

Deficits in integrative NMDA receptors caused by *Grin1* disruption can be rescued in adulthood

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1 **Abstract** (229/250)

2 Glutamatergic NMDA receptors (NMDAR) are critical for cognitive function, and their
3 reduced expression leads to intellectual disability. Since subpopulations of NMDARs
4 exist in distinct subcellular environments, their functioning may be unevenly vulnerable
5 to genetic disruption. Here, we investigate synaptic and extrasynaptic NMDARs on the
6 major output neurons of the prefrontal cortex in mice deficient for the obligate NMDAR
7 subunit encoded by *Grin1* and wild-type littermates. With whole-cell recording in brain
8 slices, we find that single, low-intensity stimuli elicit surprisingly-similar glutamatergic
9 synaptic currents in both genotypes. By contrast, clear genotype differences emerge
10 with manipulations that recruit extrasynaptic NMDARs, including stronger, repetitive, or
11 pharmacological stimulation. These results reveal a disproportionate functional deficit of
12 extrasynaptic NMDARs compared to their synaptic counterparts. To probe the
13 repercussions of this deficit, we examine an NMDAR-dependent phenomenon
14 considered a building block of cognitive integration, basal dendrite plateau potentials.
15 Since we find this phenomenon is readily evoked in wild-type but not in *Grin1*-deficient
16 mice, we ask whether plateau potentials can be restored by an adult intervention to
17 increase *Grin1* expression. This genetic manipulation, previously shown to restore
18 cognitive performance in adulthood, successfully rescues electrically-evoked basal
19 dendrite plateau potentials after a lifetime of NMDAR compromise. Taken together, our
20 work demonstrates NMDAR subpopulations are not uniformly vulnerable to the genetic
21 disruption of their obligate subunit. Furthermore, the window for functional rescue of the
22 more-sensitive integrative NMDARs remains open into adulthood.

23

24 **Introduction**

25 Glutamatergic N-methyl-D-aspartate receptors (NMDARs) are increasingly
26 appreciated for their role in cognitive integration¹⁻⁴. Mutations that reduce expression or
27 function of NMDARs are a direct cause of intellectual disability^{5,6}. Relatively little is
28 known, however, about whether there is variability across cellular domains in the
29 functional impact of NMDAR genetic compromise. This is a critical area of exploration
30 because NMDARs in different subcellular compartments play distinct neurophysiological
31 roles^{2,7,8} and experience distinct regulatory environments that may permit differing
32 degrees of homeostatic compensation⁹⁻¹⁴. Understanding the relative vulnerability of
33 NMDAR subpopulations to genetic disruption is essential to appreciate mechanisms of
34 cognitive compromise and to identify new treatment approaches.

35 NMDARs are high affinity ligand-gated channels that are also voltage-dependent,
36 requiring both ligand-binding and depolarization to open. If glutamate binds without
37 sufficient depolarization to relieve Mg²⁺ blockade, the NMDAR acts as a 'coincidence-
38 detector' between synaptic activation and subsequent depolarization. While this concept
39 has been well explored in the context of synaptic plasticity, it is increasingly appreciated
40 that glutamate travels beyond the synapse and this spillover increases upon strong or
41 repeated stimuli¹⁵⁻¹⁷. Glutamate spillover is the substrate for integrative phenomena
42 including dendritic plateau potentials, where stimulation of extrasynaptic NMDARs in the
43 healthy brain allows enhanced cortical output in response to strong, repetitive, or
44 converging inputs^{2,7,18-20}.

45 Here, we investigated *Grin1* knockdown (*Grin1KD*) mice with a profound
46 deficiency in NMDAR receptor expression and binding^{21,22} and severe cognitive deficits
47²³. Consistent with previous work in this mouse and in other models of developmental
48 cognitive disruption²⁴, neuronal membrane properties are unaltered. Furthermore, low-
49 intensity stimuli revealed that neither AMPA receptor (AMPA) nor NMDAR synaptic
50 currents differed significantly across genotypes. However, a sizable deficit in the
51 *Grin1KD* NMDAR response was revealed by stronger, repetitive, or pharmacological
52 stimulation. The magnitude of this functional deficit was consistent with deficits
53 observed anatomically in previous receptor binding work. To probe the repercussions of
54 this primarily extrasynaptic deficit in NMDARs, we examined dendritic plateau potentials

55 and found that *Grin1*KD mice are severely impaired in this integrative domain. In the
56 final experiment, we tested the possibility of restoring cognitively-critical synaptic
57 integration in adulthood, building on recent work showing that adult intervention to
58 increase *Grin1* expression achieves meaningful cognitive restoration²³. We determine
59 that dendritic plateau potentials can indeed be rescued by adult intervention to increase
60 *Grin1* expression. Taken together, this work reveals that integrative NMDARs are
61 disproportionately sensitive to genetic disruption but amenable to restoration upon
62 intervention in adulthood.

63 **Materials and Methods**

64 Animals: All experiments were approved by the University of Toronto Animal Care and
65 Use Committee and followed Canadian Council on Animal Care guidelines. Mice were
66 group-housed and kept on a 12-hour light cycle with food and water access *ad libitum*.

67 Mice for the initial experiments were generated from intercross breeding of C57Bl/6J
68 *Grin1* heterozygotes with 129X1Sv/J *Grin1* heterozygotes, producing an F1 generation
69 of *Grin1*KD (*Grin1*^{neo/neo}) and wild-type (WT) littermate siblings used for experiments
70 ^{21,23}. Adult male and female mice were used for experiments (sex-matched and age-
71 matched; age: 104 ± 5 days), with recordings from 52 WT and *Grin1*KD mice.

72 For the adult genetic rescue experiments, we used an additional 14 WT, *Grin1*KD, and
73 *Grin1*rescue mice of both sexes. The generation of the line permitting adult rescue with
74 tamoxifen is described in greater detail²³. Starting in adulthood at 84 ± 6 days, all three
75 genotypes of mice for the rescue experiment were treated with tamoxifen chow
76 (TD.140425, 500 □ mg/kg, Envigo) *ad libitum* for 14 days. Electrophysiology experiments
77 were conducted upon 38 ± 5 days washout from tamoxifen (sex matched and age-
78 matched; age: 135 ± 3 days).

79 Electrophysiological Recordings: Prefrontal brain slices were prepared as previously
80 described²⁵ and as detailed in **Supplemental Methods**. Layer 5 pyramidal neurons in
81 the medial prefrontal cortex, including cingulate and prelimbic regions, were visually
82 identified by their pyramidal shape and prominent apical dendrite using infrared
83 differential interference contrast microscopy. Unless otherwise indicated, whole-cell patch

84 clamp electrodes contained potassium-gluconate patch solution. All ACSF and pipette
85 solutions used for the following experiments are listed in **Supplemental Methods**.
86 Intrinsic membrane properties and excitability were assessed in current-clamp.

87 Evoked excitatory postsynaptic currents: AMPAR-mediated evoked excitatory
88 postsynaptic currents (eEPSCs) were measured in voltage-clamp at a holding potential
89 of -75 mV. A bipolar stimulating electrode (FHC) was located in layer 2/3 for apical
90 dendrite stimulation with pyramidal neurons in layer 5 recorded ~250 μm away from the
91 electrode. For basal dendrite stimulation, the stimulating electrode was placed in the
92 basal dendritic field ~100 μm from the soma of the recorded layer 5 pyramidal neuron.
93 For both apical and basal stimulation paradigms, single pulses of 40 μs duration were
94 delivered at 0.1 Hz, increasing in 10 μA increments. The AMPAR-mediated eEPSCs
95 were analyzed as an average of at least 3 traces with Clampfit (Molecular Devices).

96 Isolated NMDA receptor-mediated eEPSCs were measured in voltage-clamp at
97 a holding potential of +60 mV using specialized patch solution to block voltage-gated
98 potassium and sodium channels. These recordings were performed in the presence of
99 modified ACSF (1 mM MgSO_4), AMPAR antagonists CNQX (20 μM) or NBQX (20 μM),
100 and GABA receptor antagonists picrotoxin (PTX, 50 μM) and CGP52432 (CGP, 1 μM).
101 Stimulation in the apical or basal dendritic fields were delivered as above. The NMDA
102 receptor-mediated eEPSCs were analyzed as an average of 3 traces with Clampfit
103 (Molecular Devices) and D-APV (50 μM) was applied to confirm NMDAR responses.

104 Enhancing glutamate spillover: To additionally recruit the extrasynaptic population of
105 NMDA receptors, a 20 Hz train of mild stimuli was delivered in the apical location.
106 Glutamate spillover was additionally enhanced with the application of TBOA (30 μM)
107 and LY341495 (1 μM) to block glial glutamate uptake and mGluR2/3 presynaptic
108 autoreceptors respectively^{26,27}.

109 Pharmacological stimulation with NMDA application: Total synaptic and extrasynaptic
110 NMDAR currents were measured by bath application of NMDA (20 μM , 30 s) in a
111 different subset of brain slices. Voltage-clamp recordings were performed with
112 potassium-gluconate patch solution in a modified ACSF to reduce magnesium blockade
113 as neurons were held at -75 mV. The AMPAR antagonist CNQX (20 μM) was also

114 included. The peak amplitude of the NMDA receptor current was compared to baseline
115 current using Clampfit. In a subset of experiments, D-APV (50 μ M) was applied to verify
116 NMDAR mediation of the inward currents.

117 *NMDAR-dependent dendritic plateau potentials*: Plateau potentials were generated by
118 stimulation of the basal dendritic field of layer 5 pyramidal neurons, with the stimulating
119 electrode placed within \sim 100 μ m radius of the cell body. Plateau potentials were
120 recorded in current-clamp at an initial membrane potential of -75 mV. They were
121 generated with 10 stimuli at 50 Hz at the minimal stimulus intensity to evoke
122 glutamatergic EPSCs^{7,28}. PTX (20 μ M) and CGP52432 (1 μ M) were present to block
123 GABA receptors in combination with AMPAR blockers CNQX (20 μ M) or NBQX (20 μ M)
124 to isolate NMDAR plateau potentials. D-APV (50 μ M) was applied to confirm NMDAR
125 dependence of plateau potentials.

126 *Statistics*: Statistical tests were performed in Prism 7 (Graphpad). Data are presented
127 as mean \pm SEM. Parametric statistical comparisons between responses from different
128 groups of mice were determined using two-tailed unpaired *t* tests, and within-cell effects
129 examined with two-tailed paired *t* tests. Where appropriate, interactions between
130 genotype and other variables were assessed with two-way ANOVA or repeated-
131 measure two-way ANOVA with *post hoc* Sidak-corrected *t* tests. Where 3 groups were
132 treated with tamoxifen, the impact of adult intervention to rescue *Grin1* expression was
133 assessed with non-parametric Kruskal Wallis test and Dunn's *post hoc* tests due to the
134 distribution of the data. Within cell pharmacological investigations for this dataset were
135 therefore compared with a non-parametric paired test.

