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# Study of the spontaneous nano-emulsification process with different octadecyl succinic anhydride derivatives

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## Abstract

Three new amphiphilic molecules were synthesized on a basis of a common monomer, octadecyl succinic anhydride (OSA), on which were grafted different PEGylated hydrophilic polar head. The objective of this study is to investigate a potential relationship between the chemical structure of the surfactant, and the efficiency to generate nano-emulsions through the spontaneous nano-emulsification method. Beyond the innovative synthesis and comparison of these amphiphiles, a comprehensive comparison is suggested, comparing size distribution and polydispersity for the different composition parameters, as well making a bridge with critical micelle concentration and hydrophile lipophile balance (HLB). Using OSA monomeric entity as common hydrophobic moiety, the variations in the surfactant molecules were done on the hydrophilic moiety, through the addition of one or two Jeffamine chains in different configurations, so-called  $C_{18}^{\ominus}$ -PEG,  $C_{18}$ -PEG and  $C_{18}$ -PEG<sub>2</sub>. The results disclosed that  $C_{18}^{\ominus}$ -PEG allows producing smallest size distribution and lowest PDI values. Moreover,  $C_{18}^{\ominus}$ -PEG presents the highest critical micellar concentration, linked to a higher hydrophilicity of the molecule. This impacts the balance between surfactant affinity for oil and aqueous phases, a point probably related to the spontaneous emulsification efficiency. A last part of the study regarded the optimization of the emulsification efficiency, through a systematic study in ternary composition map, to disclosed that the best conditions are included in the lower surfactant concentrations, for water and oil contents higher and lower than 50%, respectively. The main idea behind this study was to bring further insights into the unclear relationship between the chemical structure of nonionic surfactants, and the efficiency of the emulsification by spontaneous low-energy method.

## 37 **1 Introduction**

38 Nano-emulsions (NEs) consist of a colloidal dispersion of two immiscible liquids stabilized by  
39 amphiphilic molecules, sizing from around 30 nm to 300 nm [1]. Owing to the high surface  
40 area, good physical stability, non-irritant and non-toxicity, and tunable properties, NEs are  
41 becoming promising carriers for bioactive compounds and have been extensively  
42 investigated in many fields such as drug delivery, diagnostic, cosmetic, pesticide and food  
43 industry [2–6].

44 Comparing with conventional high-energy methods, like high pressure homogenization,  
45 ultrasound emulsification, membrane emulsification etc., such low-energy emulsification  
46 requires a very limited addition of external energy, but takes advantages of the physico-  
47 chemical properties of the compounds to fractionate the oil phase at nano-metric scale. One  
48 advantage of this concept lies in the fact that fragile pharmaceutical ingredients are  
49 preserved from a potential degradation due to high local energy amount supplied with  
50 mechanical homogenization [7]. However, these methods are still not largely used in industry  
51 [8], since (i) not all surfactants allows an efficient spontaneous emulsification, (ii) the  
52 physicochemical properties of the NEs dispersion cannot always be finely controlled, in term  
53 of size and dispersity, and (iii) they involve a significant amount of surfactants, not always  
54 compatible with all applications and specifications. Further investigations on the  
55 spontaneous emulsification process are then necessary to increase the understanding of the  
56 role of surfactant in the process, in order to optimize the applicability of such a low-energy  
57 process.

58 Spontaneous emulsification, or self-emulsification, is performed by gently mixing two liquid  
59 phases containing specific surfactants (and/or co-solvents) without any extra energy supply.  
60 Spontaneous emulsification was firstly discovered by Johannes Gad in 1879 and has been  
61 extensively studied in the last few decades [1,9,10]. Mechanisms behind spontaneous  
62 emulsification has been described according to several hypotheses [10,11], originated from  
63 interfacial turbulence phenomena, generation of ultralow interfacial tensions, or explained  
64 through the solubility changes and sudden migration of the nonionic surfactant in the  
65 different phases in presence.

66 General experimental observations of spontaneous emulsification process give that the main  
67 parameters influencing the nano-emulsion size and properties are the compositions and  
68 chemical nature of surfactants and oils, temperatures or order of mixing of the different  
69 compounds [1,12]. Nevertheless, an universal mechanism has been proposed, based on the  
70 respective affinities between surfactants, oils and water phases [1]. The idea proposed a  
71 sudden change of the thermodynamic conditions inducing a rapid change of the solubility for  
72 surfactant for oil or water, and inducing a turbulence in the system leading to break-up the

73 oil phase into nano-droplets. This clearly places the surfactant solubility and its temperature  
74 sensitivity, as critical for the efficiency of the spontaneous emulsification.

