaded  
 372 nanoemulsion and *trans*-cinnamaldehyde-loaded nanocapsules (D). Lines and bars in the  
 373 Fig.s correspond to *trans*-cinnamaldehyde-loaded nanoemulsions (PNE, red) or *trans*-  
 374 cinnamaldehyde-loaded nanoemulsions coated with non-derivatised CS (PNC90/5, pink),  
 375 CSder1 (PNC1, green), CSder2 (PNC2, yellow) and CSder3 (PNC3, blue) and unloaded  
 376 nanoemulsion (BNE, black). Statistical differences ( $p \leq 0.05$ ) are indicated with different  
 377 numbers.

378

379 3.2.2. TEM imaging

380 All the o/w NC were spherical in shape as it became evident by TEM imaging (Fig. 5),  
381 in agreement with results reported previously for the morphology analysis of o/w NC  
382 [28,35]. Upon close inspection of the images, slight surface topological differences can  
383 be appreciated between the NCs coated with native CS with respect to those coated with  
384 the quaternized amine derivatives. It is interesting to note that the CSder2-coated NCs  
385 appear with heterogeneously distributed spots, not visible on the other imaged systems.  
386 Whether this peculiar topology stems on a heterogenous coating of the surface by this  
387 CS-derivative, remains to be further investigated.

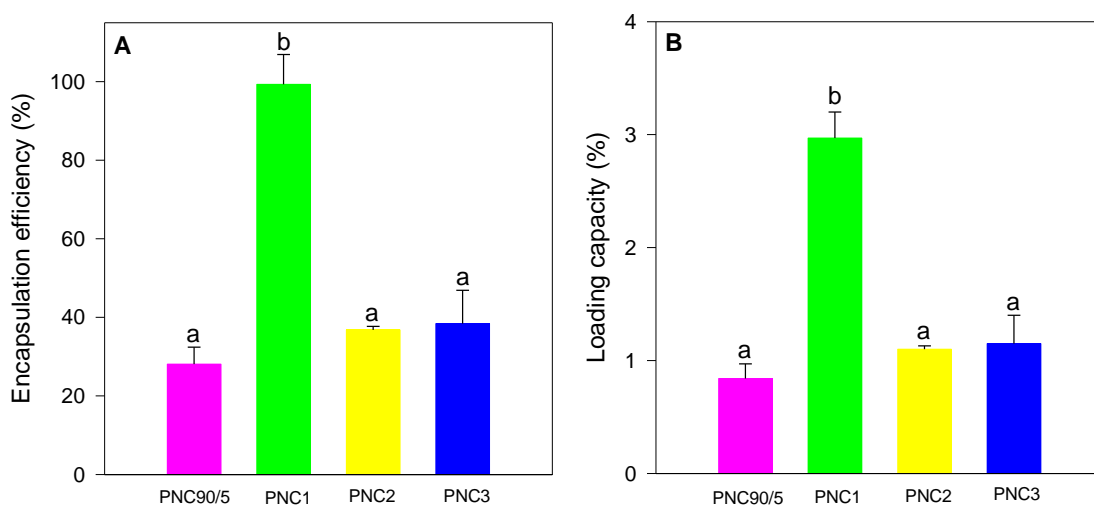


388  
389 Fig. 5. TEM images of *t*CA-loaded o/w NC coated with CS (left), CSder2 (center) and  
390 CSder3 (right). The scale bar represents 0.5  $\mu\text{m}$  in all images.

