



UNIVERSIDADE DE SÃO PAULO

FACULDADE DE CIÊNCIAS FARMACÊUTICAS DE RIBEIRÃO PRETO

**Formação, caracterização e atividade biológica de sistemas lipídicos
contendo óleo essencial**

Iara Baldim

**Ribeirão Preto
2022**

IARA BALDIM

**Formação, caracterização e atividade biológica de sistemas lipídicos
contendo óleo essencial**

Tese de Doutorado apresentada ao Programa de Pós-Graduação em Ciências Farmacêuticas da Faculdade de Ciências Farmacêuticas de Ribeirão Preto/USP para obtenção do Título de Doutor em Ciências

Área de Concentração: Medicamentos e Cosméticos.

Orientador: Prof. Dr. Wanderley Pereira Oliveira

Coorientadora: Profa. Dra. Eliana B. Souto

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FOLHA DE APROVAÇÃO

Iara Baldim

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*Dedico esse trabalho aos meus pais Ana e Robertinho
que desde cedo me ensinaram a sonhar
e me mostraram com maestria como lutar
para que cada sonho se realize.
Obrigada por lutarem comigo ontem, hoje e sempre.*

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Assim como as nanopartículas formam as formulações, somos todos feitos por pequenos fragmentos de matéria, que se unem para formar o todo. Essa tese, carrega inúmeros experimentos, modelos matemáticos, teorias, discussões e dias a fio de dedicação. Mas também carrega cada centímetro de doação de pessoas que me apoiaram, me inspiraram e puderam me ajudar a crescer, e ainda assim ver que não perderam a importância. Vocês são partes do que eu sou hoje.

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**“tudo é ousado para quem a nada se
atreve”**

Fernando Pessoa

RESUMO

BALDIM, I. **Formação, caracterização e atividade biológica de sistemas lipídicos contendo óleo essencial**. 2022. 260f. Tese (Doutorado). Faculdade de Ciências Farmacêuticas de Ribeirão Preto – Universidade de São Paulo, Ribeirão Preto, 2022.

Óleos essenciais (OEs) têm despertado grande interesse nos últimos anos, principalmente devido a sua ampla gama de atividades biológicas, como antifúngicos, antibacterianos, inseticidas, antivirais, antioxidantes, entre outras. Seu uso como ingrediente ativo traz uma série de benefícios, e talvez a principal vantagem esteja relacionada à sua capacidade de combater a resistência muitas vezes apresentada pelos microrganismos contra os antibióticos e antifúngicos disponíveis no mercado. Contudo, sua alta volatilidade e sensibilidade restringem seu uso e limitam sua incorporação a produtos mais elaborados. A microencapsulação e nanoencapsulação dos OEs surgem como estratégias viáveis e eficientes à proteção e modulação da liberação de seus compostos bioativos, promovendo o aumento da estabilidade físico-química, proteção contra fatores ambientais, redução da volatilidade, aumento da solubilidade, biodisponibilidade e atividade biológica, redução da toxicidade, entre outros benefícios. Os sistemas lipídicos são uma estratégia especialmente promissora para incorporação de OEs, pois são biocompatíveis, apresentam alta capacidade de carga, baixo custo, baixa toxicidade e são capazes de encapsular tanto substâncias lipofílicas quanto hidrofílicas. Dentre esses sistemas, temos os lipossomas, que são vesículas biocompatíveis, biodegradáveis e com potencial aplicação farmacêutica, e os carreadores lipídicos nanoestruturados (NLC), nanopartículas capazes de carregar moléculas quimicamente diferentes e fornecer um perfil de liberação ajustável, podendo ser produzidas em larga escala e sem a necessidade de solventes orgânicos. A influência do sistema de encapsulação, componentes lipídicos, tipo de emulsificante e outros excipientes deve ser avaliada para otimizar a estabilidade do sistema, a retenção de compostos bioativos e melhorar sua atividade biológica. Nesta tese se investigou várias rotas tecnológicas envolvidas na obtenção de sistemas lipídicos micro ou nanoestruturados para estabilizar e modular a liberação dos óleos essenciais alecrim-pimenta (*Lippia sidoides*) e cravo (*Syzygium aromaticum*), enfatizando-se processos de preparação, propriedades físico-químicas, estabilidade e atividade biológica frente a microrganismos multirresistentes de importância clínica. As principais variáveis de formulação e de processo foram analisadas, sendo definidas condições ótimas de processamento para sistemas a base de lipossomas encapsulando óleo essencial complexado em β -ciclodextrina e para os NLCs. Ensaio de atividade antifúngica frente a diferentes microrganismos foram realizados para os NLCs, que se mostraram eficientes no combate do fungo multirresistente *Candida auris*, que tem se disseminado globalmente principalmente em ambientes hospitalares, para o qual as opções de tratamento são muito reduzidas ou inexistentes.