75 The spontaneous process is related to the sensitivity of the nonionic surfactant (precisely of  
76 the poly(ethylene glycol) polar head of the molecule) with the temperature. The most  
77 reported examples use commercial surfactant like, *e.g.*, polysorbate (Tween®), sorbitan  
78 esters (Span®), polyoxyl 35 castor oil (Kolliphor® EL/ELP) and poloxamer (Pluronic® F68).  
79 Upon temperature increasing, these surfactants lose their solubility in water to the benefit of  
80 the lipophilic part. As a consequence of the gradual decrease of the number of hydrogen  
81 bounding between PEG chain and water molecules, the PEG solubility is reduced. Then,  
82 nano-emulsion is generated as a result of a temperature decrease and/or water dilution,  
83 resulting from an increase of the solubility of these nonionic surfactants in water [13].

84 On the other hand, in spite of the number of studies to explain these spontaneous  
85 emulsification mechanisms, in spite of the understanding of the impact of the formulation  
86 parameters on the size and polydispersity of the nano-emulsion, a part of this concept is still  
87 unclear including the relationship between the process efficiency and the chemical nature of  
88 both the oil and the surfactants.

89 The spontaneous emulsification is generally considered to be driven by the affinities  
90 between oil and surfactants, impacted by a change of their chemical nature of the former  
91 and/or the latter. For instance as regard the impact of the nature of oil, spontaneous  
92 emulsification processes reported with castor oil and modified castor oil (tri-iodinated castor  
93 oil, in Fig. 2 (b<sub>1</sub>) of Ref. [14]), not only shows a significant shift of the nano-emulsion droplet's  
94 size of around 100 nm, but also significantly reduces the domain of emulsification process  
95 comparing native and modified oil. This observation is recurrent with numerous types of oil  
96 phases, an interesting example is the one of *α-tocopherol*, for which the spontaneous  
97 emulsification process is not giving nano-scaled droplets —but rather large micrometric  
98 droplets— and for which acetate form [15,16] or tri-iodinated form [17,18] is extremely  
99 efficient and gives rise to very small (< 50 nm) and very narrow size distribution (PDI < 0.1).

100 Some reports have emphasized that in the case of spontaneous emulsification where the  
101 free energy cost for creating the interfacial area has to be compensated by a large entropic  
102 term, thus a flexible surfactant allowing curvature fluctuations is required [19]. Small  
103 monomeric surfactants adsorb on the interface of newly form droplets very quickly and  
104 result in the production of small droplets, while comparatively polymer generally giving  
105 larger droplet size range, *i.e.* inappropriate for the formation of nano-emulsions [20]. Besides  
106 the experimental comparison of the results given by nonionic surfactants, comparing each  
107 other upon the nano-emulsification process, *predicting* the compatibility of these molecules  
108 with spontaneous emulsification process remains, to date, unclear in literature.

109 In the present study we have synthesized different nonionic surfactants with slight  
110 modifications in their chemical structure, and they were compared upon the spontaneous  
111 emulsification process. Beside the formulation of NEs, the goal is to understand the impact  
112 of the change in the surfactant structure in the efficiency of the process, as well as size and  
113 dispersity of the droplet population. The main objective of our investigation here lies in  
114 highlighting potential relationship between chemical structure of surfactant and efficiency of  
115 emulsification. We have chosen to synthesize octadecyl succinic anhydride derivatives with  
116 different functions including grafting of nonionic polymers. It is noteworthy that these new  
117 surfactants are not exactly the same as the commercial ones –however very close in the  
118 chemical structure principle– but our idea was to get a series of molecules very close each  
119 other only differing in one chemical function, to compare them as regards the emulsification  
120 efficiency.

121

122

## 123 **2 Materials and methods**

### 124 **2.1 Materials**

125 Octadecyl succinic anhydride (OSA) and vitamin E acetate (VEA) were purchased from Tokyo  
126 Chemical Industry. Polyetheramine Jeffamine<sup>®</sup> M-2070 (J-2000) was kindly offered by  
127 Huntsman Corporation. Ethanol, ethanolamine, triethylamine (TEA), dimethylformamide  
128 (DMF), dichloroform (DCM) and hexafluorophosphate azabenzotriazole tetramethyl uranium  
129 (HATU) were obtained from Merck-Millipore. Phosphate buffered saline (PBS) was from  
130 Eurobio (Courtaboeuf, France).