### 391 3.2.3. Encapsulation efficiency, loading capacity and in vitro release

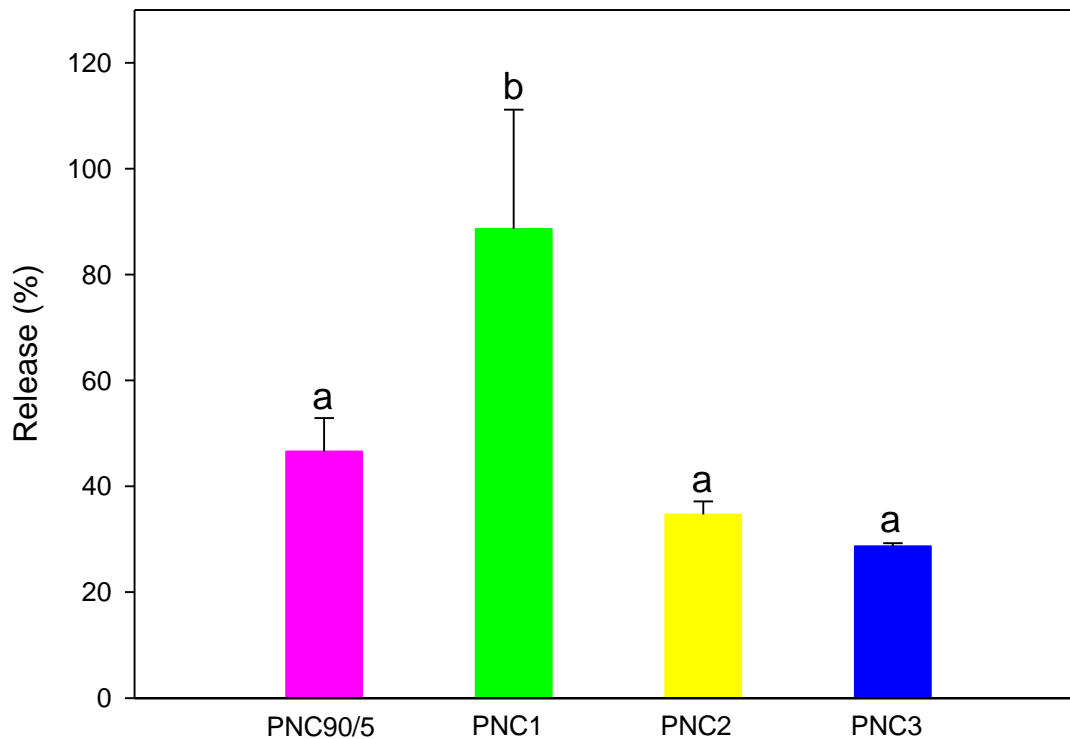
392 The concentration of *t*CA was determined on the supernatant phase formed in  
393 nanoemulsions after being centrifuged. The encapsulation efficiency was then calculated.  
394 As can be seen in the Fig. 6, CSder1-coated *t*CA-loaded o/w NC showed the significantly  
395 higher ( $p < 0.05$ ) percentage of *t*CA loaded ( $99 \pm 8 \%$ ) than the rest of the formulations.  
396 The amount of encapsulated *t*CA by o/w NC coated with CSder2 ( $37 \pm 1 \%$ ) or CSder3  
397 ( $38 \pm 1 \%$ ) was not significantly different compared to the loaded o/w NC coated with the  
398 underivatized CS ( $28 \pm 4 \%$ ). Regarding to the *t*CA loading capacity (%), CSder1-coated  
399 *t*CA-loaded o/w NC showed the significantly higher ( $p < 0.05$ ) percentage of *t*CA loading  
400 ( $2.9 \pm 0.2 \%$ ) than the rest of the formulations. The amount of loaded *t*CA by o/w NC

401 coated with CSder2 ( $1.10 \pm 0.03$  %) or CSder3 ( $1.15 \pm 0.03$  %) was not significantly  
 402 different than the loading capacity in the underivatized CS-coated *t*CA-loaded o/w NC  
 403 ( $0.8 \pm 0.1$  %). The encapsulation efficiency and loading capacity values reported in this  
 404 work are in good agreement to the results reported in our previous study [1], who reported  
 405 an EE equal to 37 % and 82 % when preparing o/w NC using a 20 mM and 10 mM *t*CA,  
 406 respectively, and a loading capacity equal to 5.5 and 5.8 %, in the same order. We have  
 407 not at this stage a plausible explanation for the overall greater encapsulation efficiency  
 408 and loading capacity of the NCs formulated using the CSder1. However, it is a result that  
 409 underscores an important techno-functional advantage of these formulations over those  
 410 made using native CS or the other quaternized ammonium CS derivatives.



411  
 412 Fig. 6. Encapsulation efficiency (A) and Loading capacity (B) of o/w NC coated with  
 413 chitosan (PNC90/5), CSder1 (PNC1), CSder2 (PNC2) and CSder3 (PNC3). Statistical  
 414 differences ( $p \leq 0.05$ ) are indicated with different numbers.

