

1 **Active modulation of Hydrogen bonding by sericin enhances**
2 **cryopreservation outcomes**

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16 **Abstract:**

17 Cryopreservation of cells without any toxicity concerns is a critical step in ensuring
18 successful clinical translation of cell-based technologies. Mitigating the toxicity concerns
19 related to most of the commonly used cryoprotectants including dimethyl sulfoxide
20 (DMSO) is an active area of research in cryobiology. In recent years use of additives
21 including polymeric proteins such as sericin have been explored as an additive to
22 cryoprotectant formulations. In this study the thermophysical effect of addition of sericin
23 was investigated. The effect of presence of sericin on the H-bonding strength was
24 investigated using Raman microspectroscopy and other thermophysical effects were
25 quantified using differential scanning calorimetry (DSC) techniques. Finally, the
26 prospect of using sericin as an additive to cryoprotectant formulation was investigated
27 by monitoring cellular viability and growth following exposure to cryogenic temperatures
28 in hepatocellular carcinoma cells. Results indicate significant improvement in post-thaw
29 viability when sericin is used as an additive to DMSO based formulations. While use of
30 trehalose as an additive has beneficial effects by itself, combined usage of sericin and
31 trehalose as additives did result in an improved overall long-term growth potential of the
32 cells.

33 **Statement of Significance**

34 This study provides for powerful biophysical understanding of how sericin can be used
35 as an additive for cryoprotectant solutions, which allows storage of biologics at low
36 temperatures. It is desirable to replace current components of cryoprotectant
37 formulation (such as DMSO) due to innate toxicity and metabolic derangements to cells.
38 The ability of sericin to improve cryoprotective solutions was mechanistically
39 characterized by Raman microspectroscopy, which allows for molecular level
40 characterization of the nature of H-bonding in aqueous environments in presence of
41 solution components. Thermodynamic analysis of the cryoprotectant solutions
42 containing sericin was undertaken to quantify the relation between solution composition
43 and cryopreservation outcome. This analytical study provides a basis for designing
44 better cryoprotectants with lower thermophysical injury and higher cellular yields.

45

46 **Introduction**

47 Cell preservation technologies can play an extremely important role in
48 transitioning cell-based techniques from laboratory to bedside. Such translation of cell-
49 based technologies require development of highly optimized and efficient long-term
50 preservation strategy for cells. In general, long-term preservation of cells and cellular
51 materials is achieved through formation of a glassy matrix [1, 2] at low temperatures in
52 presence of cryoprotective agents (CPAs). This glassy matrix has been hypothesized to
53 reduce molecular mobility and prevent degradative intracellular reactions at low storage
54 temperatures [3]. Dimethyl sulfoxide (DMSO) is one of the most commonly used CPAs
55 in slow cooling rate cryopreservation techniques [4, 5]. However, use of DMSO has
56 been frequently and closely associated with cellular toxicity effects and poor post-thaw
57 performance [6-8].

58 While there are very few credible alternatives to DMSO, at high concentrations
59 (>10%) DMSO has been shown to be toxic to cells as it is known to take part in
60 formation of lipid membranes pores [9] and other irreversible membrane damage. This
61 characteristic has been well-studied in the context of drug delivery development
62 strategies [10]. Even at low concentrations, exposure to DMSO (<4% v/v) has recently
63 been linked to irreversible cellular damage, as it has been shown to initiate apoptosis in
64 retinal neuronal cells [6]. In another study, exposure to 1% v/v DMSO levels did not
65 produce any evidence of cell death, but there was significant mitochondrial damage due
66 to increased levels of reactive oxygen species (ROS) following 24-hour exposure [11].
67 This leads to mitochondrial swelling and significant membrane potential impairment [12].
68 A recent study indicates that exposing human tissue to 0.1% v/v levels of DMSO causes

69 drastic changes to human intercellular processes and the overall epigenetic landscape
70 by impacting DNA methylation and down regulating microRNAs [13]. All of these
71 studies suggest the need to revisit the optimal use of DMSO in CPA formulations.

72 Use of additives that can actively modulate the cryopreservation outcome in CPA
73 formulations is a commonly accepted strategy. Several disaccharides, including
74 trehalose and sucrose [14-16], glycerol [15], and proline [17, 18] have been used as
75 additives to DMSO-based CPA formulations. The effect of using additives to DMSO
76 based CPA formulations can vary and range from being biophysical to biochemical in
77 nature. For example, when trehalose is used as an additive, it can play a cryoprotective
78 role by reducing ice crystal size and thereby discourage the formation of harmful ice
79 crystal patterns during cryopreservation. Such an effect on crystal formation was found
80 to have a direct positive impact on cellular viability and post-thaw metabolism following
81 cryopreservation [19]. The study also revealed the delicate balance that is needed to
82 avoid the two principal cryogenic injury paradigms while formulating CPAs [4]. While on
83 one hand addition of an additive can reduce intracellular ice formation (IIF), an increase
84 in concentrations beyond a threshold can lead to increased osmotic stress and
85 decreased viability. Additives may also exert their cytoprotective effect by various
86 biochemical means. During slow-cooling rate ($<10^{\circ}\text{C}/\text{min}$) cryopreservation, cells are
87 generally exposed to hyperosmotic CPA solutions for several minutes before
88 extracellular crystallization occurs [4, 20, 21]. Several osmolytes, such as proline [22]
89 and certain anti-apoptotic agents [23, 24] have been shown to play a biochemical role in
90 avoiding osmotic injury during slow-cooling rate cryopreservation.

91 In this study, the effect of using the polymeric protein sericin as a non-penetrating
92 CPA was investigated. Sericin is a protein used by *bombyx mori* (silkworms) in the
93 production of silk. Sericin acts as an adhesive coating to the fibers and has anti-oxidant
94 properties [25]. Clinically, sericin shows promise as a protective molecule against
95 several types of cellular stresses. Multiple studies have reported sericin's ability to
96 mitigate oxidative stress in various tissue types and proposed use of sericin as a
97 replacement for animal origin serum in cell culture [26, 27]. It has been already been
98 used as a serum replacing agent in CPA formulations for several different types of
99 mammalian cells including human adipose tissue-derived stem cells [28], myeloma cell
100 lines, fibroblasts, keratinocytes, insect cell lines [29], rat insulinoma cell lines, mouse
101 hybridoma cell lines and mesenchymal stem cells [30].

102 Due to the polymeric nature of the protein, sericin can form extensive hydrogen
103 bonding (H-bonding) in the matrix [31] and thus can play an important role in creating
104 low-molecular mobility environment at low temperatures [32]. H-bonding can be used to
105 impact the nature of the glass formation by modulating the nature of H-bonds formed
106 [33] and the H-bonding strength plays a critical role in this regard. In this study an
107 investigation was undertaken to characterize the effect of sericin as an additive to
108 DMSO based CPA formulation. Special emphasis was given in gaining understanding of
109 the effect of addition of sericin in aqueous environment on H-bonding strength using
110 Raman microspectroscopy. Thermophysical properties of CPA formulations containing
111 different concentrations of sericin were characterized using differential scanning
112 calorimetry and these properties were likened to the cryopreservation outcome of
113 human hepatocellular carcinoma cells (HepG2) in terms of cellular survival and growth.

114 The studies performed here provide a framework for biophysical criteria required
115 towards development of low-toxicity CPA formulations that can be used in highly
116 optimized long-term preservation techniques under clinical settings.

117 **Materials and Methods**

118 *Raman microspectroscopic analysis of hydrogen bonding of cryoprotective solutions:*

119 The thermo-molecular effect of addition of sericin in the CPA formulation was
120 investigated by quantifying H-bonding characteristics and strengths at different
121 temperatures and concentrations using Raman microspectroscopy. In doing so, special
122 emphasis was given to the OH stretching region that can be used to understand the
123 effect of H-bonding in aqueous solutions. Raman spectral measurements were
124 performed using a customized confocal microscope Raman spectrometer (UHTS 300,
125 WITec Instruments Crop, Germany). A 532-nm solid-state laser system was used for
126 photonic excitation. Spectral signatures were collected using a 10X objective (Zeiss,
127 Thornwood, NY) and an EMCCD camera (Andor Technology, UK). A liquid nitrogen-
128 cooled low temperature stage (FDCS 196, Linkam Scientific Instruments, UK) was used
129 to control sample temperatures. The temperature-controlled stage was mounted on the
130 Raman microscope stage using custom-made stage adaptors.