### 131 **2.2 Synthesis**

132 The structures of three amphiphilic molecules specially synthesized for this study, so-  
133 called  $C_{18}^{\ominus}$ -PEG,  $C_{18}$ -PEG and  $C_{18}$ -PEG<sub>2</sub>, are illustrated in Fig. 1, and the synthesis procedures  
134 are described below. These surfactants arise from the reaction of the amine (NH<sub>2</sub>)  
135 terminated PEG (J-2000) on amine-reactive anhydride (OSA) first providing  $C_{18}^{\ominus}$ -PEG, which  
136 thus bears a carboxylic acid function. This function was then either reacted with another J-  
137 2000 (forming  $C_{18}$ -PEG<sub>2</sub>), or capped with ethanolamine (forming  $C_{18}$ -PEG).

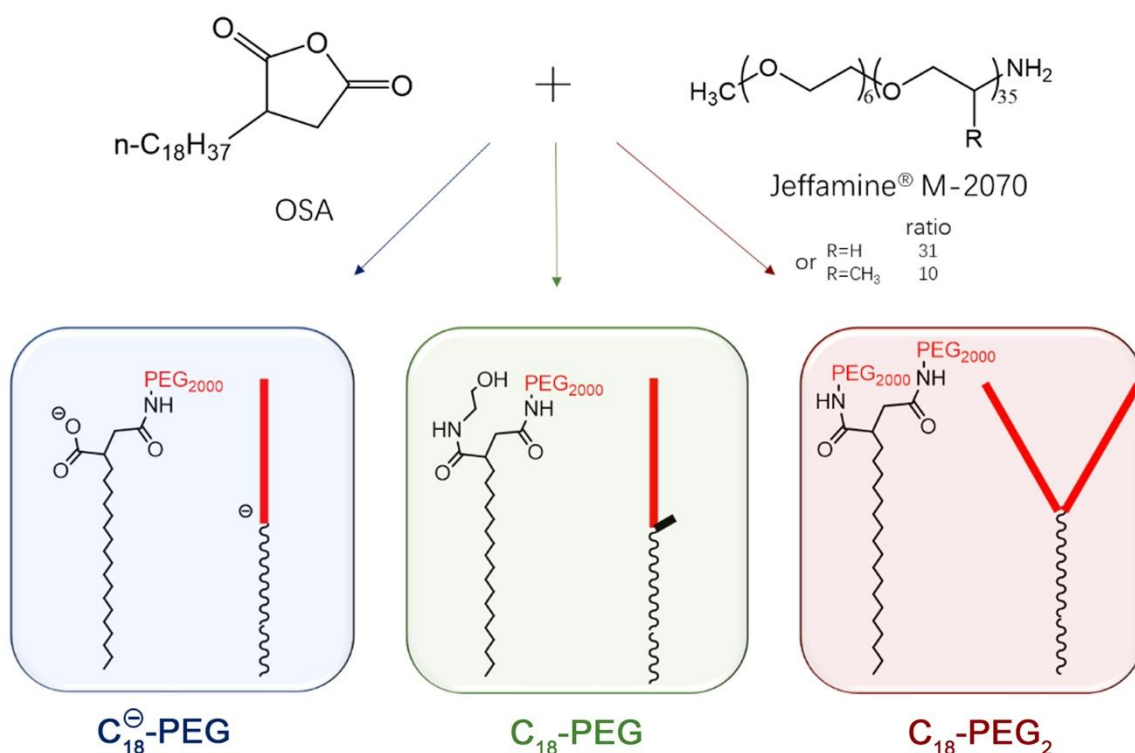
138  **$C_{18}^{\ominus}$ -PEG:** To a solution of OSA (352 mg, 1 mmol) in DMF (20 mL) was added J-2000 (2 g, 1  
139 mmol) dissolved in DMF (10 mL). After the homogeneity, 696  $\mu$ L of TEA (5 mmol, 5 eq) were  
140 added to the solution following a heating up to 60°C overnight. Then, the solvent was  
141 evaporated. For the purification, firstly, the crude was dissolved in DCM, and then washed

142 three times by 1 M HCl in saturated NaCl solution. The organic phase was dried over  
143 anhydrous sodium sulfate, filtrated over cotton and evaporated.

144 **C<sub>18</sub>-PEG<sub>2</sub>**: To a solution of OSA (352 mg, 1 mmol) in DMF (20 mL) was added J-2000 (4 g, 2  
145 mmol, 2 eq) dissolved in DMF (20 mL). After the homogeneity, 696  $\mu$ L of TEA (5 eq) and HATU  
146 (570 mg, 1.5 eq) were added to the solution following a heating up to 60°C overnight. Then,  
147 the solvent was evaporated. For the purification, firstly, the crude was dissolved in ethanol,  
148 and then dialysis was conducted with a regenerated cellulose membrane (molecular weight  
149 cutting off is 2,000 Da). Outside media (ethanol) was changed every 8 h for 3 times. The final  
150 product was obtained with evaporation of ethanol.