415 The CSder1-coated o/w NC showed better *t*CA in vitro release ( $89 \pm 23$  %) than the o/w  
 416 NC coated with non-modified CS ( $47 \pm 6$  %). The release from the other o/w NC coated  
 417 with CSder2 and CSder3 showed lower *t*CA release when compared to the non-CS-coated  
 418 o/w NC, namely ( $35 \pm 2$  %) and ( $29 \pm 1$  %), respectively (Fig. 7). There were no  
 419 significant differences among each o/w NC formulations.



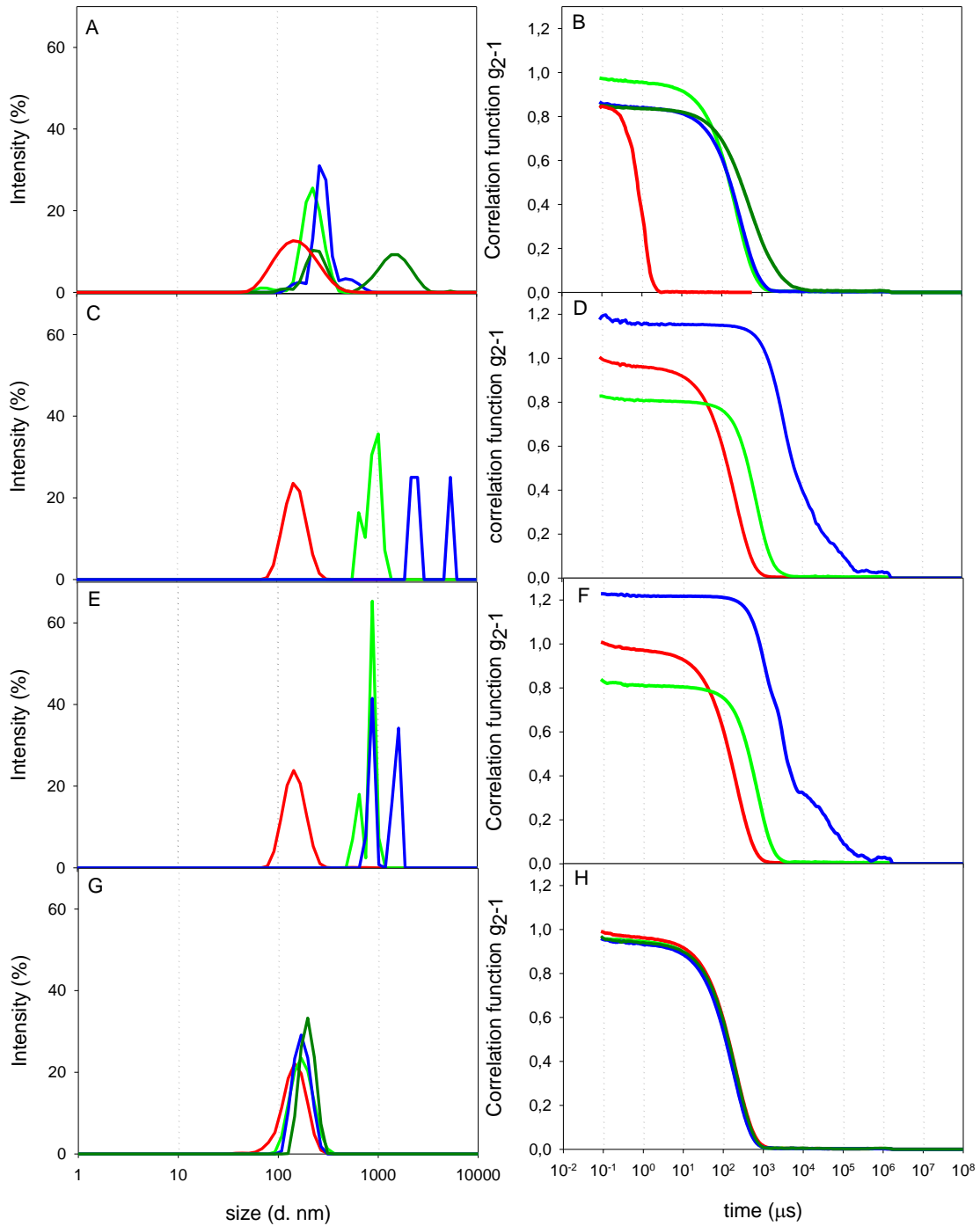
420

421 Fig. 7. *Trans*-cinnamaldehyde release at 37 °C for 6 h from o/w NC coated with chitosan  
 422 (PNC90/5), CSder1 (PNC1), CSder2 (PNC2) and CSder3 (PNC3). Statistical differences  
 423 ( $p \leq 0.05$ ) are indicated with different numbers.