131 For each experiment, 300 μ L of solution was added to a quartz crucible and
132 placed inside the freezing stage. Samples were initially cooled to 0°C then warmed in
133 5°C increments and allowed to stabilize at each temperature point until reaching 20°C; a
134 heating/cooling rate of 10°C/min was used. Spectra were gathered at each temperature
135 point using an integration time of 1 s, averaged over 60 accumulations. Following
136 collection, background spectra was subtracted, and cosmic ray interference were

137 removed. Spectral peaks were deconvoluted and analyzed using Origin Pro 2018
138 (OriginLab, Northampton, MA).

139 A customized chemometric deconvolution algorithm based on Fast Fourier
140 Transform (FFT) of Raman signal is used to decompose the OH stretching regions of
141 the CPA formulations [34, 35]. The deconvolution is computed using the formulation

$$f = \text{fft}^{-1} \left[\frac{\text{fft}(y)}{\text{fft}(s)} \right]$$

142 where y is the known response of the signal s . While several different peaks can be
143 identified in the OH stretching region (Fig. 1A) that are related to the physical state of
144 the water and H-bonding, two principals peaks related to symmetric ($\sim 3200 \text{ cm}^{-1}$) and
145 asymmetric ($\sim 3415 \text{ cm}^{-1}$) vibrations were considered here for the analysis related to H-
146 bonding. The higher-frequency asymmetric spectral component is known to be related
147 to the water molecules bound by incompletely formed H-bonding [36]. Whereas, the
148 lower-frequency symmetric component corresponds to the molecules with complete
149 tetrahedral H-bonded structure [37, 38].

150 The experimentally obtained spectral intensity of the symmetric and asymmetric
151 peaks in the OH stretching region were then used to estimate the enthalpy and entropy
152 of the formation of hydrogen bonds in aqueous CPA formulations containing sericin as
153 additives. Van't Hoff equation was used to relate enthalpy change and the equilibrium
154 constant of reaction for CPA solutions [39, 40]. A van't Hoff plot (Fig. 2A) was
155 constructed as the linear dependence of $\ln(k)$ against the inverse of the temperature (T).
156 The enthalpy (ΔH) of bonding is was expressed as a product of the slope of the Van't
157 Hoff plot and universal gas constant. The equilibrium constant (k) in this case is also

158 equal to the ratio of the intensities of these individual peaks resolved in Raman
159 spectrum at different temperatures (T). [41]

$$\ln(k) = \frac{-\Delta H^\circ}{R} \cdot \frac{1}{T} + const$$

160 Here R is the universal gas constant, and ΔH° is the change in enthalpy during the
161 formation of one mole of hydrogen bonded molecules from nonbonded ones under
162 standard conditions of 298 K and 1 atm. The change in enthalpy (Fig. 2B) and entropy
163 (Fig. 2C) was used to quantify the change in characteristics of H-bonding strength in
164 aqueous solutions having varying concentrations of sericin.

165 In addition to the H-bonding characterization using intensities of the symmetric
166 and asymmetric peaks in the OH stretching region of the Raman spectra, change of
167 peak position (peak shift) was also used to analyze energetics related to H-bonding.
168 The trend in peak-shift characteristics were quantified by comparing the change in
169 peak-center per unit temperature for both symmetric (n_1) and asymmetric peaks (n_2 , as
170 seen in Fig. 3A and B). This analysis indicates the variation in H-bonding energetics at
171 different temperatures in presence of sericin.

172

173 *Differential scanning calorimetry (DSC) for determining thermodynamic properties:*

174 The effect of addition of an additive to the CPA formulation was analyzed using
175 DSC. Properties including freezing point, melting point, and heat of fusion was
176 quantified using DSC. DSC measurements were performed using a precise
177 temperature-controlled microscopy stage and a temperature controller (FDSC 600,
178 Linkam Scientific Instruments, Tadworth, UK). Calibration of the system was performed
179 using indium as described in ASTM E968 ([41] - Data not shown). CPA formulations

180 containing trehalose and sericin as additives were analyzed. Thermodynamic
181 characteristics of DMSO and sericin solutions were compared to each other (Fig. 5).
182 The thermodynamic characteristics for 5% and 10% DMSO (v/v) in presence of
183 additives were also compared (Fig. 6). Freezing/melting data was procured at 1°C/min
184 until stabilized after freezing. Samples were heated at 1°C/min until stable after melting.
185 The freezing point and melting point were considered as the temperatures at which
186 maximum heat flow occurred during the phase change process. Enthalpy of freezing
187 was determined by measuring the area under the curve of the thermogram. Energy data
188 was normalized to the mass of the solution added to the DSC chamber. All thermogram
189 data were analyzed using Origin Pro 2018.

190

191 *Cell culture, Cryopreservation and growth:*

192 Human hepatocellular carcinoma (HepG2) cells were obtained from the
193 American Type Culture Collection (Manassas, VA), and grown in 75 cm² culture flasks
194 (Corning Inc, Corning, NY). Opti-MEM (Gibco) culture media was supplemented with
195 5% fetal bovine serum (FBS) (Gibco) and penicillin-streptomycin to yield final 100
196 units/mL penicillin G and 100 µg/mL streptomycin sulfate (Hyclone-Thermo Scientific,
197 Logan, UT). Cells were incubated in an atmosphere of 5% CO₂ and 95% air. The cells
198 were collected using trypsinization followed by centrifugation and resuspended in 1 mL
199 of cryoprotective solution in individual microtubes. A passive freezing container capable
200 of controlling the cooling rate at 1°C/min (Cool Cell LX, 137 Biocision, Menlo Park, CA)
201 was used to store samples in cryogenic conditions. After exposing the cells to cryogenic
202 conditions for pre-determined duration, cells were thawed quickly in a using a 37°C

203 water bath and re-suspended in fully complemented cell culture medium. Cell numbers
204 were quantified using hemacytometer (Hausser Scientific, Horsham, PA) counts and
205 membrane integrity was assessed using trypan blue exclusion. Following the initial
206 viability count, cells were put into 25 cm² flasks for the grow out. Each thawing condition
207 had 3 separate flasks to be counted on days 3, 5, and 7. Cells were counted using the
208 hemacytometer-trypan blue exclusion.

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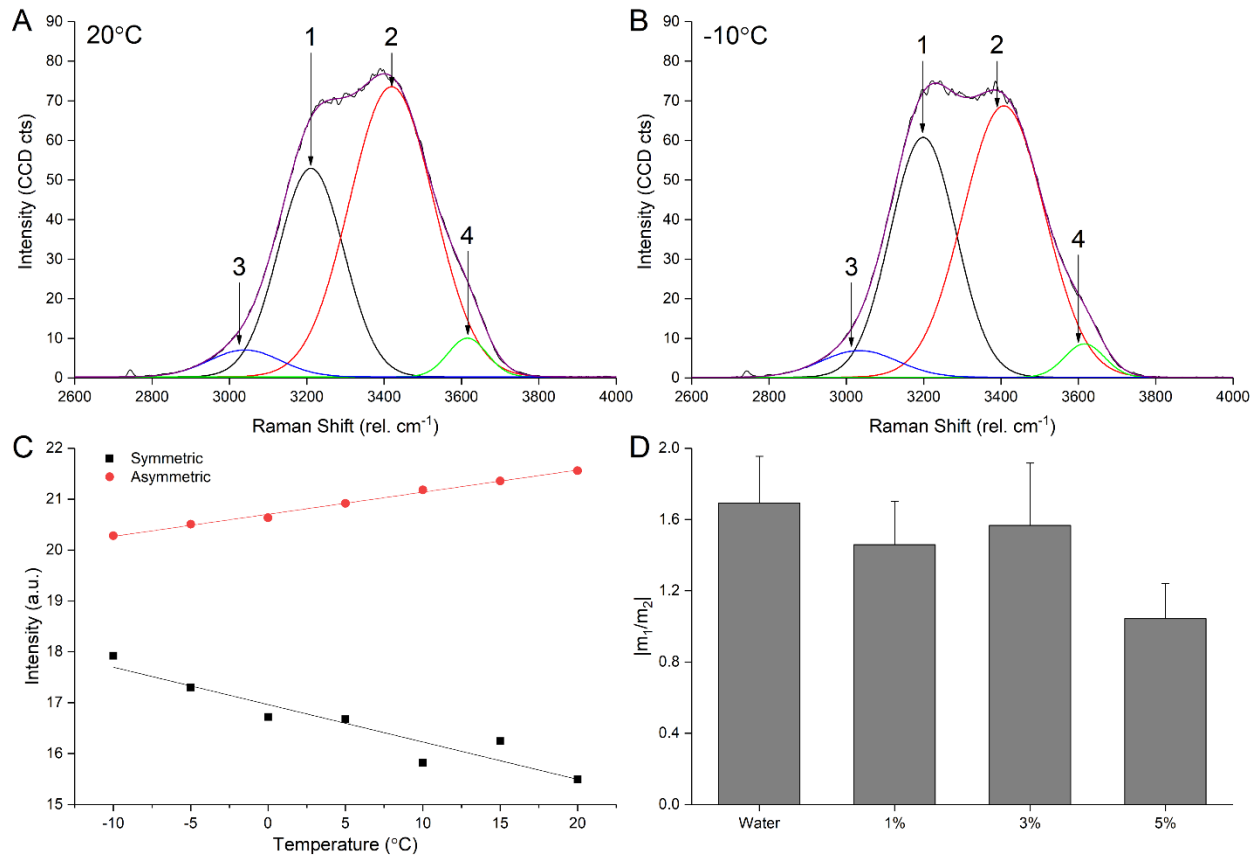
210 **Results**