151  
152 **C<sub>18</sub>-PEG**: To a solution of OSA (352 mg, 1 mmol) in DMF (20 mL) was added J-2000 (2 g, 2  
153 mmol, 2 eq) dissolved in DMF (10 mL). After the homogeneity, 696  $\mu$ L of TEA (5 eq) was  
154 added to the solution following a heating up to 60°C overnight. Then, 60  $\mu$ L of ethanolamine  
155 (1 eq dissolved in 5 mL DMF) and HATU (570 mg, 1.5 eq) were added to the solution at the  
156 same temperature overnight again. Next, the solvents were evaporated, and the purification  
157 was strictly the same as described for **C<sub>18</sub>-PEG<sub>2</sub>**.

158



159  
160 **Figure 1:** Synthesis and structure scheme of the three amphiphilic molecules synthesized. Red chain symbolizes  
161 the PEG chains.

162

## 163 2.3 Structure confirmation

164 To confirm the structure of three molecules, around 40 mg of products were dissolved in  
165 500  $\mu\text{L}$   $\text{CDCl}_3$  for NMR tests. Both  $^1\text{H}$ -NMR and  $^{13}\text{C}$ -NMR spectra were recorded on a Bruker  
166 Avance III 400 MHz spectrometer.

167

## 168 2.4 Critical micelle concentration (CMC) determination

169 The CMC of three amphiphilic molecules were determined by a fluorescence method using  
170 Nile red (NR) as a probe [21]. NR in DMSO (200  $\mu\text{M}$ ) was used as a stock solution. Firstly, a  
171 series of 1 mL solutions of each surfactant (with concentrations ranging from 0.001 to 10  
172 mg/mL) in milliQ water were prepared, and 5  $\mu\text{L}$  of NR stock solution were added into each  
173 sample to reach a final NR concentration of 1  $\mu\text{M}$ . Fluorescence spectra were recorded at  
174 20°C at a fixed excitation of 530 nm, and the emission was monitored from 540 nm to 800  
175 nm. The maximum emission wavelength ( $\lambda_{\text{em}}$ ) was recorded and presented for the CMC  
176 calculation, corresponding to the intercept between the straight baseline (before CMC) and  
177 the rising straight line of the fluorescence signal (after CMC).

178

## 179 2.5 hydrophile lipophile balance (HLB) calculation

180 HLB values of each amphiphilic molecule were calculated according to the commonly used  
181 Davies' group contribution method [22]. Details of the equation and table of parameters are  
182 reported in the *Supplementary information* section, Eq. S1 and Table S1, respectively.

## 183 2.6 Emulsification

184 Spontaneous emulsification method was used as reported in previous papers [16,23]. In  
185 brief, surfactants were dissolved in oil phase with different *surfactant to oil weight ratio*  
186 (SOR) at a set temperature, then PBS, maintained at the same temperature, was added  
187 according to different *(surfactant + oil) to water weight ratio* (SOWR). After vortex  
188 homogenization for 1 min, following a mixing in a thermomixer at 2,000 rpm for 10 min  
189 nano-emulsions were formed. In order to explore and optimize the emulsification conditions,  
190 the process was performed at different compositions and environmental conditions.