#### 424 3.2.4. Stability analysis

425 The stability of the *t*CA-loaded o/w NC in PBS were analyzed over 24 h at 37 °C. Thus,  
 426 it could be analysed the stability of NC under more realistic physiological conditions,  
 427 where media pH and ionic strength will shield electrostatic charges on the NC surfaces  
 428 leading to aggregation [36,37]. According to the results, the CS-coated *t*CA-loaded o/w  
 429 NC showed an increase in their size from the moment in which the NC were immersed in  
 430 PBS. Two populations were recorded after 24 h. The correlation function for CS-coated  
 431 *t*CA-loaded o/w NC (Fig. 8B) confirmed that there were not larger particles apart from  
 432 those shown in the size plot by intensity distribution (Fig. 8A) as it was for CSder1- and  
 433 CSder2-coated *t*CA-loaded o/w NC (Fig.s 8D and F, respectively). In these cases, the o/w

434 NC showed aggregation immediately after the immersion in PBS (Fig.s 8C and E,  
435 respectively). Besides, the intercept of the correlation function for the measurement after  
436 24 h of incubation became greater than 1.0, revealing the presence of very large structures  
437 in the sample. Similar results have been previously reported for colloidal suspensions  
438 when exposed to neutral pH and increased ionic strength [37,38]. Surprisingly, the  
439 measurement for CSder3-coated *t*CA-loaded o/w NC showed no aggregation during the  
440 first 24 h of incubation in PBS (Fig. 8G and H). It seems that the CSder3 stabilizes the  
441 o/w NC sterically. The reasons to support this hypothesis are that the charges on the  
442 ammonium group would be screened by the ionic strength (0.01 M) and that the  
443 differences observed among different CS derivatives used stem on the length of side  
444 chain. It is plausible to hypothesize that the side chains of CSder1 and CSder2 were not  
445 long enough to prevent the aggregation process. Future studies will address the validity  
446 of this proposal in greater detail.



447

448 Fig. 8. Stability of o/w NC in PBS. The plots represent size by intensity distribution (A,  
 449 C, E, G) and correlation functions (B, D, F, H) of o/w NC coated with chitosan (A, B),  
 450 CSder1 (C, D), CSder2 (E, F) and CSder3 (G, H). The curves represent the average of the  
 451 measurements carried out before adding the o/w NC into PBS (red) or immediately after  
 452 adding into PBS (light green) or after 3 h (blue) or 24 h (dark green) of adding to PBS.



453 **4. Conclusions**

454 *Trans*-cinnamaldehyde, an effective anti-QS compound with potential use in the  
455 treatment against multi-resistant bacterial strains, has been successfully loaded into o/w  
456 NC coated with CS and a series of different quaternized ammonium CS-derivatives of  
457 varying side chain length. The quaternary ammonium CS-derivatives were synthesized  
458 using a novel and direct chemical approach to yield high DS in the products. The highest  
459 *t*CA loading capacity and release corresponded to CSder1-coated o/w NC. The o/w NC  
460 comprising CS, CSder1, CSder2 showed immediate aggregation upon incubation in PBS,  
461 presumably driven by the electrostatic screening of the surface charge. By contrast, the  
462 CSder3-coated *t*CA-loaded o/w NC showed stability in this medium. Future studies will  
463 address the stability and *t*CA kinetics of release from o/w NC in bacterial culture media  
464 and their AHL-regulated anti-QS activity in relevant bacterial models.

465

466 **5. Author contributions**

467 Conceptualization: FMG; PS and MCG; Funding acquisition: FMG; Investigation: MCG  
468 PS and SB; Methodology: MCG, SB, YGE and GK; Supervision: FMG; Writing original  
469 draft: MCG, SB, YGE, GK, PS and FMG. All authors have read and agreed to the  
470 published version of the manuscript.

471 **6. Declarations of interest**

472 None.

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