211 *Raman microspectroscopy:*

212 The effect of the presence of sericin on the H-bonding strength was investigated
213 using Raman microspectroscopy. Fig. 1A and B shows the representative Raman
214 spectrum of pure water at 20°C and -10°C. An FFT based chemometric algorithm was
215 used to deconvolute the OH stretching region (~2800-3800 rel. cm⁻¹). Among the
216 identified peaks, symmetric and asymmetric OH stretching peaks (peaks 1 and 2
217 respectively) were used to quantify the H-bonding characteristics in the solution state
218 [38, 39]. The intensity variations in the deconvoluted peaks with different temperatures
219 indicate relative changes in the nature of H-bonding with water and its neighboring
220 molecules [37]]. Fig. 1C plots the maximum intensities of the symmetric and asymmetric
221 peaks from -10°C to 20°C. With the increase in temperature, symmetric bonding
222 intensity decreases linearly, while increasing the asymmetric bonding intensity. As
223 temperature decreases, the symmetric peak intensities increase due to increase in
224 number of central H₂O molecules completely bound by its nearest neighbors. An

225 opposite effect is observed for the asymmetric peak which is associated with the
226 incompletely H-bonded clusters of water molecules in the solution.

227



228

229 Figure 1: Raman spectroscopy of binary water-sericin solutions A) OH-stretching
230 band ($\sim 2900-3700 \text{ cm}^{-1}$) of pure water at -10°C . Spectrum is deconvoluted into four
231 primary bands and the reconstructed spectrum is superimposed on the original to show
232 agreement of fit. Arrows 1 and 2 indicate symmetric and asymmetric peaks respectively.
233 B) OH-stretching band of pure water at 20°C . C) Symmetric and asymmetric peak
234 intensities are plotted at the corresponding temperatures at which Raman scans were
235 acquired for pure water. Linear fits are calculated for both sets of data with $R^2 \geq 0.9$

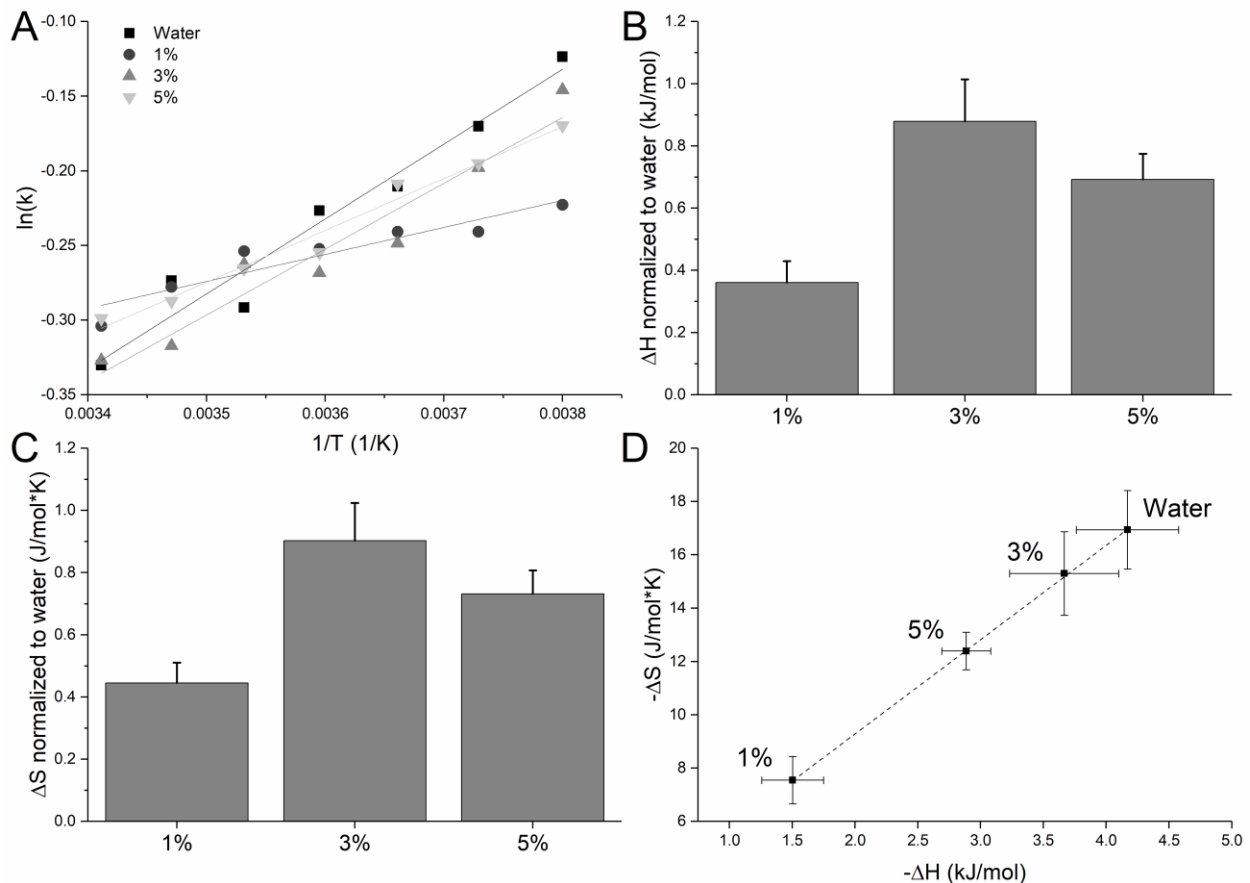
236 (sym) and 0.995 (asym). D) The ratio of slopes, m_1 to m_2 , was calculated for different
237 sericin concentrations in water. Error bars represent SEM of slope fit.

238

239 Presence of an additive to influence the H-bonding characteristics at low
240 temperatures can thus be quantified by comparing the pattern of increase (or decrease)
241 in peak intensities in OH stretching regions as shown in Fig. 1C. At lower temperature
242 this variation in overall strength of H-bonding in water clusters can be represented by
243 the slopes of the fitted trends (m_1 and m_2). Fig. 1D plots the ratio of m_1 and m_2 for
244 different concentrations of sericin in water (1-5% w/v). Sericin in higher concentrations
245 is shown to decrease the contribution of incomplete water clusters and increase the
246 overall number of strongly H-bonded water clusters at lower temperatures (Fig 1D). At
247 higher concentration of 5% sericin, there appears to be a significant increase in rate of
248 change in asymmetric peak intensity with temperature. In addition to the change in
249 number of H-bonded water clusters, the functional OH groups on sericin molecules may
250 be a contributing factor to the intensity variation in asymmetric peak intensity.