Palavras-chave: óleos essenciais, encapsulação, carreadores lipídicos nanoestruturados, lipossomas, *Lippia sidoides*, microrganismos multirresistentes

ABSTRACT

BALDIM, I. **Formation, characterization, and biological activity of lipid systems loaded by essential oil.** 2022. 260f. Thesis (Doctoral). Faculdade de Ciências Farmacêuticas de Ribeirão Preto – Universidade de São Paulo, Ribeirão Preto, 2022.

Essential oils (EOs) have aroused great interest in recent years, mainly due to their wide range of biological activities, such as antifungal, antibacterial, insecticide, antiviral, antioxidant, among others. Its use as an active ingredient brings countless benefits, and maybe the main advantage is related to its ability to fight the resistance often presented by microorganisms against antibiotics and antifungals available on the market. However, the high volatility and sensitivity of these compounds restrict their use, limiting the incorporation into more elaborate products. Microencapsulation and nanoencapsulation of EOs emerge as viable and efficient strategies to protect and modulate the release of their bioactive compounds, promoting increased physical-chemical stability, protection against environmental factors, reduced volatility, increased solubility, bioavailability and biological activity, reduction of toxicity, among other benefits. Lipid systems are an especially promising strategy for EO incorporation, as they are biocompatible, present high loading capacity, low cost, low toxicity, and can encapsulate both lipophilic and hydrophilic substances. Among these systems, the liposomes are biocompatible, biodegradable vesicles with a potential pharmaceutical application; and nanostructured lipid carriers (NLC) are nanoparticles able to carry chemically different molecules, providing an adjustable release profile, which can be produced on a large scale, without the need for organic solvents. The influence of the encapsulation system, lipid components, type of emulsifier, and other excipients must be evaluated to optimize system stability, retention of bioactive compounds, and improve their biological activity. This thesis aimed to investigate the technological routes involved in obtaining micro or nanostructured lipid systems to stabilize and modulate the release of rosemary-pepper (*Lippia sidoides*) and clove (*Syzygium aromaticum*) essential oils were investigated, emphasizing the preparation processes, physicochemical properties, stability, and biological activity against multidrug-resistant microorganisms of clinical importance. The main formulation and process variables were analyzed, defining optimal processing conditions for liposome-based systems encapsulating essential oil complexed in β -cyclodextrin and for NLCs. Assays of antifungal activity against different microorganisms were performed for NLCs, which proved to be efficient in combating the multidrug-resistant fungus *Candida auris*, which has spread globally, mainly in hospital environments, with very limited or non-existent treatment options.

Keywords: essential oils, encapsulation, NLC, liposomes, *Lippia sidoides*, multidrug-resistant microorganisms

CHAPTER 1. INTRODUCTION

The growing consumer demand for more natural, sustainable, and environmentally friendly products has changed the way of consuming in the world. The industry has responded to this demand by trying to identify natural alternatives to functional synthetic ingredients in products from the most varied fields, including pharmaceuticals, food, cosmetics, and personal care products (CARVALHO, ESTEVINHO e SANTOS, 2016; MCCLEMENTS e GUMUS, 2016; OZTURK e MCCLEMENTS, 2016).

In a prominent position in the list of natural functional actives are essential oils (EOs). These natural substances also have countless biological activities and an indisputable potential for applicability in products that support a more natural claim. Among the biological activities stands out the ability to combat microorganisms resistant to antibiotics present in the market (BALDIM *et al.*, 2022; FEYAERTS *et al.*, 2018; RAI *et al.*, 2017). Nevertheless, it can be taken in account that these compounds have limitations, such as: chemical complexity, high volatility, susceptibility to degradation/oxidation, insolubility in aqueous systems, and low bioavailability, limiting their use in more elaborate products (BALDIM *et al.*, 2020).

The micro and nanoencapsulation of EOs have received significant attention in the pharmaceutical and food sectors, being a promising strategy to overcome the limitations of using these substances *in natura* form. This approach allows for example to modify physicochemical properties, promote reduced volatility, increased solubility, stability, protection against environmental factors, bioavailability, and biological activity. This technique consists of the inclusion of the active agent in carrier systems, which may consist of carbohydrates, gums, proteins, lipids or other natural or synthetic polymeric materials. These systems are able to release their content under specific conditions through a controlled release, which results in greater effectiveness of the actives, allowing the use of an optimal dosage, which improves the cost-efficiency of the product (BALDIM, SOUZA e OLIVEIRA, 2021).

In the last two decades, encapsulation in lipid systems has been highlighted, due to several advantages, such as low toxicity, ease of scalability, low production cost and the possibility of encapsulating hydrophilic and lipophilic compounds. The dehydration of these systems can generate dry dispersions with high encapsulation efficiency, solubility, and greater stability against liquid forms, which can be redispersed when necessary or used in the development of topical and/or oral products (BOUREZG *et al.*, 2012; VARSHOSAZ, ESKANDARI e TABBAKHIAN, 2012).