136 **Results**

137 To investigate the differential vulnerability of synaptic and extrasynaptic NMDARs to
138 genetic disruption, we performed *ex vivo* electrophysiology in major output pyramidal
139 neurons of prefrontal cortex from mice deficient in the obligate NMDAR subunit
140 (*Grin1*KD) and their wild-type (WT) littermate controls (**Fig 1A**). We found that neuronal
141 properties, including resting membrane potential, input resistance, capacitance, spike
142 amplitude, and rheobase did not differ significantly between the genotypes

143 **(Supplemental Table S1)**. The input-output relationship showed the expected effect of
144 current ($F_{3,123} = 307.6$; $P < 0.0001$; **Fig 1B,C**), but did not differ significantly between the
145 genotypes ($F_{1,41} = 0.4525$; $P = 0.50$), nor show an interaction $F_{3,123} = 1.123$; $P = 0.34$).

146 ***Preserved synaptic glutamatergic responses in Grin1KD mice***

147 To test AMPAR synaptic responses from stimulation in the apical dendritic field, we
148 recorded from layer 5 pyramidal neurons at a holding potential of -75 mV and applied
149 electrically-evoked stimulation in layer 2/3 (**Fig 1D**). There was no significant difference
150 between genotypes in the electrical stimulus required to elicit the minimal response ($t_{27} =$
151 0.3 ; $P = 0.8$), and response amplitudes were similar in both genotypes (**Fig 1E,F**). We
152 observed the expected effect of stimulus strength on response amplitude ($F_{3,115} = 11.04$;
153 $P < 0.0001$), but not an effect of genotype ($F_{1,115} = 2.354$; $P = 0.13$), nor an interaction
154 between genotype and stimulus strength ($F_{3,115} = 0.20$; $P = 0.9$). These results show
155 that AMPAR-mediated synaptic transmission in response to low-intensity stimulation is
156 similar in WT and *Grin1KD* prefrontal cortex.

157 To isolate NMDAR synaptic responses, we next recorded evoked currents at a
158 holding potential of +60 mV in the presence of AMPAR and GABA_A receptor
159 antagonists, using recording pipette solution designed to block voltage-gated potassium
160 and sodium channels. Again, there was no genotype difference in the minimal current
161 required to elicit a response ($t_{24} = 0.4$; $P = 0.71$), nor in response amplitudes across an
162 increasing range of stimuli (**Fig 1G,H**). We observed the expected effect stimulus
163 strength on response amplitude ($F_{3,87} = 12.53$; $P < 0.0001$), but no effect of genotype ($F_{1,}$
164 $87 = 0.1926$; $P = 0.66$), nor an interaction between genotype and stimulus strength ($F_{3,87} =$
165 0.1485 ; $P = 0.93$). Consistent with the intended NMDAR-mediation of these EPSCs, the
166 evoked currents were strongly suppressed by the selective NMDAR antagonist, D-APV
167 (50 μ M): $t_{(10)} = 6.1$, $P = 0.0001$). These results demonstrate that the amplitudes of
168 isolated NMDAR currents are similar between genotypes in response to low-intensity
169 stimulation. This unexpected finding was surprising because of the prominent
170 differences in the expression of the obligate subunit and NMDAR binding between the
171 genotypes in previous reports^{21,22}.

172 We therefore hypothesized that deficits are more prominent in the extrasynaptic
173 NMDAR subpopulation, which can be recruited by stronger electrical stimulation to
174 increase glutamate spillover^{29,30}. Therefore, we delivered stronger single stimuli (80 μ A)
175 in a subsequent experiment. In contrast to the relatively-homogenous effects of low-
176 intensity stimulation, stronger stimuli elicited a significant and substantial difference in
177 NMDAR ePSC amplitude between genotypes (WT: 599 \pm 105 pA, n = 9; Grin1KD: 339
178 \pm 62 pA, n = 16; t_{23} = 2.29; P = 0.032; data not shown). This result prompted a detailed
179 characterization of extrasynaptic NMDAR in *Grin1*KD mice using multiple approaches.

180 ***Deficient extrasynaptic NMDAR responses in Grin1KD mice***

181 To recruit extrasynaptic NMDARs by boosting glutamate spillover, repetitive stimuli in a
182 20 Hz train were delivered under baseline conditions and then under standard
183 conditions to increase glutamate spillover^{26,27}, suppression of glutamate reuptake with
184 TBOA and autoinhibition with LY341495 (**Fig 2A,B**). In wild-type mice, repetitive
185 stimulation led to summation of postsynaptic responses, yielding a higher peak
186 response compared to the first input, with further potentiation of peak response caused
187 by glutamate spillover in the presence of TBOA. In *Grin1*KD, by contrast, boosting
188 spillover did not increase the peak response, leading to a significant interaction between
189 the genotype and spillover conditions ($F_{2,16}$ = 11.37; P = 0.0008). Repetitive stimulation
190 in the presence of TBOA significantly potentiated the peak response compared to the
191 first stimulus in WT (Sidak's post hoc test, P = 0.0001) but not in *Grin1*KD (P = 0.2).
192 These results suggest a lack of extrasynaptic NMDARs in *Grin1*KD available to be
193 recruited by glutamate spillover.

194 To reach an even broader group of extrasynaptic receptors, we activated
195 NMDARs using direct pharmacological manipulation with the agonist NMDA. For these
196 experiments, we bath-applied NMDA to the prefrontal slice in the presence of AMPAR
197 antagonist CNQX and low-Mg²⁺ to permit NMDAR activation at a holding potential of -75
198 mV. As anticipated²³, pharmacological NMDAR currents were substantially and
199 significantly reduced in *Grin1*KD mice compared to their littermates (WT: 87 \pm 5 pA, n =
200 23; *Grin1*KD1: 24 \pm 2 pA, n = 21; t_{42} = 10.6, P = 0.0001; **Fig 2C,D**). These
201 pharmacologically-elicited inward currents were suppressed by D-APV (50 μ M; WT: n =

202 5, $t_4 = 6.2$, $P = 0.003$; *Grin1*KD mice: $n = 7$, $t_6 = 3.5$, $P = 0.01$). Of note, the 3-fold
203 genotype difference in the response to bath NMDA mirrors the difference in NMDAR
204 binding observed in prefrontal cortex in *Grin1*KD compared to wild-type controls²³.

205 Stronger, repetitive, and pharmacological stimulations that recruit extrasynaptic
206 NMDARs all unmask genotype differences between the wild-type littermates and
207 *Grin1*KD mice, consistent with the interpretation that *Grin1*KD mice have a specific and
208 disproportionate deficit in extrasynaptic NMDARs.

209 ***Impact of extrasynaptic NMDAR disruption: Dendritic plateau potentials***

210 Dendritic plateau potentials can be evoked by spillover of glutamate onto extrasynaptic
211 NMDARs under conditions of high-frequency repetitive stimulation of inputs to basal
212 dendrites^{7,28}. This integrative phenomenon depends on the recruitment of extrasynaptic
213 NMDARs (**Fig 3A**), and would be vulnerable if this population were compromised (**Fig**
214 **3B**). Dendritic plateau potentials are considered an important cognitive substrate to link
215 multiple streams of incoming information and generate burst firing^{16,19,20,31}, an output
216 signal predicted to exert stronger downstream consequences^{32,33}. Deficient
217 extrasynaptic NMDARs are predicted to have profound consequences for such
218 signaling^{7,28}.

219 To examine basal dendrite plateau potentials in both genotypes, we recorded
220 from layer 5 pyramidal neurons while electrically stimulating inputs in the basal field.
221 AMPAR eEPSCs evoked by basal dendritic stimulation were similar between wild-type
222 and *Grin1*KD mice, had the expected effect of current ($F_{2,66} = 12.7$; $P = 0.0001$), but no
223 effect of genotype ($F_{1,66} = 0.148$, $P = 0.7$) nor interaction between genotype and current
224 ($F_{2,66} = 0.127$, $P = 0.88$, data not shown). Next, we recorded NMDAR plateau potentials
225 in current-clamp in response to trains of stimuli (50 Hz, 10 pulses) in the presence of
226 AMPA and GABA receptor blockade and observed a marked genotype difference (**Fig**
227 **3C,D**). While wild-type neurons showed clear NMDAR plateau potentials (peak
228 amplitude: 2.15 ± 0.27 mV, $n = 8$), the train of stimuli did not elicit dendritic plateau
229 potentials in *Grin1*KD neurons (0.48 ± 0.10 mV, $n = 8$; $t_{14} = 5.8$ $P < 0.0001$; **Fig 3C,D**).
230 Plateau potentials in wild-type neurons could be eliminated by the NMDAR antagonist
231 APV (significant genotype x D-APV interaction: $F_{1,7} = 7.53$, $P = 0.029$; peak amplitude

232 at baseline vs APV in WT: $t_7 = 4.12$, $P = 0.009$, Sidak's *post hoc* test, data not shown).
233 *Grin1*KD prefrontal pyramidal neurons have a significant deficit in dendritic plateau
234 potentials compared to those recorded in brain slices from wild-type littermate mice.
235 This measure confirms a profound physiological impact of insensitivity to glutamate
236 spillover in *Grin1*KD.

237 ***Electrophysiological examination of consequences of adult Grin1 rescue***

238 To identify whether a genetic intervention in adulthood could restore crucial aspects of
239 NMDAR function in *Grin1*KD mice, we tested a tamoxifen-induced Cre-based approach
240 that has previously been shown to increase prefrontal NMDAR radioligand binding and
241 reverse key behavioural deficits²³. Briefly, *Grin1*KD mice with loxP sites flanking an
242 insertion Neo cassette were crossed with Cre-ERT2 mice and the adult offspring were
243 treated with tamoxifen (**Fig 4A**). In *Grin1*KD mice with the Cre-ERT2 transgene,
244 tamoxifen induces Cre-mediated excision of the Neo cassette in *Grin1*, restoring full-
245 length mRNA expression and NMDAR levels to ~60% of wild-type²³. These are referred
246 to as *Grin1*rescue mice. In order to ensure equivalent comparison, all 3 genotypes (WT,
247 *Grin1*KD, *Grin1*rescue) were treated with tamoxifen at the same age and for the same
248 time course. Intrinsic electrophysiological properties of prefrontal layer 5 pyramidal
249 neurons including the resting membrane potential, input resistance, capacitance, and
250 action potential amplitude were not significantly different across the tamoxifen-treated,
251 littermate wild-type, *Grin1*KD and *Grin1*rescue mice (**Supplemental Table S2**).

252 ***Adult intervention rescues dendritic plateau potentials in prefrontal cortex***

253 To identify whether an adult intervention to boost *Grin1* expression can restore dendritic
254 plateau potentials in mice after a lifelong deficit, we examined NMDAR plateau
255 potentials in the three groups of tamoxifen-treated mice. Under these conditions,
256 *Grin1*KD mice again showed significantly smaller NMDAR plateau potentials compared
257 to wild-type mice, but there was a striking increase in the amplitude of the NMDAR
258 plateau potentials in the *Grin1*rescue mice compared to the *Grin1*KD (**Fig 4B**). The
259 distribution of the data prompted nonparametric analysis (Kruskal Wallis test = 11.30, P
260 = 0.003; Dunn's *post hoc* tests: WT vs *Grin1*KD, $Z = 3.18$, $P = 0.004$; *Grin1*KD vs
261 *Grin1*rescue, $Z = 2.55$, $P = 0.032$; but no significant difference WT vs *Grin1*rescue, $Z =$

262 0.76, $P = 0.99$). Correspondingly, dendritic plateau potentials were significantly
263 suppressed by D-APV in both WT and *Grin1*rescue mice (Wilcoxon matched-pairs
264 signed rank test: $P = 0.016$, $n = 7$, data not shown).