251 In order to understand the thermodynamic effect of presence of sericin molecules
252 in water, a Van't Hoff analysis was performed. Change in the enthalpy of water-sericin
253 binary solutions relative to the enthalpy values of water was created based on Van't
254 Hoff plots (Fig. 2B). The change in enthalpy (Fig. 2B) and entropy (Fig. 2C) was used to
255 quantify the change in the number of H-bonded water clusters in aqueous solutions
256 having varying concentrations of sericin. Shift in the pattern of enthalpy change with
257 temperature in presence of sericin can be attributed to alteration of H-bonded water
258 clusters. With the addition of 1% sericin, a 64% decrease in enthalpy related to H-

259 bonding. However, such dramatic depression is not observed at higher concentrations
260 leading to significant decrease in ΔH values in the solutions containing higher
261 concentrations of sericin. The entropy of reaction (ΔS) was formulated as a product of
262 the y-intercept of the Van't Hoff plot and universal gas constant. When compared with
263 the entropy of reaction in comparison to water, a similar trend as observed with the
264 enthalpy values is observed (Fig. 2C). Fig. 2D indicates the isokinetic relationship
265 obtained from the ratio of the entropy and enthalpy of the sericin solutions at different
266 temperatures.



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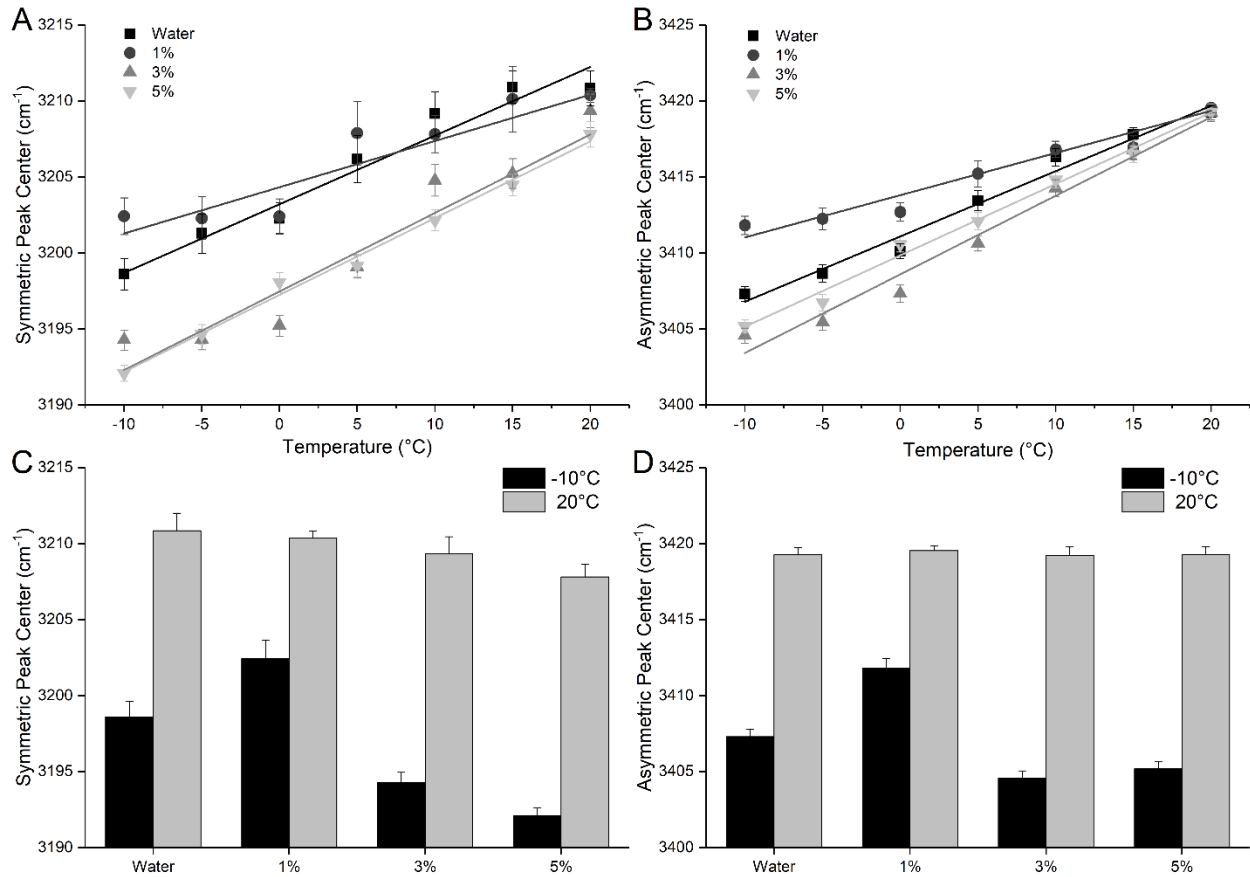
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269 Figure 2: Raman spectroscopic thermodynamic analysis: A) Van't Hoff plots for water-
270 sericin solutions, k represents ratio between symmetric and asymmetric intensity. B)

271 Change in the enthalpy of water-sericin binary solutions based on Van't Hoff plots,
272 normalized to pure water. * $p < 0.05$. C) Change in the entropy of water-sericin binary
273 solutions normalized to pure water. * $p < 0.05$. D) Linear fit of change in enthalpy against
274 change in entropy for water-sericin binary solutions. Error bars show \pm SEM, $n=3$

275

276 In addition to the spectral peak intensities in the OH stretching region, the
277 spectral shift of the symmetric and asymmetric peaks is also related to the energetics
278 related with the in H-bonding characteristics [34, 42]. Fig. 3A and 3B indicate the peak
279 shift patterns related to symmetric and asymmetric peaks respectively at different
280 temperatures between 20°C to -10°C. Figures 3C and 3D show the difference in peak-
281 shift characteristics between the temperatures 20°C and -10°C for both symmetric and
282 asymmetric peaks. It is interesting to note that the solution containing 1% sericin
283 presents a significantly different trend indicating significantly reduced peak-shift
284 characteristics for both symmetric and asymmetric peaks. At higher temperatures the
285 symmetric peaks show a minor trend of peak shift towards lower wave numbers with
286 increase in sericin concentration (Fig. 3C). However, no such trend is observed for the
287 asymmetric peak shift (Fig. 3D). At lower temperatures, addition of 1% sericin causes
288 the symmetric peak to move towards higher wavenumbers, while with the increase in
289 sericin concentration the trend is reversed. Similar trend is observed for the asymmetric
290 peak at lower temperature indicating unique trend in H-bonding strength at 1% sericin
291 concentration.



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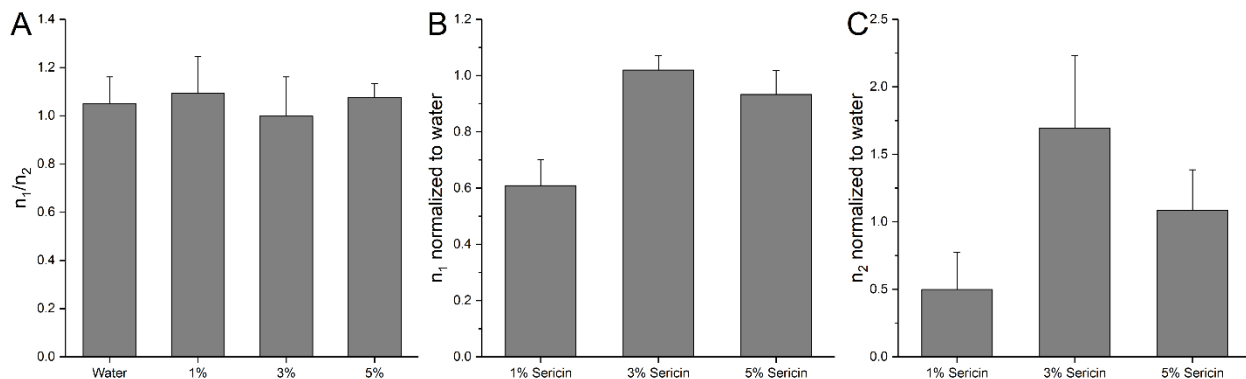
Figure 3: Peak center shift of OH stretching bands A) Symmetric peak center is plotted for water-sericin solutions at temperatures ranging from -10°C to 20°C. A noticeable difference in slope can be observed for the 1% sericin solution. B) Asymmetric peak center plotted for the same solutions and temperatures as (A). As temperature increases, peak center converges asymmetric peak center converges at 3417 cm⁻¹. This indicates equal asymmetric hydrogen bonding at higher temperature. C) Symmetric peak center values for various water-sericin solutions at -10°C and 20°C. At low temperature, there are significant differences between the peak center values of the solutions. There is a slight trend towards lower frequency peak centers as sericin increases at higher temperature. D) Asymmetric peak center values for water-sericin solutions. At low temperature, peak center shift follows a similar trend as the symmetric.