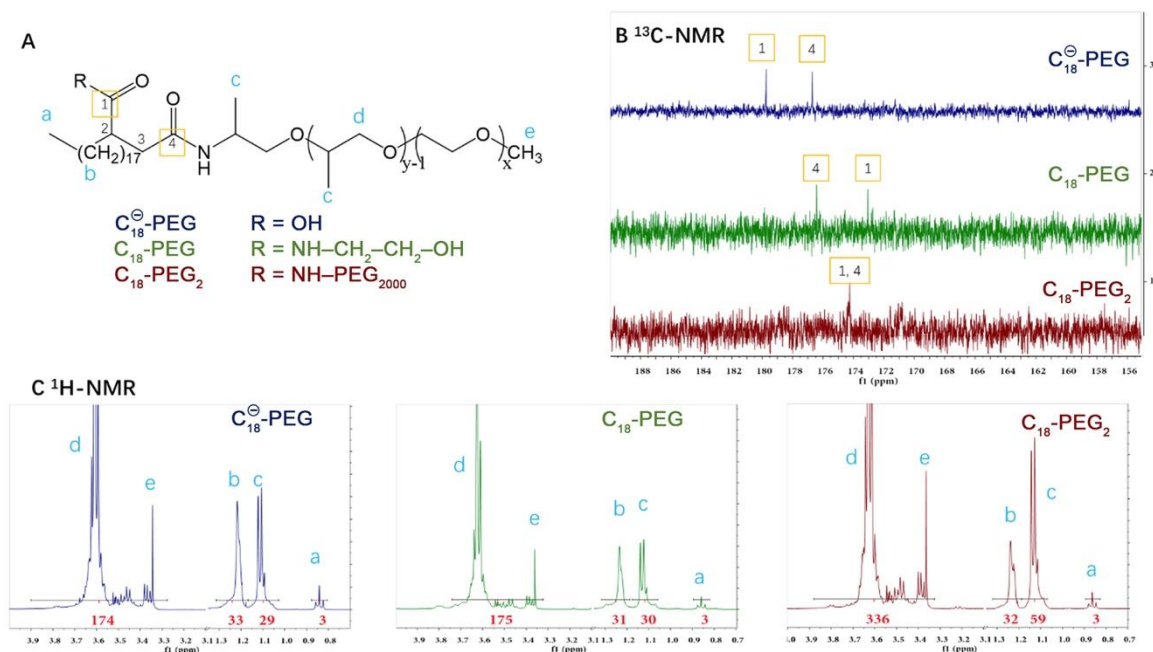
191 Size distribution, polydispersity index and  $\xi$  potential were determined by dynamic light  
192 scattering (DLS) with NanoZS (Malvern, Orsay, France). Generated emulsions were diluted by  
193 100 and 1,000 times in distilled water, for size and  $\xi$  potential measurements, respectively.

194

## 195 3 Results and discussion

### 196 3.1 Structure identification of new molecules

197 Due to the simple synthesis process, the reaction yield for each molecule was above 90%.  
198 Structures of the three amphiphilic molecules are shown in Fig. 1. With the similar  
199 hydrophobic saturated aliphatic chain (shown in black), the difference in these molecules  
200 arose in their hydrophilic head (red). Three different variations (see Fig. 1) of their polar head  
201 compositions came from the fact that  $\text{C}_{18}^{\ominus}\text{-PEG}$  beared a  $-\text{COOH}$ , potentially becoming  
202 carboxylate when solvated at the oil/water interface and in PBS (pH 7.4), while for  $\text{C}_{18}\text{-PEG}$ ,  
203 the capped ethanolamine part annihilated the charge, and for the  $\text{C}_{18}\text{-PEG}_2$  the carboxylic  
204 acid was replaced by another J-2000. The structures were unambiguously identified by  $^1\text{H}$   
205 and  $^{13}\text{C}$  NMR spectra (the identical parts shown in Fig. 2, while the complete spectra were  
206 reported in the *Supplementary information* section). It followed that, as  $\text{C}_{18}^{\ominus}\text{-PEG}$  and  $\text{C}_{18}\text{-PEG}$   
207  $\text{PEG}$  are shown to bear two different amide moieties (carbon 1 and 4 shown in Fig. 2A), two  
208 different carbonyl signals could be observed in  $^{13}\text{C}$  NMR ( $\delta$  179.83 and 176.78 ppm for  $\text{C}_{18}^{\ominus}\text{-PEG}$ ,  
209  $\text{PEG}$ , 176.53 and 173.17 ppm for  $\text{C}_{18}\text{-PEG}$ ). On the contrary,  $\text{C}_{18}\text{-PEG}_2$  only showed one  
210 carbonyl signal at 174.27 ppm due to the similarity of the amide moiteies (Fig. 2B). In  
211 addition, in Fig. 2C, integration of the number of protons ( $^1\text{H}$  NMR) of the PEG moieties  
212 appeared consistent with their supposed structure: proton intergrations at  $\sim 1.1$  ppm (peaks c)  
213 and  $\sim 3.6$  ppm (peaks d and e) appeared twice higher for  $\text{C}_{18}\text{-PEG}_2$ , which have two PEG  
214 chains, compared to  $\text{C}_{18}^{\ominus}\text{-PEG}$  and  $\text{C}_{18}\text{-PEG}$  having one PEG chain.



215  
216 **Figure 2:** NMR spectra of three synthesized surfactants.