265 Here we show that increasing expression of the obligate NMDAR subunit in
266 adulthood is sufficient to restore dendritic plateau potentials, consistent with the
267 significant behavioural improvement observed previously²³. These findings suggest that
268 the boost in *Grin1* expression results in an increase in functional extrasynaptic
269 NMDARs, as illustrated in the working model in **Fig 5**. This work demonstrates the
270 potential for adult treatments to restore NMDAR function critical for signal integration.

271 **Discussion**

272 Our data reveal that developmental deficiency in the obligate *Grin1* subunit leads to a
273 profound bias in NMDAR function in the prefrontal cortex. The subpopulation of synaptic
274 NMDARs recruited by mild stimulation shows markedly greater functional preservation
275 than the extrasynaptic receptors recruited by stronger, repetitive, or pharmacological
276 stimuli. To probe the physiological implications of this uneven pattern of NMDAR
277 disruption, we examined dendritic plateau potentials and identified striking deficits in this
278 integrative phenomenon in *Grin1*KD mice. Lastly, we discovered that genetic rescue of
279 *Grin1* expression restores this form of integrative neurophysiology in the mature brain.
280 Our work suggests that, in mice with NMDAR insufficiency, the window for functional
281 improvement remains open into adulthood.

282 ***Broader relevance of this model of NMDAR insufficiency***

283 The *Grin1*KD mouse has been used as a model to study aspects of schizophrenia,
284 autism spectrum disorder, and most recently as a general model for variants in *Grin1*
285 that cause GRIN disorder^{34,35}. *Grin1*KD mice most closely model *Grin1*
286 haploinsufficiency, since they have a genetic modification causing a dramatic reduction
287 in the amount of GluN1 protein and NMDAR without a change in amino acid sequence
288 or in the biophysical properties of the receptor. The *Grin1*KD mouse expresses low
289 levels of the obligate NMDAR subunit with only ~30% of normal cortical NMDARs, as
290 measured by radioligand binding²¹⁻²³. Understanding the cellular electrophysiological

291 consequences of this substantial deficit is relevant beyond GRIN disorder, since
292 perturbed NMDAR levels are also a key contributing factor to the symptoms of other
293 neurodevelopmental disorders, including those arising from variants in DLG3, SHANK3,
294 and FMRP^{5,36-40}. Our investigation of *Grin1*KD mice suggest that patients with reduced
295 NMDARs are likely to have a functional deficit in extrasynaptic NMDAR, with a relative
296 preservation of synaptic receptors. Given the historical focus on synaptic NMDAR for
297 neural communication and extrasynaptic receptors for excitotoxicity, it is remarkable
298 that the profound cognitive impairments of *Grin1*KD mice could be attributed to
299 extrasynaptic deficits. It is also striking that rescue experiments in adulthood, which
300 improve executive function and sensory integration²³, appear to boost functioning of
301 this extrasynaptic population to restore dendritic plateau potentials, a measure of
302 integrative neurophysiology. This combination of findings urges greater attention to
303 extrasynaptic NMDARs in developmental disorders.

304 ***New perspectives on extrasynaptic NMDARs and their integrative role***

305 Extrasynaptic NMDARs, located perisynaptically¹⁰, or non-synaptically on dendritic
306 shafts¹⁰, used to be predominantly described in terms of pathology and their role in
307 activating excitotoxic cell death pathways⁴¹. However, this view is shifting as growing
308 preclinical research demonstrates the physiological conditions under which
309 extrasynaptic NMDARs are recruited¹⁵⁻¹⁷. This recent body of work points to their role in
310 normal brain function via generation of dendritic plateau potentials^{3,4,42}. Extrasynaptic
311 receptors bind the small amount of glutamate that escapes the synapse, to become
312 'primed' and ready for rapid activation by subsequent depolarizing input(s). NMDARs on
313 small dendritic branches are thus positioned to detect the activation of multiple
314 synapses close together in space and time. Such temporal and spatial integration is
315 required to generate dendritic plateau potentials^{2,7,18,19}. These NMDAR-mediated
316 integration events trigger burst firing^{7,19}, a robust neuronal response^{32,33}, thought to be
317 essential for behaviour-evoked network activity^{4,20,43}. Our results indicate that
318 developmental disorders with reduced NMDARs are likely to have compromised
319 neurophysiological integration resulting from disrupted extrasynaptic NMDAR
320 population. Intriguingly, an adult intervention yielding an increase in *Grin1* expression

321 and NMDAR radioligand binding²³ (to ~60% of wild-type), restores the
322 neurophysiological phenomenon of dendritic plateau potentials. This integrative
323 recovery is consistent with the marked improvement of cognitive performance observed
324 after treatment in adulthood²³.

325 ***Subcompartment-specific NMDAR alterations: potential mechanisms and caveats***

326 Disparate functional consequences across NMDAR populations have been observed in
327 response to different perturbations⁴⁴⁻⁴⁸. Research in cell systems demonstrates that
328 NMDARs move between synaptic and extrasynaptic compartments upon
329 pharmacological manipulation⁴⁴⁻⁴⁷, or exposure to antibodies from people with anti-
330 NMDAR encephalitis⁴⁹. Receptor trafficking, however, is not the only path to achieve
331 divergent functional outcomes for synaptic and extrasynaptic NMDAR populations.
332 Multiple mechanisms for functional NMDAR enhancement display compartmental
333 specificity, including post-translational modification pathways^{50,51}, co-agonism⁵²⁻⁵⁴, and
334 mechanisms of receptor desensitization⁵⁵⁻⁵⁷. The functional preservation of synaptic
335 NMDAR responses in *Grin1KD* mice may therefore be caused by multiple complex
336 mechanisms, and not necessarily reflect wild-type levels of receptor density in this
337 compartment²³.

338 While NMDARs are the focus of a large body of work in models of
339 neurodevelopmental disorders, many characterizations use relatively strong stimuli
340 under conditions where 'synaptic' measures may inadvertently include a broader
341 population. Here, we pursued carefully calibrated electrical stimulation under several
342 conditions to isolate synaptic NMDARs from their extrasynaptic counterparts. Our
343 strategy was adopted due to the inherent challenges in separating these contributions
344 with pharmacological tools^{58,59}. This problem is particularly difficult to overcome in the
345 prefrontal cortex, where synaptic and extrasynaptic NMDARs show a high degree of
346 overlap in molecular composition and pharmacological affinities^{60,61}, complicating
347 specific manipulations. Differentiating synaptic and extrasynaptic NMDAR populations
348 remains a challenging, but increasingly important, focus for future work into the
349 mechanisms of cognitive compromise arising from NMDAR insufficiency.

350 ***Clinical relevance and future implications***

351 Current treatments for cognitive disability arising from genetic disruption of NMDARs
352 focus on supportive therapies because it is assumed that lifting cognitive restrictions
353 hard-wired by abnormal brain development is impossible. However, this assumption has
354 recently been challenged. Promising preclinical data^{23,62,63} suggest the potential for
355 cognitive improvement, even when intervention is delayed until adulthood. If adult
356 treatments are to be seriously pursued, it is essential to appreciate what neural
357 components are functionally compromised and what may be preserved. Here, we
358 address a critical knowledge gap about the specific cellular and circuit mechanisms by
359 which genetic NMDAR disruption impairs cognitive function. We demonstrate that two
360 important NMDAR subpopulations do not suffer equal consequences from genetic disruption of
361 the obligate subunit *Grin1*. Extrasynaptic NMDARs are disproportionately compromised with
362 resulting disruption of the integrative capacity required for the generation of dendritic plateau
363 potentials. This deficit, strikingly, proves amenable to rescue by intervention in adulthood.
364 Developing effective treatments for the cognitive impairments caused by NMDAR disruption
365 requires the identification of the most efficient targets. Our discovery underscores the need
366 for research into additional approaches to safely enhance extrasynaptic NMDAR
367 functioning. Overall, our findings suggest that deficient integrative mechanisms are amenable
368 to improvement, even with adult intervention.

369 **References**

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521

522 **Figure Legends**

523 **Figure 1. Wild-type and *Grin1KD* have similar intrinsic excitability and**
524 **postsynaptic AMPA and NMDA receptor responses. (A)** Schematic of the prefrontal
525 cortex with electrophysiological recording from layer 5 pyramidal neuron. **(B)** Example
526 current-clamp traces from WT (left) and *Grin1KD* (right) in response to depolarizing
527 current steps through the recording pipette. **(C)** Input-output graphs of spike frequency
528 (Hz) in current-clamp for WT ($n = 20$) and *Grin1KD* ($n = 25$). **(D)** Schematic of recording
529 pipette with extracellular stimulating electrode for assessment of postsynaptic currents.
530 **(E)** Example voltage-clamp traces ($V_h -75$ mV) show inward AMPA receptor (AMPA)-
531 mediated electrically-evoked excitatory postsynaptic currents (eEPSC) in WT and
532 *Grin1KD*. **(F)** Graph illustrates that WT ($n = 15$) and *Grin1KD* ($n = 13$) both show the
533 expected relationship between stimulus strength eEPSC amplitude but no significant
534 effect of genotype nor interaction for AMPAR eEPSCs. **(G)** Example voltage-clamp
535 traces ($V_h +60$ mV) show outward NMDA receptor (NMDAR)-mediated evoked
536 postsynaptic currents (ePSCs), isolated with AMPAR and GABA receptor blockade and
537 recorded with pipette solution to internally block voltage-gated potassium and sodium
538 channels. **(H)** Graph illustrates that both WT ($n = 10$) and *Grin1KD* ($n = 15$) show the
539 expected relationship between stimulus strength and NMDAR ePSC amplitude, but no
540 significant effect of genotype nor interaction for these ePSCs. Data is represented as
541 mean \pm SEM.