304 At high temperature, there is no change between the peak center value. This shows
305 sericin's ability to modulate hydrogen bonding (either stronger or weaker) as
306 temperature is decreased toward freezing. Error bars show \pm SEM, $n=3$

307

308 When the peak-shift characteristics for both symmetric and asymmetric peaks
309 are compared against each-other (n_1/n_2), there are no appreciable difference between
310 any of the trends compared for any of the solutions including pure water (Fig. 4A).
311 When the slopes of the trend in peak shifts as observed in Fig. 3A and 3B were
312 normalized against the trend in peak shift exhibited by pure water, the peak shift
313 characteristics of 1% sericin solution appear to be significantly different for both
314 symmetric and asymmetric peaks (Fig. 4B and 4C).

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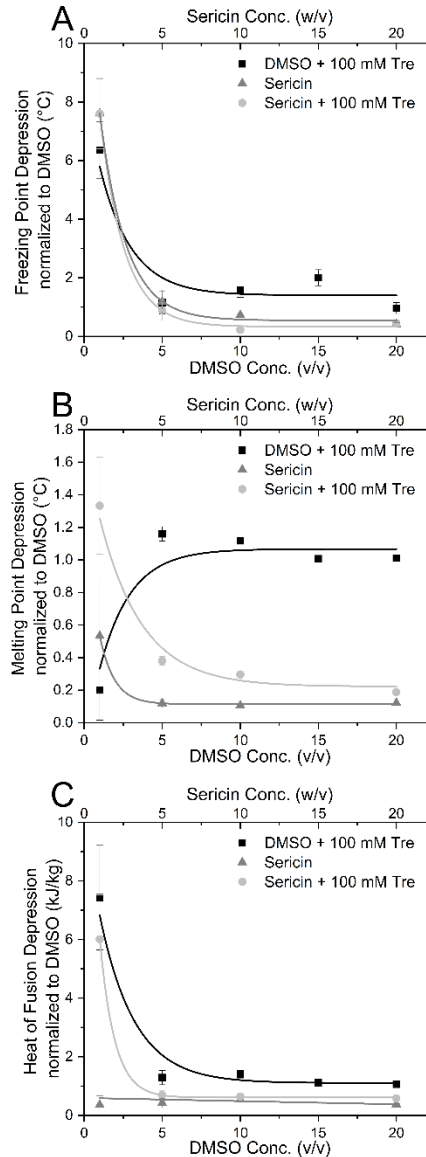
317 Figure 4: Raman OH stretching band shift hydrogen bonding analysis A) The
318 ratio of symmetric and asymmetric slopes for water-sericin solutions. There is no
319 statistically significant difference between the four solutions, indicating equal shift with
320 respect to temperature for all solutions. B) The ratio of sericin solution symmetric slope
321 over pure water slope. The normalized slope is significantly lower for the 1% solution
322 indicating less change in hydrogen bonding as temperature is decreased. * $p<0.05$. C)

323 Similar slope comparison as in (B), here for asymmetric slope. Significantly lower
324 normalized slope for 1% sericin solution indicates lower H-bonding. Error bars show
325 \pm SEM, n=3

326

327 *Differential Scanning Calorimetry Studies*

328 A comparative analysis was undertaken to evaluate thermodynamic responses of
329 CPA formulations containing DMSO, trehalose and sericin using standard DSC
330 techniques. Fig. 5A indicates trends in freezing point depression in CPA formulations
331 containing 100 mM trehalose in sericin and DMSO. The trends were compared to the
332 freezing point depression trend observed in CPA solutions containing DMSO only.
333 These thermodynamic responses were collected at varying concentrations of DMSO
334 and sericin. Addition of 100 mM trehalose results in significant decrease in freezing
335 point depression characteristics when compared to DMSO-water binary solutions.
336 Sericin-water binary solutions indicate the same initial trend, however exhibit much
337 lower levels of freezing point depression characteristics when directly compared with
338 DMSO-water binary system. Addition of 100 mM trehalose to sericin based solutions
339 leads to even further reduction in trend indicating a collaborative effect of sericin and
340 trehalose.



341

342 Figure 5: DSC analysis of individual CPA constituents A) Thermodynamic
343 parameters were acquired for solutions with varied CPA compositions. Solutions were
344 created with concentrations of 0-20% of DMSO (v/v) or sericin (w/v). These solutions
345 were also analyzed with an addition of 100 mM trehalose. All parameters were
346 normalized to DMSO solutions at equal concentrations. Freezing point depression had
347 large immediate increases for all conditions, DMSO had more significant effects at the
348 highest concentrations. B) All solutions had increasing melting point depression with

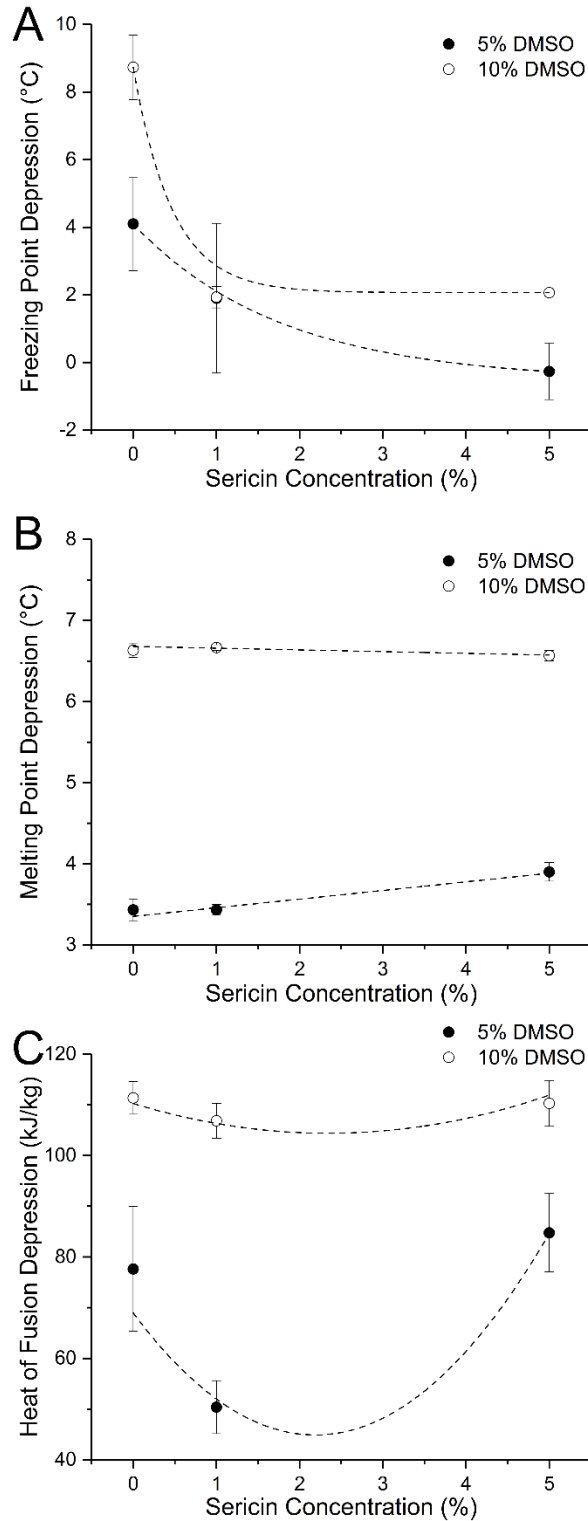
349 increased CPA concentration. C) Heat of fusion depression had similar trends as
350 melting point depression, but with DMSO and sericin solutions having closer m values.
351 Error bars show \pm SEM, $n=3$.