Recent publications show the use of micro and nanoencapsulation for protection and release of various compounds of plant origin such as quercetin (VIJAYAKUMAR *et al.*, 2017), lutein (LIU *et al.*, 2014), β -carotene (SALMINEN *et al.*, 2016), essential oils (BALDIM *et al.*, 2019), among others. Factors such as composition of the EO used, type of lipid, type and concentration of surfactants, emulsification process (high or low energy), and dehydration/cooling conditions influence the characteristics of the particles obtained, however this information are scarce in the literature. Therefore, conducting systematic studies to determine the mechanisms involved on particle formation that influence the achievement of a product with desired properties (stability, high encapsulation efficiency, solubility, and biological activity) is essential for the development of new strategies to encapsulate these bioactives.

Lippia sidoides, popularly known as pepper rosemary, is a small tree native to northeastern Brazil. It is an important medicinal plant due to its wide range of biological applications described over time not only in folk medicine, but also in several scientific works published in the literature. Its main biological activities include insecticidal, fungicidal, bactericidal, antileishmanial, larvicidal, acaricidal and anti-inflammatory activities (BALDIM *et al.*, 2019). Its EO is extracted from the leaves and is rich in thymol, the compound usually related to its biological activity. This species is also listed in the list of medicinal plants with the potential to generate products of interest to the Brazilian Public Health System – RENISUS (BRASIL, 2009).

Given the above, the present study presents as a contribution the development of nanostructured lipid systems loaded with essential oil as an innovative strategy to protect and modulate their release profile, aiming to improve their antimicrobial potential against multidrug-resistant microorganisms.

I adopted a structure based on the journal papers written for this thesis, to provide a clear understanding of all stages of this work. Consequently, chapters can be read independently, and some overlap may be found between them. Thus, in addition to the Introduction Chapter (Chapter 1) described here, this thesis is structured in 11 chapters. Chapter 2 presents a summary of the main objectives of this thesis. Chapter 3 presents a comprehensive review on encapsulation of essential oils in lipid nanosystems. Chapter 4 provides an overview of preformulation studies to obtain proliposomes loaded by essential oil. Chapter 5 describes an innovative system to encapsulate essential oils, making it possible to encapsulate them both in the hydrophilic and lipophilic portions: the drug-in-cyclodextrin-in-liposomes system. Chapter 6 provide a comprehensive review on lipid nanoparticles (SLN and NLC) for skin

administration. Chapter 7 provide an experimental design for the development of NLC loaded by *L. sidoides* EO, ranging from pre-formulation studies, through characterization and antimicrobial activity. Chapter 8 evaluates the toxicity and antifungal potential of NLC containing *L. sidoides* EO against a multidrug-resistant fungus of clinical interest: *Candida auris*. Chapter 9 brings an experimental design to describe the parameters involved in the drying of NLC loaded by *L. sidoides* EO, and how they influence the characteristics of the final product. Finally, Chapter 10 describes the final considerations of this thesis and Chapter 11 the conclusions.

CHAPTER 11. CONCLUSION

This thesis covered the entire process involved in developing novel lipid-based release systems loaded with essential oils, aiming to be used as a microbial agent effective against resistant microorganisms. We brought the combination between the formulation studies with the technologies and processes involved in producing these nanosystems.

EOs, especially *Lippia sidoides* EO, were successfully encapsulated in both types of nanoparticles studied: EO-in-cyclodextrins-in-liposomes and NLC. Stable systems with good retention of actives were developed, demonstrating good systems to encapsulate essential oils. In particular, NLC has proven to be a simpler technique to encapsulate essential oil.

Data confirm that NLC presents various beneficial properties in a relatively simple formulation. The inherent advantages of NLC, i.e., increased stability for labile compounds, as EOs, ease of manufacture, low toxicity, and high loading capacity, when compared to liposomes, were confirmed in this study. Furthermore, the results demonstrate that the developed systems can maintain the antimicrobial activity of the essential oil and, in some cases, even enhance it. This result is highly promising, especially for the combat of multidrug-resistant microorganisms. Relatively low doses of NLC were sufficient to show fungicidal activity against the emerging superbug multidrug-resistant *Candida auris*, with relatively low toxicity.

The lyophilization of the NLCs in the presence of cryoprotectants generate a powder with good retention of actives and good physicochemical properties, evidencing a product with high stability against biochemical/chemical degradation. The properties of the product obtained can be engineered through the correct selection of the formulation components.

Results obtained in this thesis provides strong evidence and a relevant scientific basis for using the innovative lipid nanoparticles loaded with essential oils as antimicrobial agents and a toll to combat multidrug-resistant pathogens, with high potential of application in pharmaceutical or personal care products, as well as in other sectors such as in food and agricultural.

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