542 **Figure 2. Extrasynaptic NMDARs are not recruited in *Grin1KD* mice during**
543 **glutamate spillover. (A)** Voltage-clamp traces ($V_h +60$ mV) show NMDAR-mediated
544 outward currents during AMPAR blockade in WT (above) and *Grin1KD* (below) evoked
545 by a stimulus train (20 Hz, 10 pulses) under baseline conditions and with the addition of
546 TBOA and LY341495 to enhance glutamate spillover (red line). The dotted line
547 illustrates the consistency of the first evoked postsynaptic current. NMDAR responses
548 isolated with AMPAR and GABA receptor blockade. **(B)** The bar graph shows the
549 significant potentiation of the peak amplitude in the stimulus train under conditions of
550 enhanced glutamate spillover for WT ($n = 4$) but not *Grin1KD* ($n = 6$); significant
551 interaction of genotype and spillover condition ($***P < 0.001$). **(C)** Voltage-clamp traces

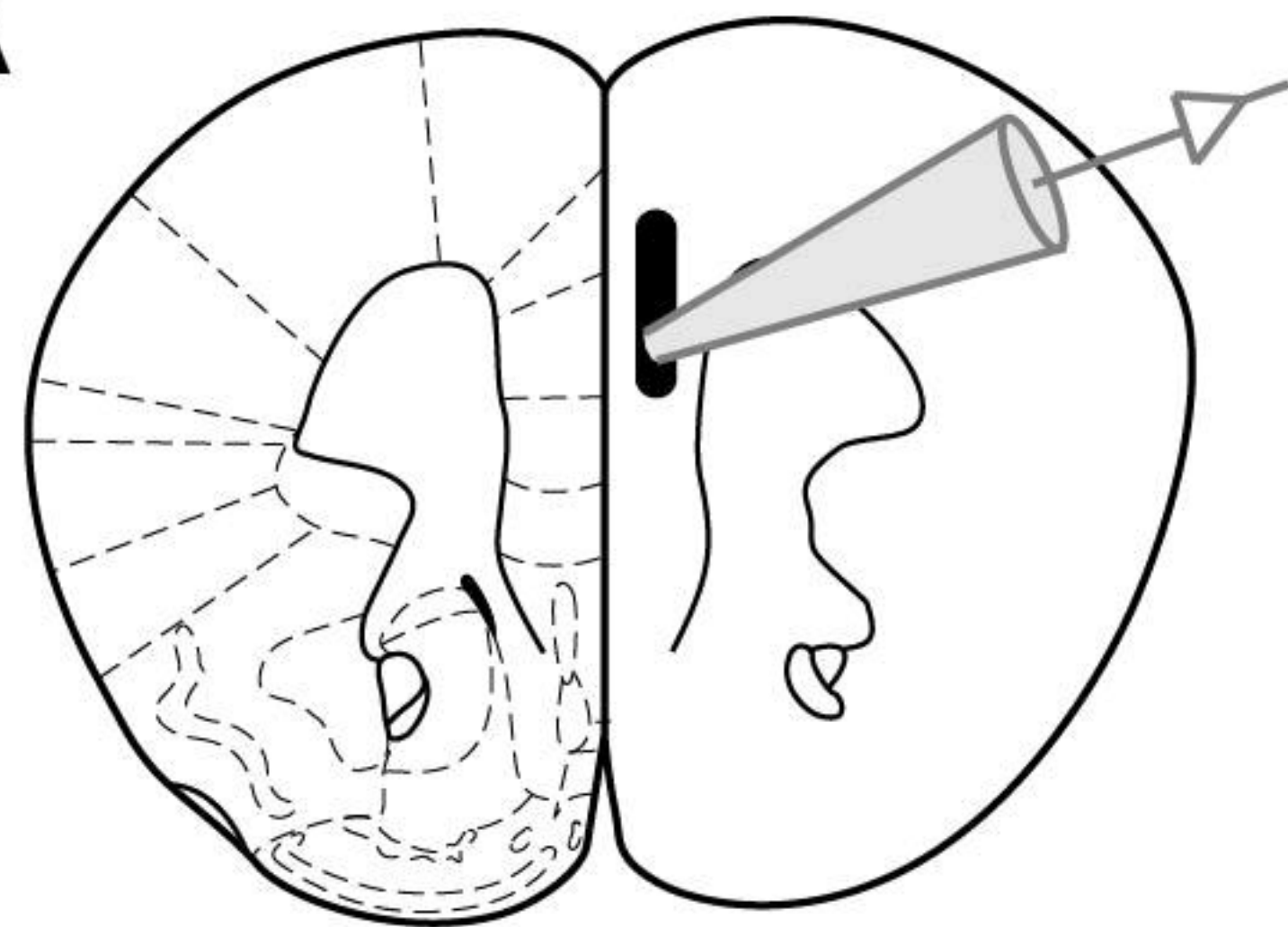
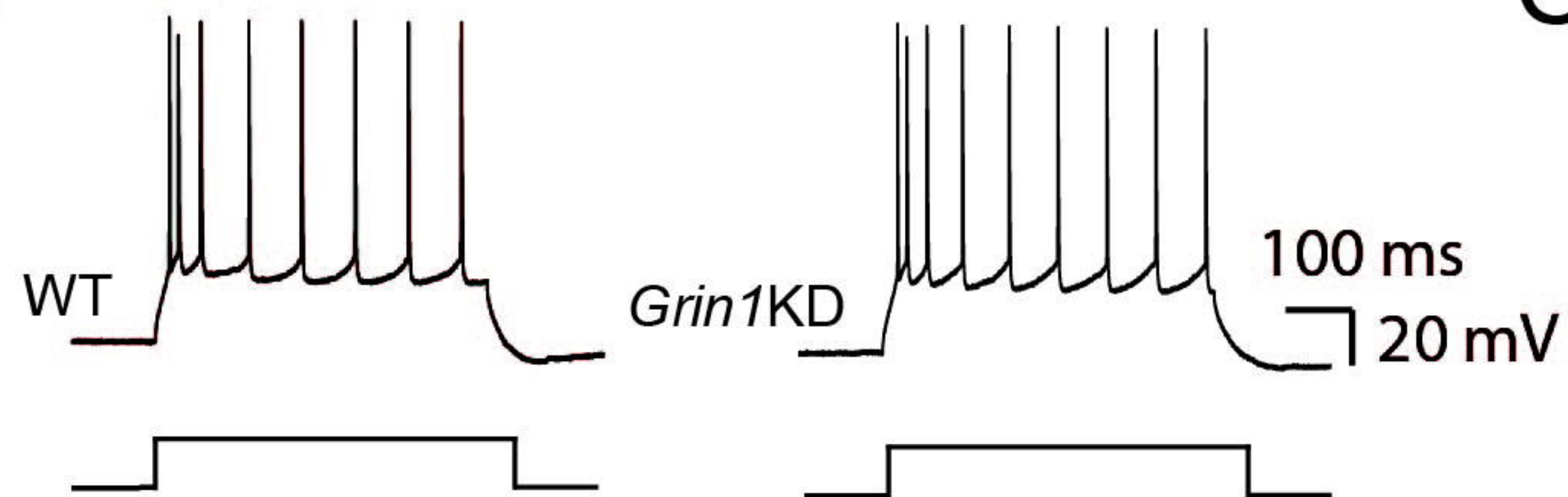
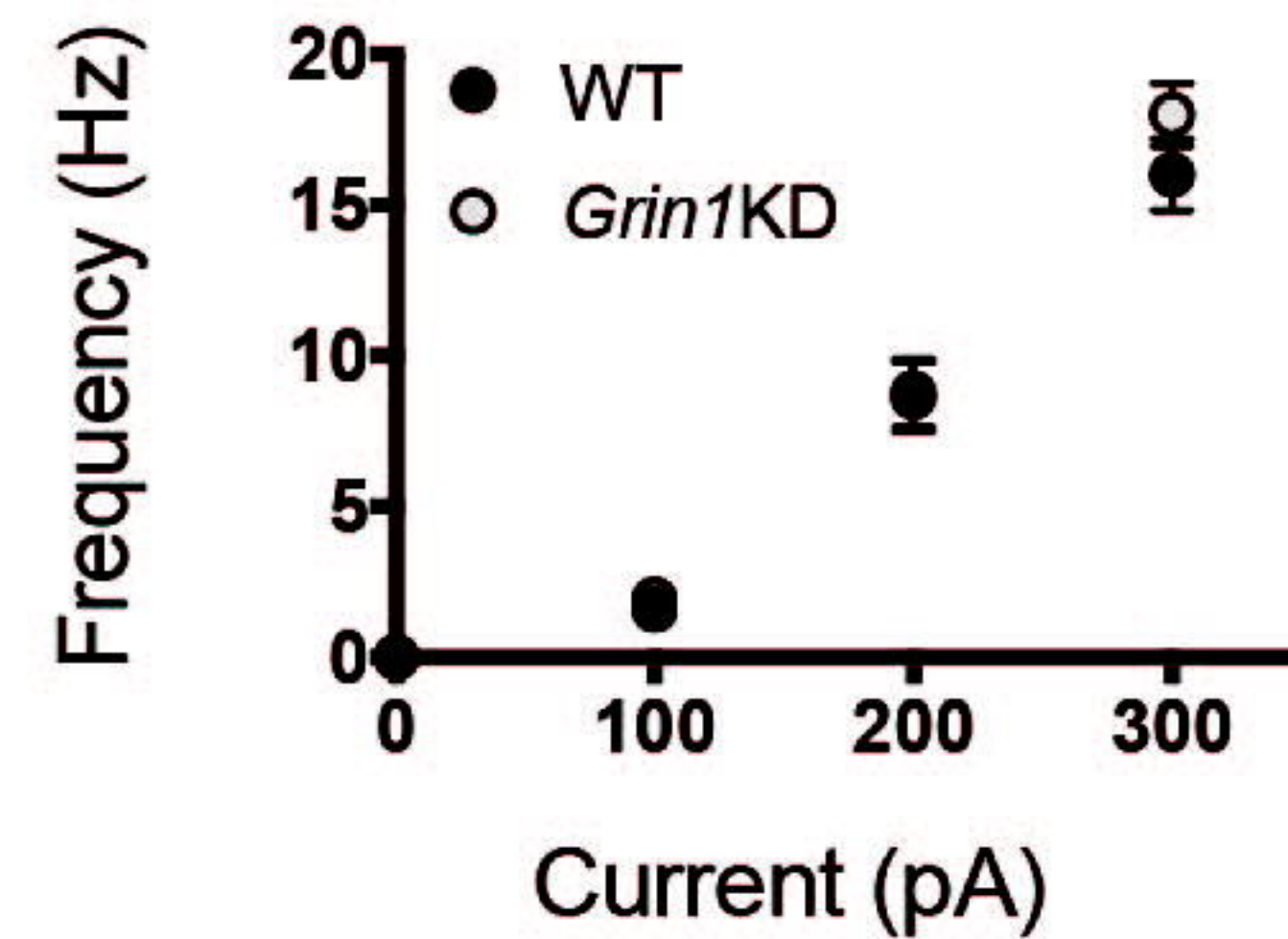
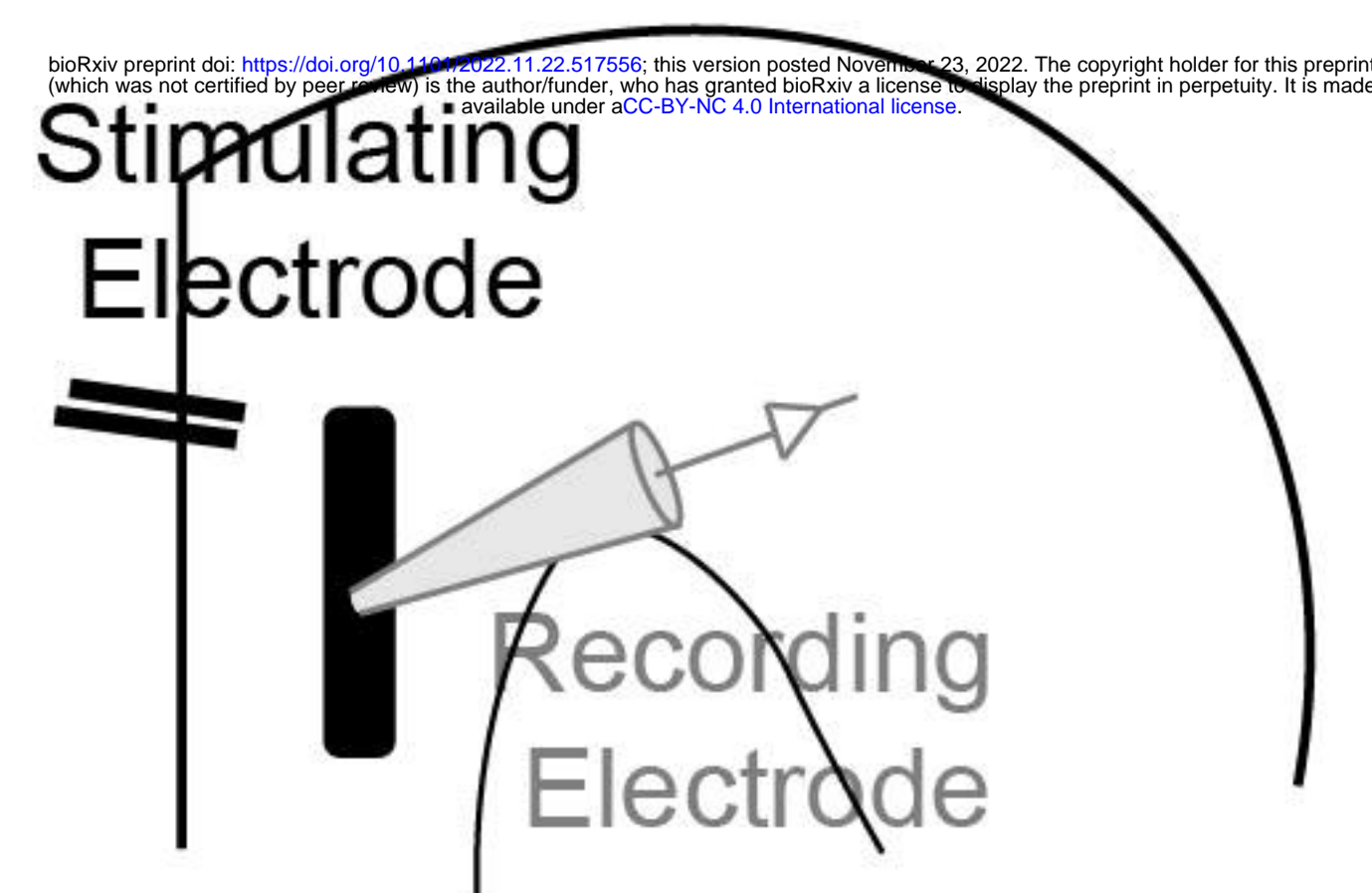
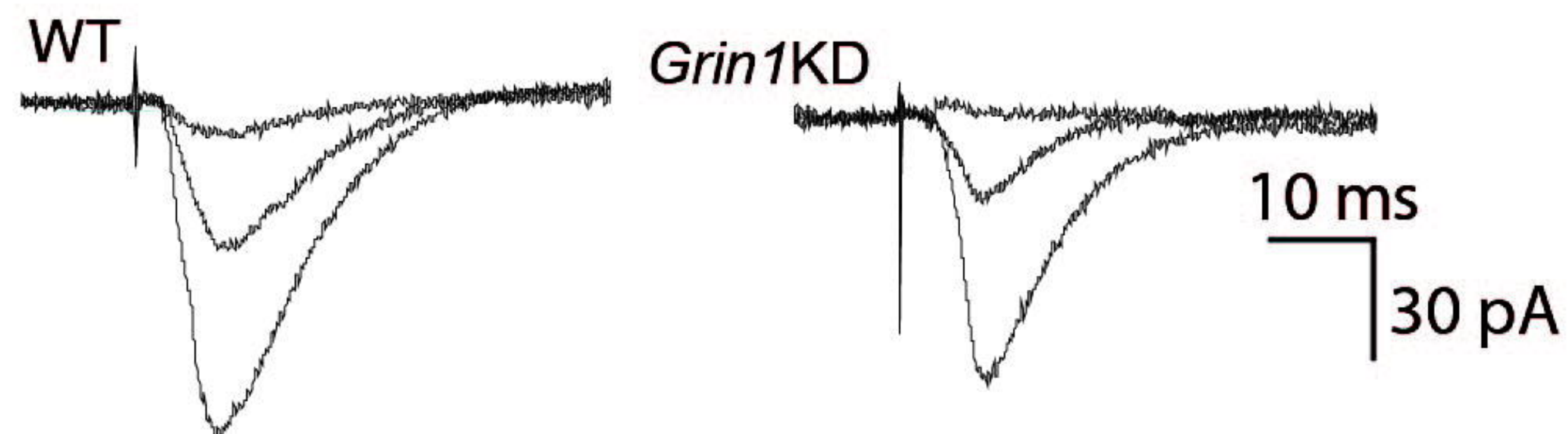
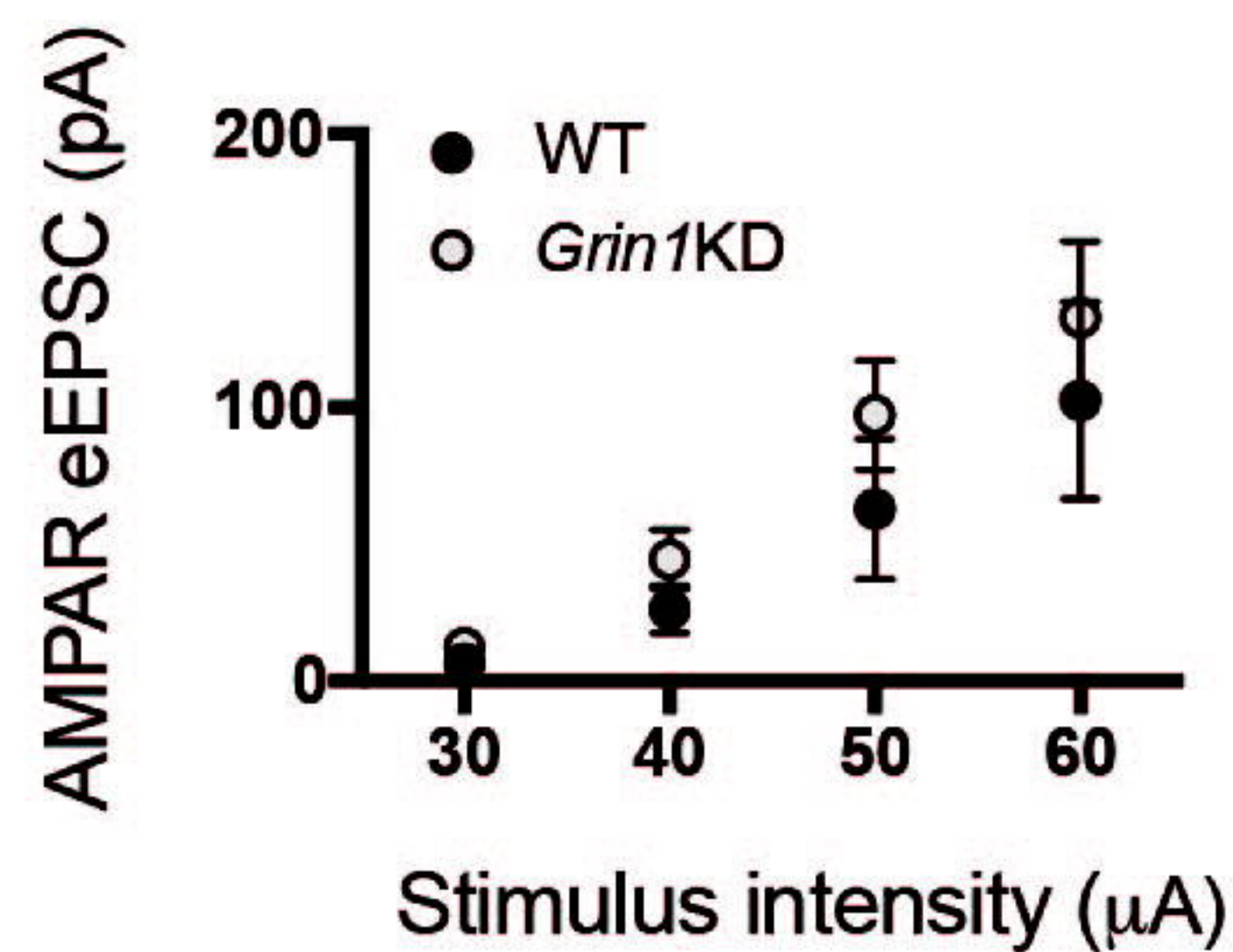
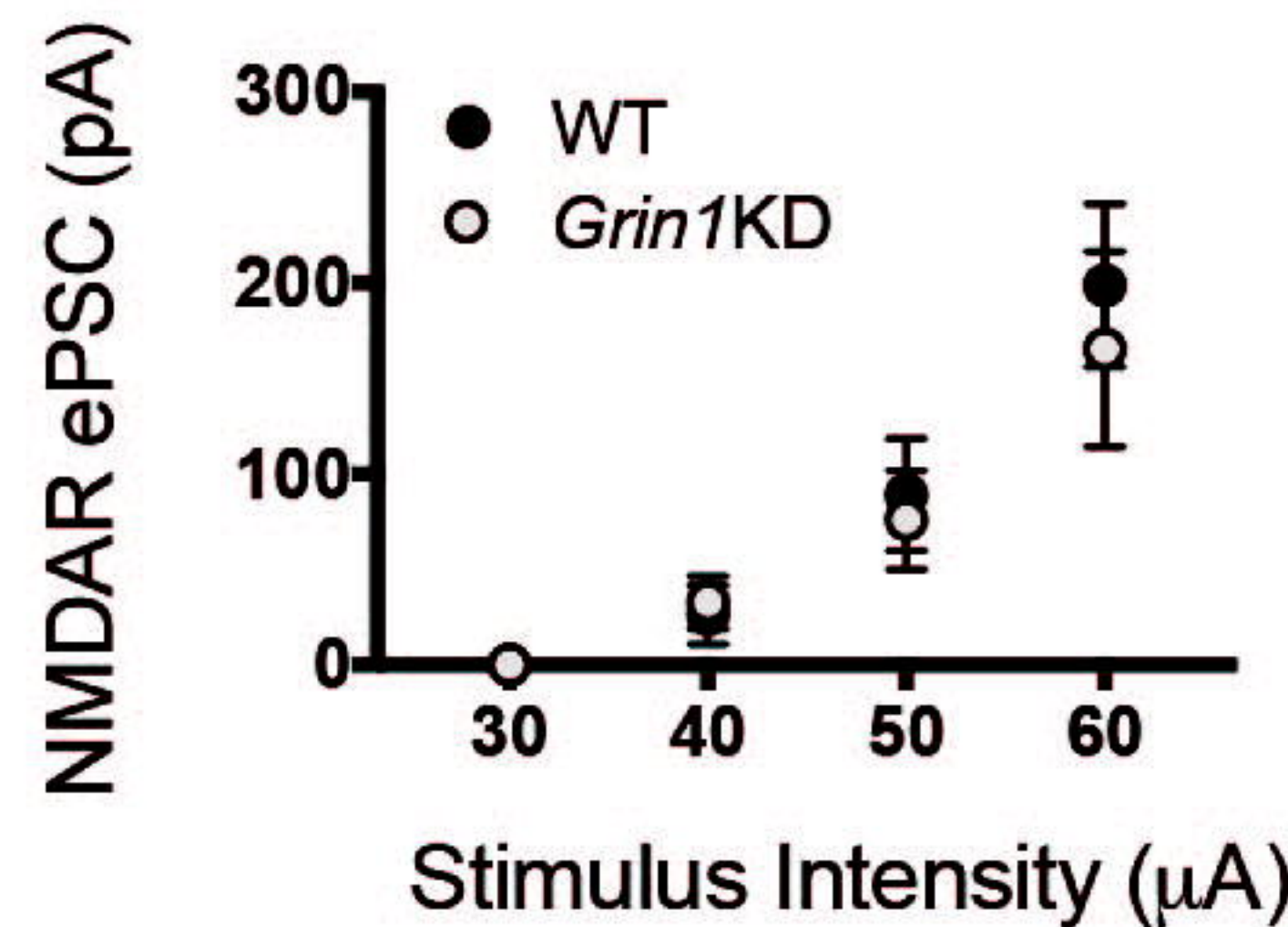
552 show bath application of NMDA to pharmacologically stimulate NMDAR in WT (left) and
553 *Grin1*KD (right). (D) The bar graph shows the peak amplitude of pharmacologically-
554 elicited inward NMDA currents is significantly lower in *Grin1*KD ($n = 21$) compared to
555 WT ($n = 23$) (**** $P \leq 0.0001$). Data represented as mean \pm SEM.