352

353 Fig. 5B indicates the trends in melting point depression in CPA formulations.
354 Upon comparing the trends in melting point depression with DMSO-water binary
355 solutions, one can observe that at 1% concentration the addition of 100 mM trehalose
356 significantly decreases the melting point depression. Solutions with a concentration of
357 5% DMSO and above containing 100 mM trehalose as additive show similar melting
358 point depression trend to DMSO-water binary solutions, however trehalose has little
359 effect when DMSO concentration is above 15%. Both sericin based solutions have a
360 minimal effect in melting point depression compared to DMSO solutions. Highest
361 amount of melting point depression is achieved in the CPA formulation containing 1%
362 sericin and 100 mM trehalose.

363 When the heat of fusion characteristics of the CPA formulations were compared
364 to DMSO-water binary solution (Fig. 5C), addition of 100mM trehalose has a large
365 impact on heat of fusion with 1% DMSO solution. However, for CPA formulations
366 containing higher concentrations of DMSO, addition of same concentration of trehalose
367 does not have such appreciable effect. Similar trend is observed in CPA formulation
368 containing 1% sericin and 100 mM trehalose. CPA formulations containing sericin-water
369 binary solutions have similar heat of fusion characteristics as DMSO-water based CPA
370 formulations.

371 As a collaborative effect of trehalose and sericin was observed in DSC
372 thermograms described above, a DSC study was undertaken with CPA formulations
373 containing DMSO (5% and 10%) with varying amounts of sericin and 100 mM trehalose.
374 When sericin concentration is increased from 1 – 5%, a significant increase in freezing
375 point can be observed in CPA formulations containing both 5% and 10% DMSO (Fig.
376 6A). Progressive addition of sericin result in marginal but linear increase in melting
377 point for CPA formulations containing 10% DMSO, whereas in formulations containing
378 5% DMSO, an opposite trend is observed (Fig. 6B). Heat of fusion values in 5% DMSO
379 based CPA formulation show a significant reduction initially with increase in sericin
380 concentration. However, the trend is reversed on further addition of sericin. A similar
381 trend with lower heat of fusion values is observed in CPA formulations containing 10%
382 DMSO (Fig. 6C).



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Figure 6: DSC analysis of CPA solutions A) CPA solutions are made with pure water and contain 100 mM trehalose, either 5% or 10% DMSO, and changing

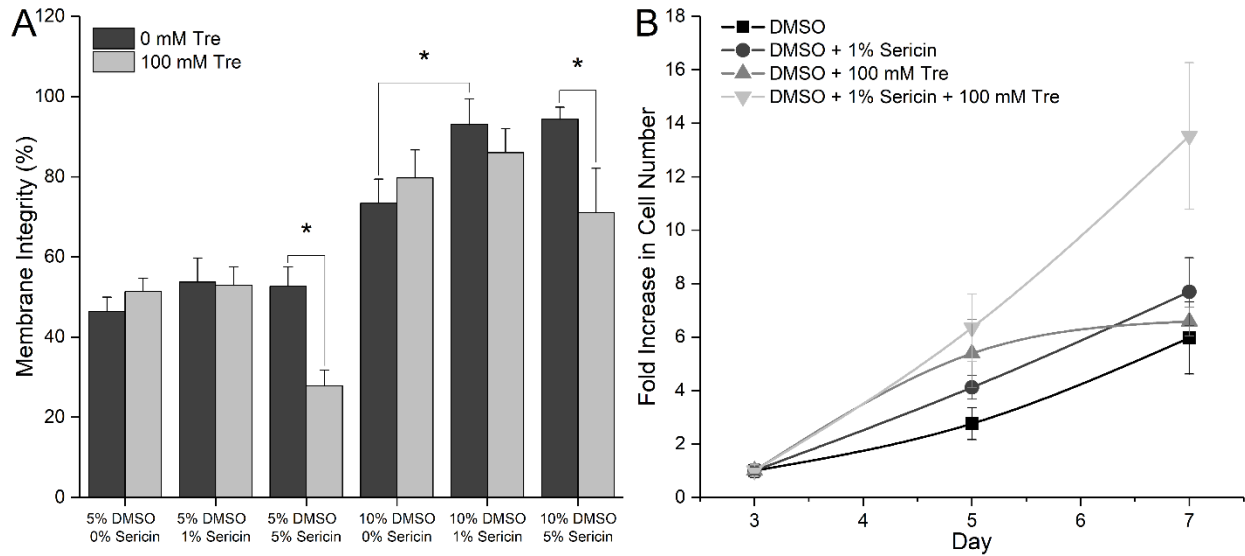
386 concentrations of sericin (0-5% w/v) Freezing point depression is plotted using an
387 exponential decay function, which decreases with increasing sericin concentration (w/v).
388 B) Change in sericin concentration has small effect on the change in melting point. C) A
389 localized drop of heat of fusion depression at 1% sericin is highly pronounced with 5%
390 DMSO. Error bars show \pm SEM, n=3

391

392

393 *Membrane Integrity and Growth Patterns of Hepatocarcinoma Cells Following*
394 *Cryopreservation*

395 Fig. 7A indicates the post-thaw membrane integrity of the HepG2 cells cryo-
396 processed using different CPA formulations. Membrane integrity for 5% and 10%
397 DMSO-only cells were 46% and 73%, respectively. The addition of trehalose to the CPA
398 formulation containing 10% DMSO resulted in increase in membrane integrity. Same
399 trend is observed in CPA formulation contain 5% DMSO. However, addition of 1%
400 sericin to CPA formulation containing 10% DMSO solutions without trehalose resulted in
401 an increase in a 20% increase membrane integrity. No additional gain in membrane
402 integrity is achieved by increasing the concentration of sericin. For CPA formulation
403 containing 5% DMSO, addition of 1% sericin results in a similar increase in membrane
404 integrity. However, addition of 100 mM trehalose to CPA formulations containing 1%
405 and 5% sericin in 10% DMSO resulted in a decrease of membrane integrity. The same
406 trend is observed in CPA formulations containing 5% DMSO, where maximum loss of
407 viability (25%) is observed in solutions containing both 5% sericin and 100 mM
408 trehalose.



409

410 Figure 7: Health outcomes of mammalian cells for various CPAs A) Immediate

411 membrane integrity for HepG2 cells after freezing for various CPA solutions with and

412 without trehalose. Solutions containing 10% DMSO overall showed higher membrane

413 integrity. B) After thawing, cells grown in parallel were counted for their respective

414 conditions, all having a DMSO concentration of 10% (v/v). Data is displayed as fold

415 increase, normalized to day 3 counts. The solution containing 10% DMSO, 1% sericin,

416 and 100 mM trehalose had the best outcomes. Error bars show \pm SEM, n=3.

417

418 When cells cryo-processed in CPA formulations containing DMSO and sericin

419 were returned to culture conditions (Fig. 7B), the cells that survived freezing show no

420 negative effects in cell growth (Fig. 7B). The 10% DMSO, 1% sericin, 100 mM trehalose

421 CPA solutions showed the strongest post-thaw growth.

422

423 **Discussion**

424 Interactions with water molecules have been shown to play a crucial role in
425 regulating the function of biomolecules that are important to maintain cellular function
426 [43]. Characterization of molecular level interactions is critical for unraveling the
427 complexities of biological outcomes related to cryopreservation. Such characterization
428 of CPA formulations in aqueous environment may hold the key to developing low
429 toxicity cryopreservation solutions that can advance the state of the art in
430 cryopreservation [7, 44].