217

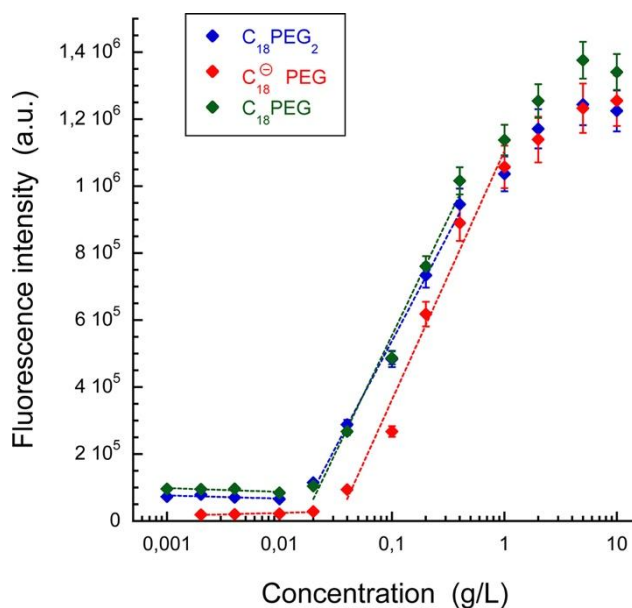


### 218 3.2 Physico-chemical characterization of the surfactants

219 Physicochemical properties of surfactants are crucial to understand their behavior and  
220 potential applications, along with the fact that they play a critical role on structure-activity  
221 relationship screening. Beside appearance and molecular weight, CMC and HLB were  
222 determined, allowing a first comparison. Results concerning the determination of CMC are  
223 reported in Fig. 3 and all data summarized in table 1 (see details regarding the fluorescent  
224 spectra are reported in Fig. S1, in the *Supplementary Information* section). HLB values were  
225 rather comparable between  $C_{18}^{\ominus}$ -PEG,  $C_{18}$ -PEG (12.3 and 14.3, respectively), but increased  
226 up to 22.8 for  $C_{18}$ -PEG<sub>2</sub> respectively. All these surfactants had a HLB value significantly high,  
227 enough to be considered as very hydrophilic, compatible with application as stabilizer for  
228 direct emulsification. Interestingly, the HLB value of  $C_{18}$ -PEG<sub>2</sub> jumped to 22.8, significantly  
229 higher than the two formers. As regards the CMC values, a significant gap appeared between  
230 the neutral ( $C_{18}$ -PEG and  $C_{18}$ -PEG<sub>2</sub> around 0.02 g/L) and charged surfactants ( $C_{18}^{\ominus}$ -PEG  
231 around 0.036 g/L), reflecting the higher solubility of the molecule coming from its ionic  
232 nature. Indeed, the higher the water solubility, the higher the CMC, as described in literature  
233 [24]. As a last remark, the comparison of the CMC and HLB values were not exactly inline  
234 each other, likely explained by the fact that HLB remained calculations based on chemical  
235 structure, whereas CMC determination was based on the actual experimental behavior.  
236 Nevertheless, HLB values of all these surfactants indicated they are very hydrophilic  
237 molecules.

238

239



240

241 **Figure 3:** Determination of the Critical Micelle Concentration of the different amphiphile molecules, using Nile  
242 Red as fluorescent probe (see details in the text, *section 2.4*).

243

244 **Table 1:** Physicochemical properties of three new surfactants

Product	Appearance (R.T.)	M.W.	CMC (20°C)	HLB
$C_{18}^{\ominus}$ -PEG	white-yellowish paste	~2300	0.036 mg/ml	12.3
$C_{18}$ -PEG	white-yellowish wax	~2350	0.021 mg/ml	14.3
$C_{18}$ -PEG <sub>2</sub>	yellow wax	~4300	0.018 mg/ml	22.8