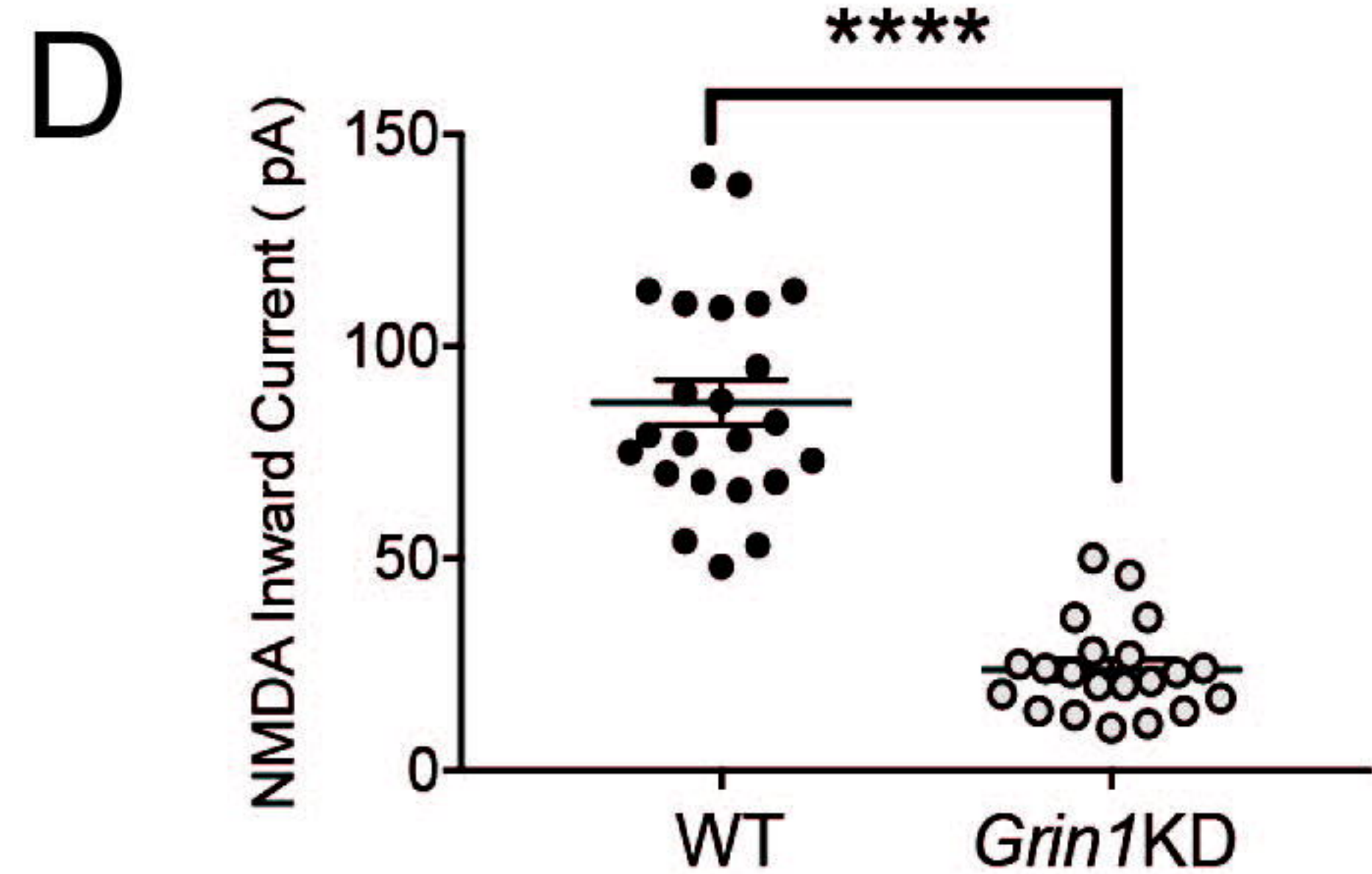
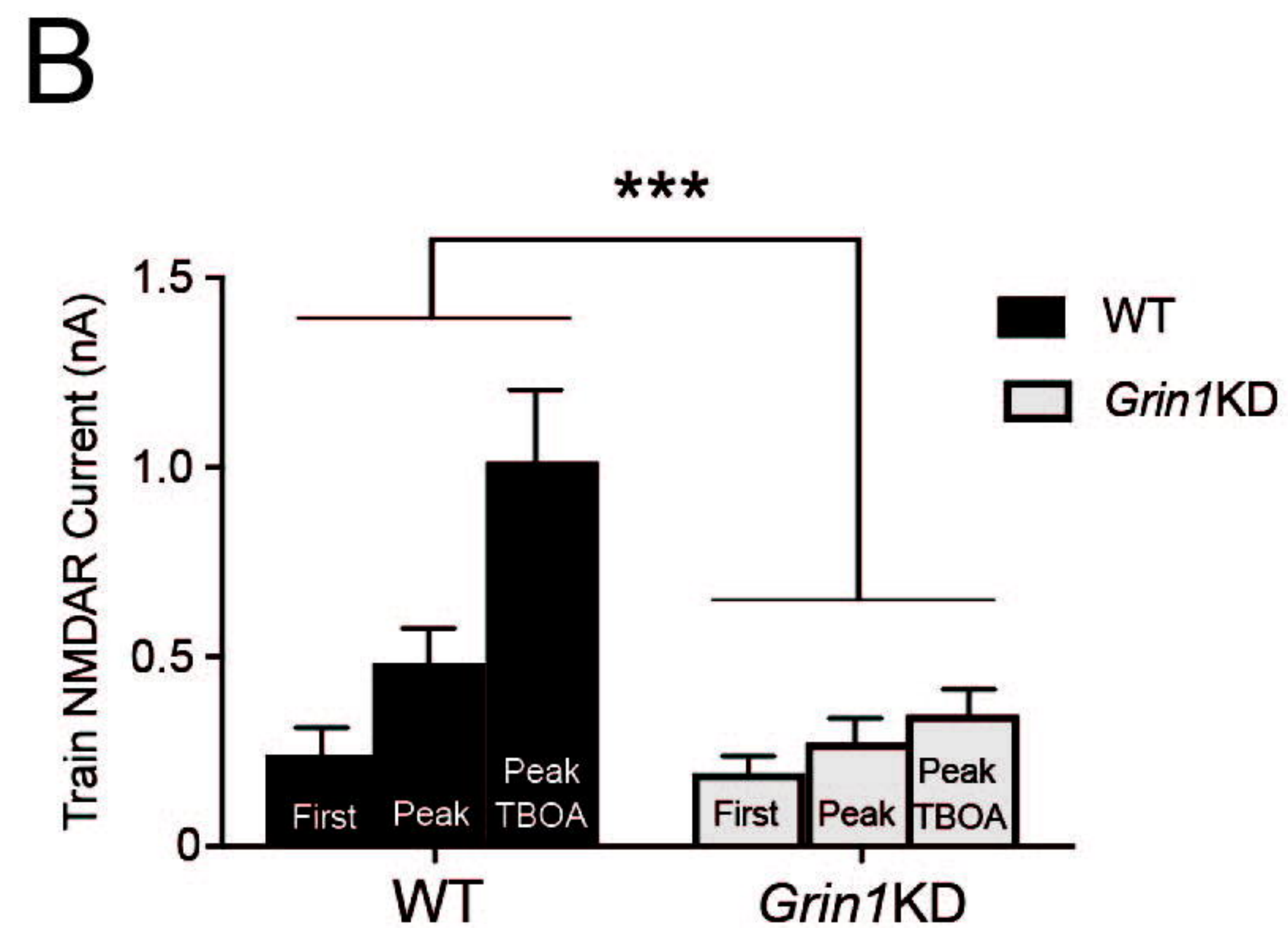
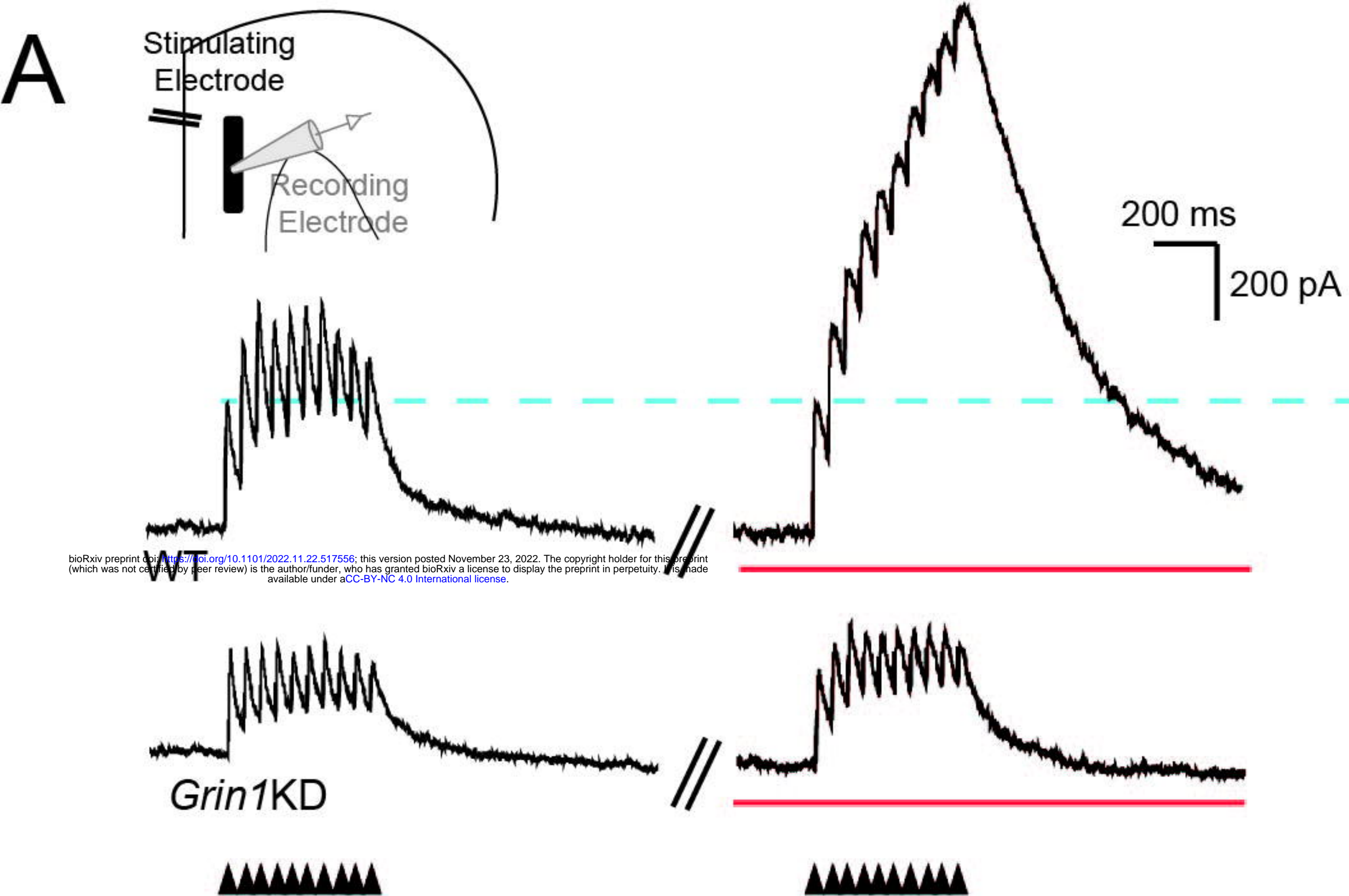
556 **Figure 3. Deficits in extrasynaptic NMDA receptors disrupt integrative basal**
557 **dendrite plateau potentials in *Grin1*KD.** Schematics depict hypothesized differences
558 in extrasynaptic NMDA receptors (NMDARs) between (A) WT and (B) *Grin1*KD. The
559 initial stimulus (1.) yields glutamate spillover that permits priming of extrasynaptic
560 NMDARs during the inter-stimulus interval (2.) making them available to be activated
561 immediately by depolarization from the next stimulus (3.). This form of integration is
562 sufficient to yield a dendritic plateau potential in response to repeated mild stimulation
563 and is typically measured in current-clamp. (C) Inset: Schematic of layer 5 pyramidal
564 cell recording with stimulation in the basal dendritic field. Averaged current-clamp
565 recordings of excitatory responses to repeated minimal stimulation (50 Hz, 10 pulses,
566 30-40 μ A) in WT (black, $n = 8$) and *Grin1*KD (gray, $n = 8$). NMDAR-mediated dendritic
567 plateaus isolated with AMPA and GABA receptor blockade. (D) Graph of peak plateau
568 amplitude illustrates that basal dendrite integration is substantially reduced in *Grin1*KD
569 mice compared to WT (**** $P < 0.0001$). Data represented as mean \pm SEM.