431 CPA formulations containing 5–10% DMSO are standard in cryopreservation due
432 to its ability to recover viable cells following freezing [4, 5, 45]. However, the major
433 drawback of using DMSO in a CPA formulation is related to strong cytotoxic effects at
434 physiological temperatures [7, 15, 46]. Recent studies indicate significant cytotoxic
435 effect even at lower concentrations [6]. Efforts to mitigate cytotoxic effects of DMSO
436 have been a major driver for using additives such as trehalose, sucrose and proline in
437 CPA formulations [14, 18, 19, 47]. In this regard, water soluble long-chain polymers
438 have been explored as CPA additives. Several long-chain polymers have already been
439 explored as CPA additives due to their ability to reduce intracellular water content by
440 increasing extracellular osmolality [48] which reduces chances of cellular injury due to
441 IIF at low temperatures. Various serums, including fetal bovine serum (FBS), have been
442 used as a source of long-chain proteins in CPA formulations [49]. However, the
443 undefined nature of the majority of serums, potential presence of endotoxins, viral
444 toxins, and other xenobiotic components make addition of serum an inherently risky and
445 unreliable [50].

446 Sericin has been primarily explored as a serum replacement agent in CPA
447 formulation. Sasaki et al. successfully used sericin as a serum replacing agent to
448 cryopreserve human dermal fibroblasts, human epidermal keratinocytes, the rat
449 phaeochromocytoma cell lines [29]. Human adipose tissue-derived stem cells
450 cryopreserved in CPAs containing 1% sericin along with maltose and 10% DMSO were
451 shown to have a superior post-thaw viability compared to those cryopreserved in similar
452 CPAs that replaced sericin with serum [28]. However, no significant differences in the
453 viability outcome of pancreatic islets was observed between CPA formulations
454 containing 1% sericin and those containing 10% serum [51]. Bovine embryos
455 cryopreserved in CPA supplemented with various concentrations (0.1%, 0.5%, and
456 1.0%) of sericin exhibited similar trends in survival and development to those of
457 embryos frozen in CPA supplemented with 0.4% bovine serum albumin and 20% fetal
458 bovine serum.

459 While most of these studies evaluated use of sericin to act as a serum
460 replacement agent, the current study focuses on characterization of the possible
461 underlying physico-chemical and thermodynamic effect of presence of sericin in CPA
462 formulations. These effects were linked to the biological outcome and the knowledge
463 gained here can be extended to formulate CPA formulations with superior
464 understanding of the relationship between physico-chemical and thermodynamic
465 parameters with post-thaw cellular viability. This can lead to the development of CPA
466 formulations with reduced or no DMSO that has minimal potential to inflict damage in
467 post-thaw conditions. The effect of addition of sericin in CPA formulation was evaluated
468 using Raman microspectroscopy and differential scanning calorimetry studies.

469

470 *H-bonding Characteristics:*

471 While the role of H-bonding in modulating cryopreservation outcome is well
472 accepted [34, 52, 53], there have been very few studies that directly link the H-bonding
473 characteristics with the contents of CPA formulations. While some molecular dynamic
474 simulation studies have looked at the effect of presence of CPA components such as
475 DMSO, ethylene glycol and glycerol on H-bonding [53], experimental verification of the
476 ability of the CPA components to influence H-bonding with water molecules is lacking.
477 In the present study, a combined Raman microspectroscopy and DSC based analysis
478 was undertaken to understand the ability of a sericin to influence H-bonding
479 characteristics.

480 A number of techniques, including Raman [54], NMR [55], X-ray [56], neutron
481 diffraction, and femtosecond spectroscopy have been used to study effect of water
482 molecules to understand associated physico-chemical effect. The Raman
483 microspectroscopy technique used in this study is an excellent tool to characterize and
484 quantify the effect of H-bonding at molecular level in an aqueous environment at low
485 temperatures [19, 57]. The technique was used to characterize and quantify the nature
486 of the H-bonding network by following changes in constituent peak intensities in the OH
487 stretching regions in the Raman spectra in presence of sericin at different temperatures.
488 At lower temperatures the number of symmetrically arranged water clusters having
489 lower energy forms increase in pure water causing a characteristic increase in intensity
490 of the symmetric OH stretching peak. The opposite trend is observed for asymmetric
491 OH stretching peak representing the incomplete water clusters. This observation is

492 consistent with the cluster flickering phenomena described by Frank et al. and can be
493 quantified by comparing the rate of changes in the increase of decrease of intensities of
494 symmetric and asymmetric peaks [57, 58]. It was found that at lower temperatures,
495 presence of sericin influences the ratio described here and at higher sericin
496 concentrations, it decreases significantly due to decrease of incomplete water clusters
497 and increase in overall number of strongly H-bonded water clusters. This causes a
498 fundamental change in overall strength of H-bonding in water clusters in presence of
499 sericin. Presence of DMSO in water-DMSO binary solutions is known to reduce the
500 number of incomplete water clusters at lower temperature in similar fashion [59, 60].
501 Considering the relationship between the number of symmetrically bonded water
502 clusters and ice crystal formation, this indicates an ability of sericin to modulate ice
503 crystal formation. This is highly significant given the fact that the number and size of ice
504 crystal formation have been directly linked to the post-thaw viability outcome in several
505 studies [19] and indicates the possible role played by sericin as an additive.

506 The effect of presence of sericin on formation of H-bonding in water clusters
507 were extended to quantify the thermodynamic relationships. Van't Hoff analysis was
508 used to quantify enthalpy of H-bond formation using the spectral data (Fig. 2B). The
509 results indicate that the sericin can influence both enthalpy and entropy of solution by
510 modulating H-bonding interactions with water. The strongest effects were observed at a
511 sericin concentration of 1% w/v where a difference of over 60% was noticed compared
512 to pure water. The significant reduction in enthalpy possibly indicates formation of
513 extensive H-bonding network in presence of 1% sericin. The increased order of the
514 water clusters in comparison to pure water due to increase in H-bonding will result in a

515 decrease of both entropy and enthalpy as seen in Fig. 2B and C. However, with
516 increase in sericin concentration, the trend is lost and a possibly indicates increase in
517 incompletely formed water clusters and this conclusion is supported by spectroscopic
518 observations indicated in Fig. 1D. change in as indicated by the significant decrease in
519 both entropy and enthalpy. This is an important aspect that can be used to understand
520 the critical parameters related to the extracellular environment at lower temperature in
521 presence of sericin. While DMSO has a similar effect on enthalpy and H-bonding
522 characteristics, studies indicate an absence of such trends with increasing
523 concentrations [61, 62]. The overall linear relationship between enthalpy and entropy in
524 aqueous solutions of sericin (Fig. 2D) in spite of significant depression at 1% w/v
525 concentration implies a strong trend of entropy-enthalpy compensation. This
526 compensatory trend of entropy and enthalpy is a classic indicator of involvement of H-
527 bonding dynamics [63]. This also indicates that the change in H-bonding characteristics
528 due to presence of sericin may also influence the degree of steric hindrance of the
529 molecules in the aqueous environment [64]. At a concentration of 1% sericin, a
530 coordinated decrease in entropy of activation can be achieved with the increased steric
531 hindrance. However, it is important to note that the degree of steric hindrance caused
532 by the nature of the H-bonding network in presence of 1% sericin follow the overall
533 reaction framework defined by the isokinetic line. Furthermore, in such an energetic
534 framework, the reaction of forming a symmetric bond from asymmetric bond is
535 significantly more favorable for 1% sericin solution in comparison with solutions
536 containing higher amount of sericin.

537 Along with the intensities, a shift in peak positions in OH stretching region
538 indicates the change in energy characteristics of associated water clusters [34]. A shift
539 towards lower wavenumbers indicate lower energy transition while a shift towards
540 higher wavenumber is generally associated with transition to higher energy state. The
541 dynamics related to change in wavenumber of peak positions in OH stretching region in
542 liquid water is often connected to the reorganization of H-bonding in local solvent
543 network [65]. However, being a collective phenomenon, it is difficult to quantify the
544 extent of reorganization in the local H-bonding network. Recent studies indicate that a
545 linear relationship between the change in wavenumbers of the peaks in OH stretching
546 region and the charge and energy transfer through donor-acceptor water pairs in water-
547 clusters. This linearity of a hydrogen bond can be related to the bond stretch frequency
548 exhibited by its components. Increased hydrogen bonding strength shifts the OH
549 stretching band toward lower wavenumbers [34]. This shift is noticeably observed
550 during the formation of ice, when the spectra shifts from a broad OH peak to a sharp
551 OH band at a much lower wavenumber [66]. Both the symmetric and asymmetric peaks
552 were found to exhibit a shift towards low wavenumber as temperature decreases. The
553 ratio of the amount of shift with change in temperature remains approximately
554 proportional for all solutions tested (Fig. 4A). Interestingly, observed differences
555 between the solutions only become significant at lower temperatures (Fig. 3C, 3D). This
556 possibly indicates that sericin actively reduces the energy associated with the H-bonded
557 water clusters at lower temperatures. While further studies are required to fully
558 understand the effect of such behavior, it can be said that the rate of energy shift
559 associated with H-bonded structure is more prominent among the water clusters

560 incompletely bound by H-bonding (Fig. 3B). For solutions containing 1% sericin, the
561 symmetric and asymmetric peak shifts to the right are significant compared to water,
562 indicating an overall weakening in bonding strength at low temperatures. These results
563 agree with the general trend observed in Van't Hoff analysis discussed above.