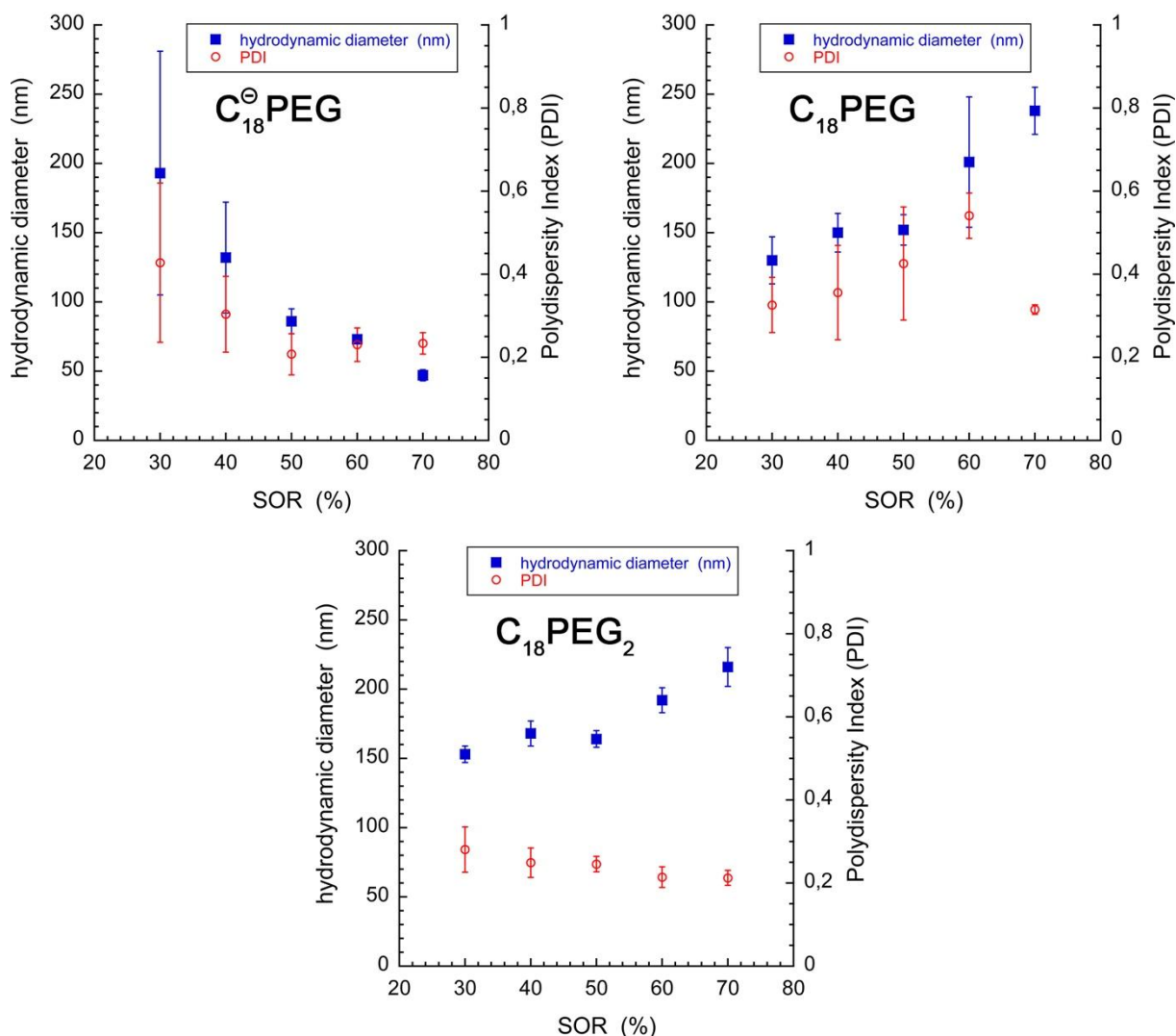
245

### 246 3.3 Emulsification efficiency of three surfactants

247 Although spontaneous emulsification provided a much convenient and economic method for  
 248 nano-emulsification, the formulation was not as predictable as the mechanical methods. The  
 249 general route to study spontaneous emulsification process was generally done [1] following-  
 250 up of the size distribution of the nano-emulsions along with modifications of compositions  
 251 parameters like surfactant amount (with SOR), dispersed volume fraction (with SOWR), or  
 252 environment parameters like, *e.g.*, temperature. These key parameters were investigated for  
 253 that purpose, with the idea to disclose the structure-properties relationship.

254

### 3.3.1 Effect of surfactant concentration



256

257 **Figure 4:** Size and PDI of NEs prepared using  $C_{18}^{\ominus}$ -PEG,  $C_{18}$ -PEG and  $C_{18}$ -PEG<sub>2</sub>, in function of the values of SOR,  
 258 at constant SOWR = 5% and at emulsification temperature  $T = 90^{\circ}\text{C}$ .