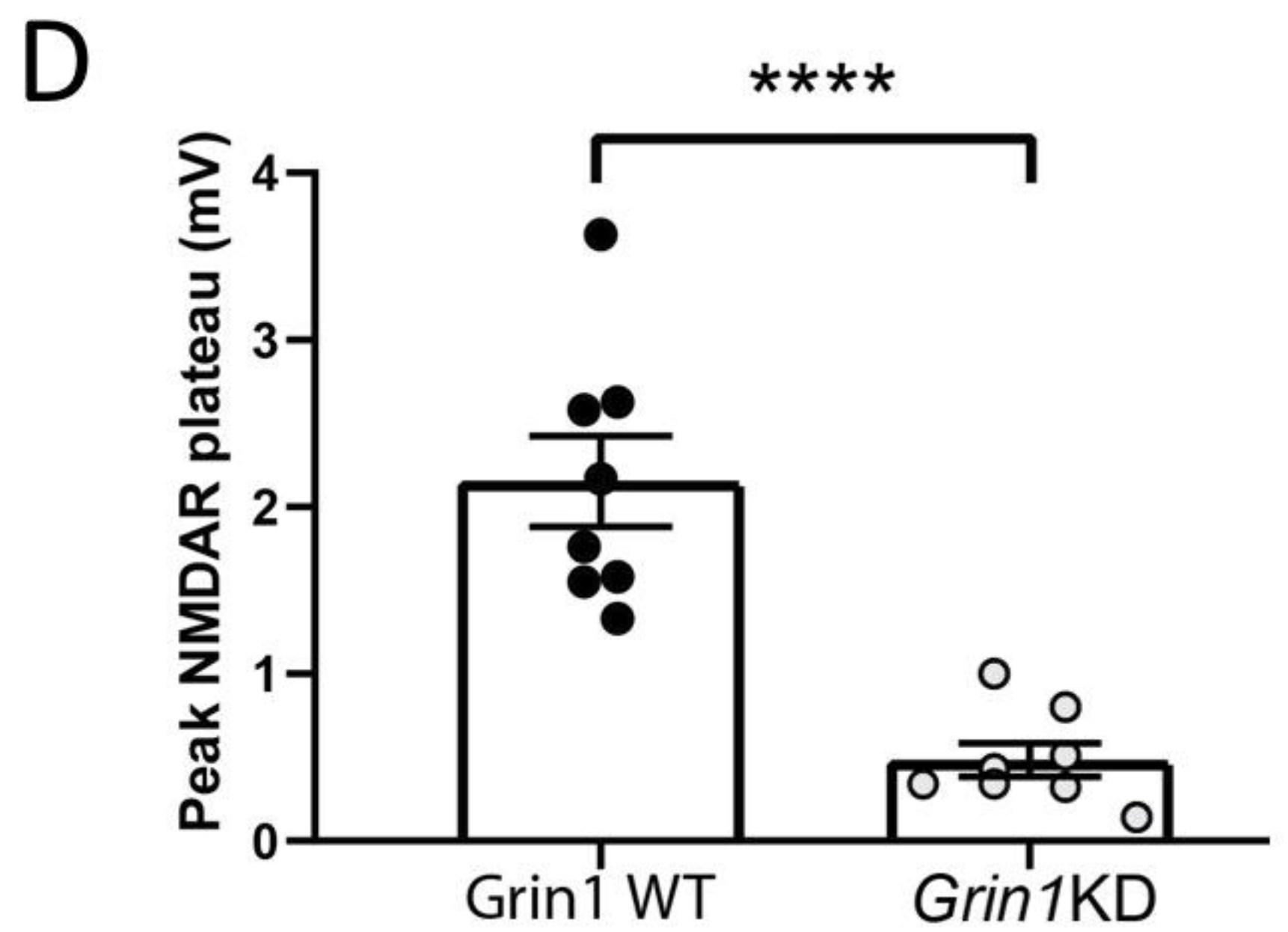
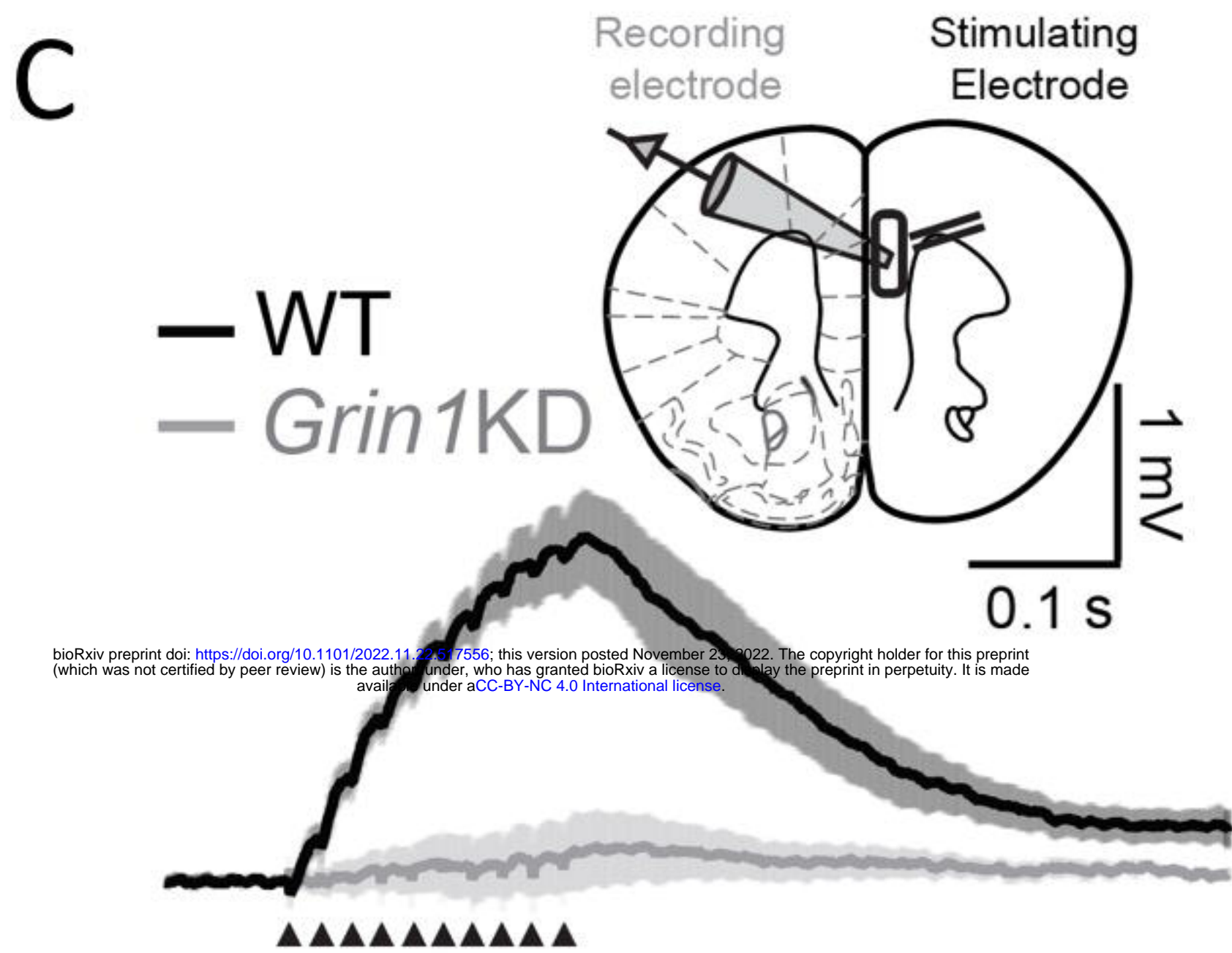
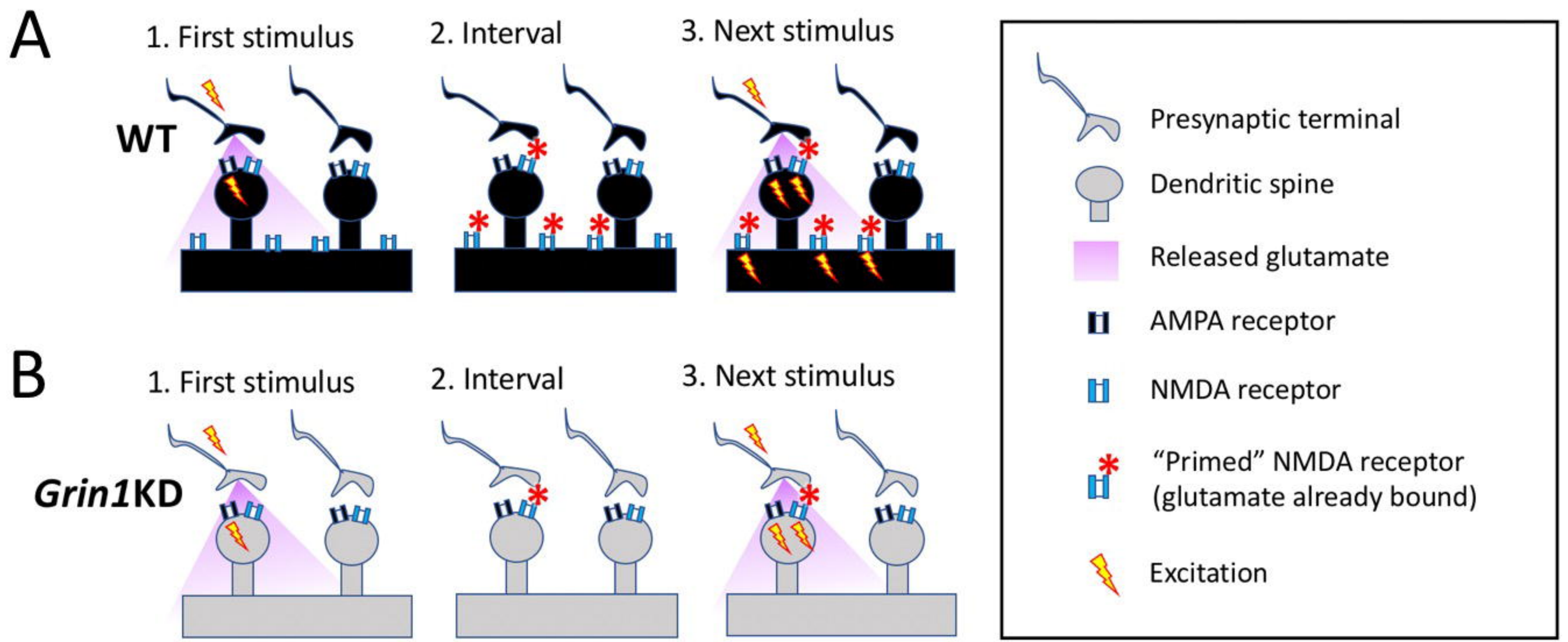
570 **Figure 4. Adult genetic intervention to boost *Grin1* expression restores dendritic**
571 **plateau potentials.** (A) *Grin1*rescue schematic illustrates strategy for enhancing *Grin1*
572 expression and increasing NMDAR density in adulthood (adapted from Mielnik and
573 colleagues²³). All mice are treated with tamoxifen in adulthood but only in *Grin1*rescue
574 will this treatment trigger Cre expression and lead to the excision of the Neo cassette to
575 increase *Grin1* mRNA, NMDAR radioligand binding, and cognitive performance
576 significantly²³. (B) Averaged current-clamp recordings of responses to repeated mild
577 stimulation (50 Hz, 10 pulses, 40 μ A) in the 3 genotypes of mice all treated with
578 tamoxifen in adulthood: WT (black, $n = 17$), *Grin1*KD (gray, $n = 18$), and *Grin1*rescue
579 (red, $n = 21$). (C) Graph illustrates that basal dendrite integration is greatly reduced in
580 *Grin1*KD compared to WT and is restored in the *Grin1*rescue (** $P < 0.01$, * $P < 0.05$).
581 Data represented as mean \pm SEM.