564 *Thermodynamic analysis of freezing characteristics*

565 Spectroscopic studies were useful in developing an understanding of the
566 fundamental effect of sericin on H-bonding and the thermodynamic parameters derived
567 from DSC studies provide valuable insights to relate the concentrations and
568 compositions of CPA to the post-thaw viability. The slow cooling cryopreservation
569 technique employed here, extracellular ice nucleation in supercooled condition is guided
570 by the thermodynamic properties of the individual components of CPA formulation. A
571 decrease in extracellular ice nucleation has been traditionally linked to the probability of
572 incidence of generally lethal IIF in multiple studies [4, 48, 67]. Decreasing the nucleation
573 temperature in extracellular environment is accompanied by an increase in the amount
574 of intracellular supercooling; thus, separating the effects of temperature and
575 supercooling can be challenging. Furthermore, increasing the concentrations of the non-
576 permeating components of CPA formulations generally increase the tonicity of the
577 extracellular solution and in turn causes the cell volume to decrease and intracellular
578 osmolality to increase [48]. This decreases the probabilistic incidence of IIF even at
579 higher degree of supercooling. This may be one of the contributing factors that can
580 explain the increase in viability observed when certain additives are included in CPA
581 formulation in addition to traditional permeating CPAs such as DMSO [18, 19].
582 However, there is a possibility that additives such as trehalose and sericin may have

583 influence the thermodynamic properties of the extracellular solution in a unique way due
584 to their mutual interaction. When 100 mM trehalose is added to sericin solutions at
585 different concentrations, a significant loss of freezing point depression trend is observed
586 (Fig. 5A). In addition to probabilistic decrease of IIF, such increase in freezing point may
587 also prevent chilling injuries [68]. The collaborative effect of sericin may also have a role
588 to play in preventing re-crystallization injury. Studies with human oocytes [67] indicate
589 that post-thaw survival of cells can be maximized and incidence of IIF can be minimized
590 by raising freezing point close to the melting point of CPA formulation. Sericin on its own
591 has a similar effect on melting point compared to DMSO, and addition of trehalose
592 decreases the melting point even further, indicating the combined effects of trehalose
593 and sericin (Fig. 5B) may achieved better outcomes. Furthermore, the variation in heat
594 of fusion value can be directly correlated to the difference in the nature of extracellular
595 ice crystals formed [69]. Even though in a multi-component system, the concept of
596 latent heat is complicated by the possible internal melting and freezing at microscale
597 that can happen over a wide temperature range [70], a variation in heat of fusion will
598 generally indicate a change in the overall quantity of the ice crystals formed [71]. As
599 seen in Fig. 5C, increasing the concentration of sericin in CPA formulation on its own do
600 not change the quantity of ice formation at the same freezing rate compared to DMSO.
601 However, with an addition of 100 mM trehalose the heat of fusion increases indicating a
602 significant change in the number of the ice formation. This observation is supported by
603 detailed Raman microspectroscopic study of the nature of the ice crystal formation in
604 presence of 100 mM trehalose in DMSO solution by Solocinski et al. [19]. Addition of
605 100 mM trehalose in sericin solution has a similar effect and one can assume similar

606 trends in ice crystal formation as in a DMSO solution containing 100 mM trehalose. This
607 is another indication of trehalose and sericin can collaboratively modulate the ice
608 formation phenomena in extracellular environment during cryopreservation.

609 To further investigate the viability of sericin to be used as an additive with the
610 capability to partially replace DMSO as a CPA component, a detailed DSC study with
611 CPA formulations containing 5% and 10% DMSO (v/v). While 100 mM trehalose was
612 maintained as a component, the sericin concentration was varied from 1-5% (w/v).
613 Freezing point depression characteristics (Fig. 6A) indicate that with reduced DMSO
614 concentration, sericin can influence the freezing point depression temperature of the
615 CPA formulation at lower concentration. While a similar trend holds for CPA formulation
616 containing 10% DMSO, the extent of freezing point depression is higher when
617 compared to the solution containing lower concentration of DMSO. The difference
618 between two CPA formulations containing different concentrations of DMSO was more
619 prominent (Fig. 6B) when it comes to melting point depression characteristics with
620 solutions containing 5% DMSO having a significantly lower level of melting point
621 depression characteristics. This underscores the strong influence of DMSO on melting
622 point depression characteristics in CPA formulations. Finally, the heat of fusion
623 characteristics of the solutions (Fig. 6C) indicate a significantly different trend in the
624 number of ice crystal formation. All of these indicate an increased possibility of IIF for
625 CPA formulations containing 5% DMSO increasing the chances of cellular injury.
626 However, with the addition of sericin and trehalose as an additive to CPA formulations
627 with higher DMSO content, there is a chance of increased hyperosmotic exposure and
628 related solution effects injury.

629 *Cellular Viability and growth:*

630 The membrane integrity of HepG2 cells cryopreserved using the CPA
631 formulations described here indicate a higher viability of CPA formulations containing
632 10% DMSO (Fig. 7A). This observation is consistent with increased probability of
633 intracellular damage due to formation of IIF when CPA formulations containing 5%
634 DMSO as predicted by the calorimetry studies. While the addition of 100 mM trehalose
635 to 10% DMSO solution led to an increased membrane integrity in comparison to 10%
636 DMSO solution, addition of 1% sericin (w/v) to 10% DMSO resulted in a considerable
637 increase in membrane integrity. Effect of addition of 1% sericin to 10% DMSO solution
638 was higher than the CPA formulations containing 100 mM trehalose to 10% DMSO
639 solution. This indicates the superior nature of sericin as an additive. While the
640 thermogravimetric studies indicate distinct synergistic advantages of using both
641 trehalose and sericin as an additive in 10% DMSO solution, the membrane integrity
642 data indicate a 5% decrease, possibility due to increased hyperosmotic exposure and
643 solution effects injury [48, 72]. However, it is important to note that even though the
644 HepG2 cells that were cryopreserved using both trehalose and sericin has lower
645 membrane integrity, their growth pattern was significantly better compared to other
646 groups. This possibly indicate superior ability to protect the cells under post-thaw culture
647 conditions. Further studies are underway to investigate possible protective
648 cytoprotective effect of sericin as an additive to CPA formulation.

649 **Conclusion**

650 The data presented here indicates that sericin at right concentration can play an
651 important role as an effective additive in CPA formulations. While the usefulness of

652 polymeric proteins in replacing DMSO in CPA formulation has been established, the
653 study presented here provides important insight to how sericin impacts the H-bonding
654 network and thermophysical properties of the CPA formulation during cryopreservation
655 and provides a practical approach towards using sericin in CPA formulation as an
656 additive to ameliorate post-thaw injuries in culture condition. While the prospect of using
657 sericin as a replacement for DMSO in CPAs is highly attractive, further research is
658 required to transform this study into a clinically viable CPA solution.

659 **Author Contributions**

660 **Conceptualization** NC

661 **Data Curation** LU, JS, NC

662 **Formal Analysis** LU, JS, NC

663 **Funding Acquisition** QO, NC

664 **Investigation** LU, ER

665 **Methodology** LU, ER

666 **Project Administration** QO, NC

667 **Resources** QO, NC

668 **Software** LU

669 **Supervision** QO, NC

670 **Visualization** LU, JS, ER, NC

671 **Writing – Original Draft Preparation** LU, NC

672 **Writing – Review & Editing** LU, JS, QO, NC

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