582

583 **Figure 5. Working model schematics for prefrontal synapses across the three**
584 **genotypes.** In wild-type mice (WT), prefrontal neurons have both synaptic and
585 extrasynaptic NMDARs. In *Grin1*KD mice, there is relative preservation of synaptic
586 NMDARs and disproportionate compromise of extrasynaptic NMDARs. In *Grin1*rescue
587 mice, adult manipulation to boost *Grin1* expression is successful and sufficient to
588 restore extrasynaptic NMDARs needed for dendritic integration of repetitive mild stimuli.
589

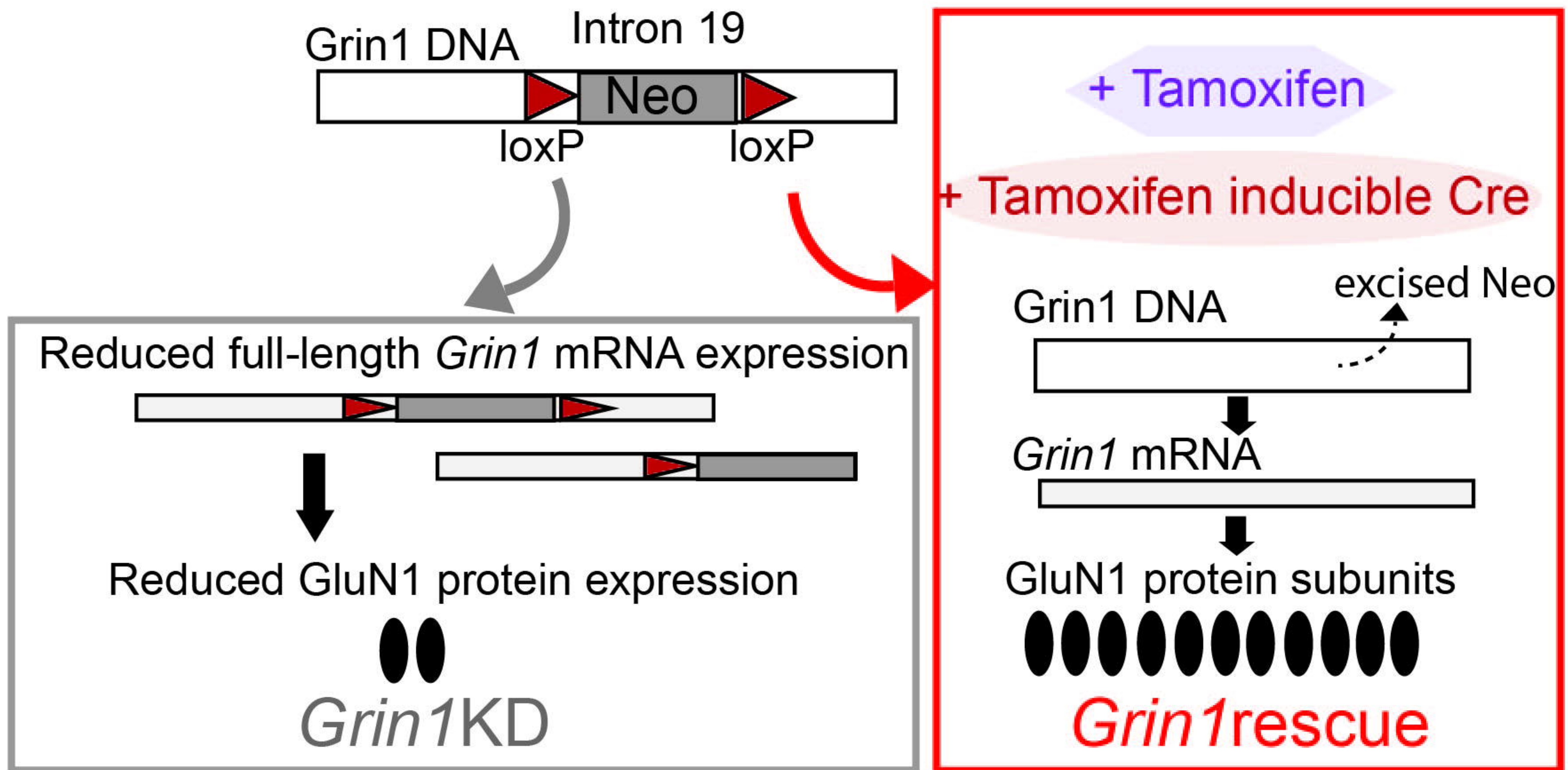
A**B****C****D****E****F****G****H**





Floxed *Grin1*KD X Cre-ERT2 mouse

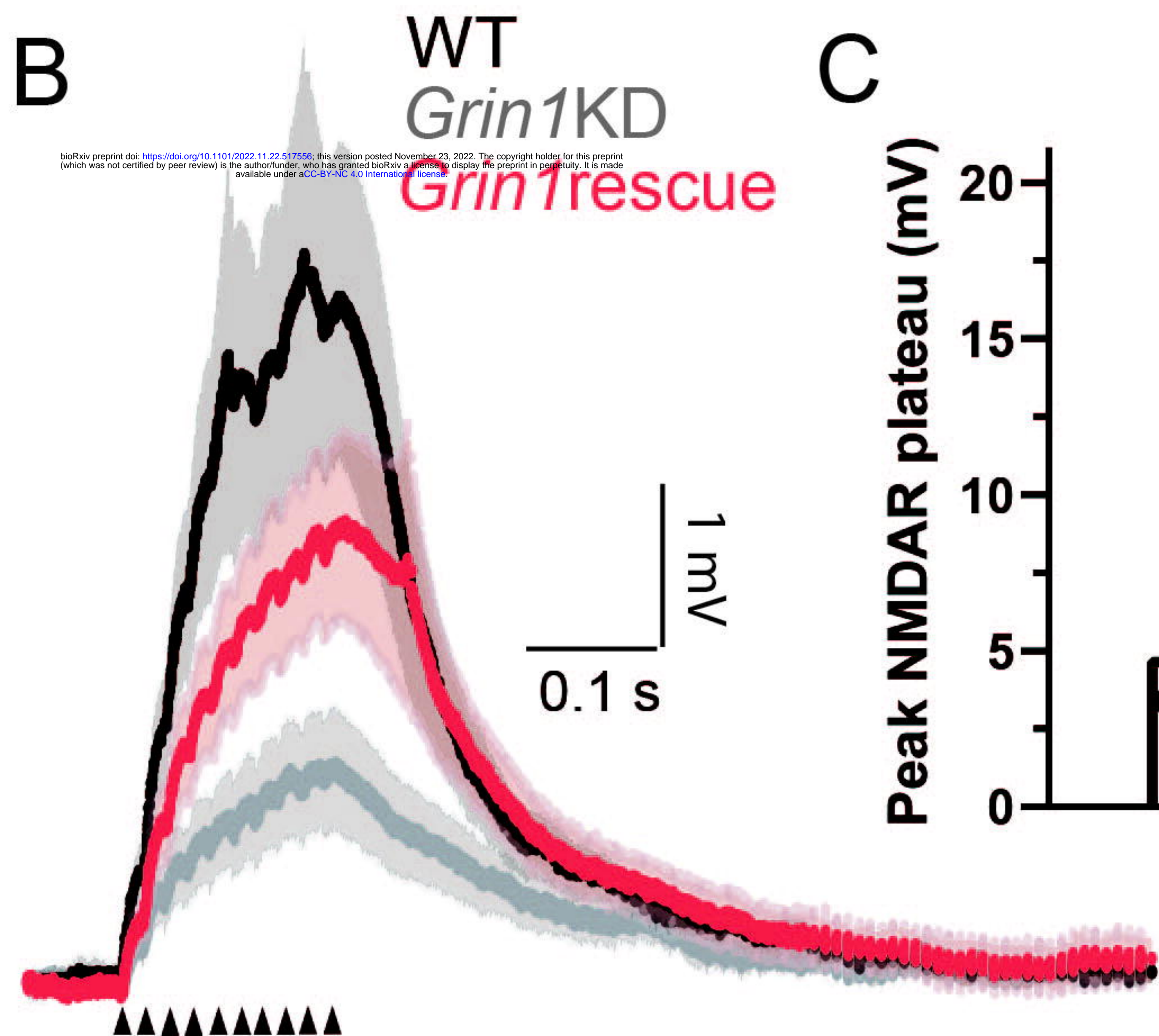
A



B

WT
*Grin1*KD
*Grin1*rescue

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