259

260 For this first series of experiments, the SOR (linked to surfactant amount) was gradually  
 261 increased and the size distribution (*i.e.* average diameter and polydispersity indexes (PDI))  
 262 was measured. Thus, SORs varied from 30% to 70%, at a fixed SOWR of 5% and a fixed  
 263 temperature of the emulsification process of  $90^{\circ}\text{C}$ , temperature at which both the {oil +  
 264 surfactant} and the water phases were maintained before mixing. Results were reported in  
 265 Fig. 4. The case of  $C_{18}^{\ominus}$ -PEG (Fig. 4A) showed the most conventional behavior compared to  
 266 literature [1,25], where increasing the SOR value induced a decrease in the mean droplet's  
 267 size and PDI. Reproducibility was improved with SOR. It is important to note that nano-  
 268 emulsions were considered monodispersed, and therefore the spontaneous process  
 269 considered as efficient, when the PDI was lower than 0.25; in that case, this criterion was  
 270 met for  $\text{SOR} > 50\%$ , when the droplet size decreased below 90 nm. This trend was generally

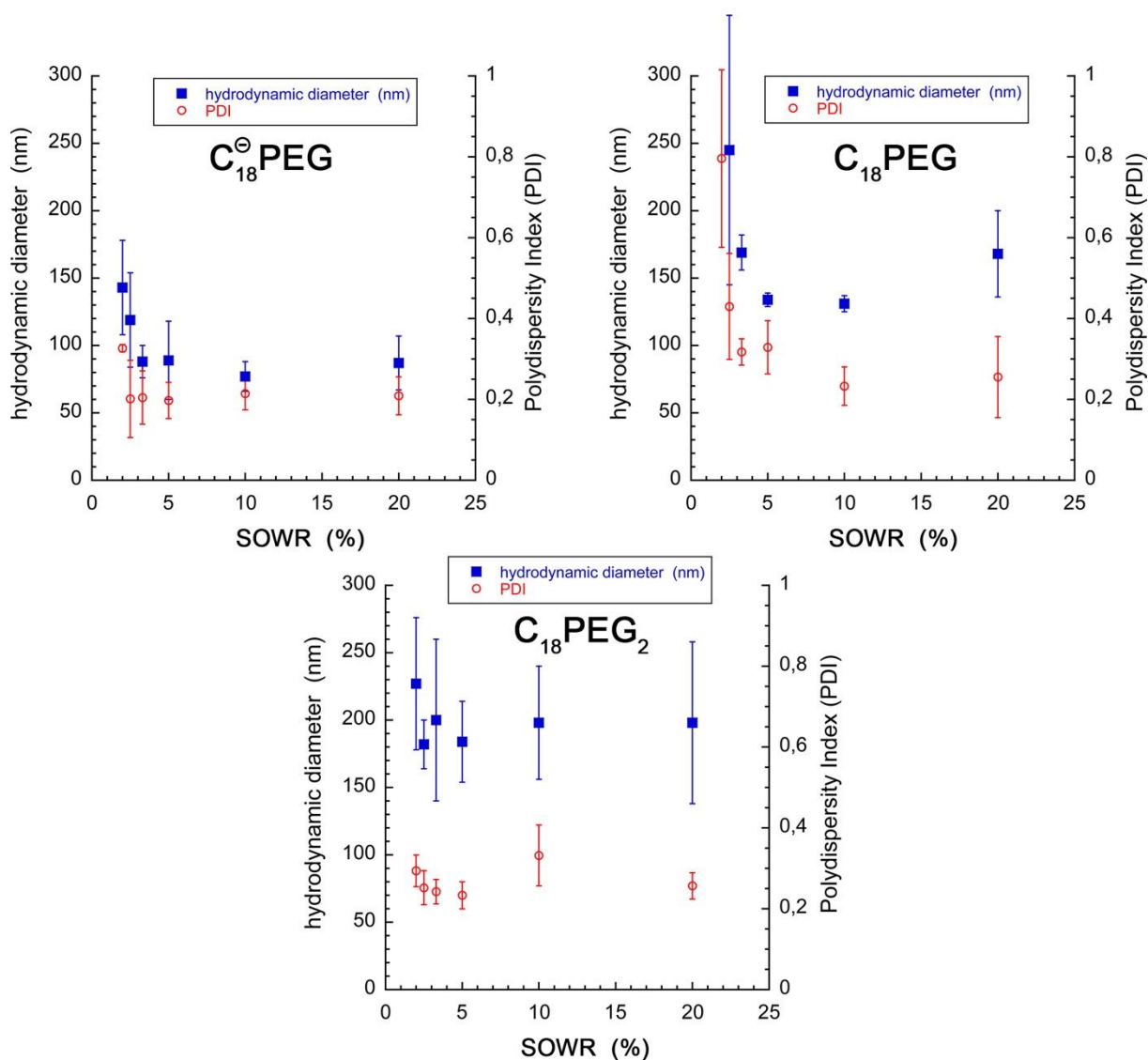
271 attributed to the increasing efficiency of surfactant at the interface, related to the interfacial  
272 concentration as the bulk concentration was increased.

273 On the other hand, in Fig. 4B and Fig. 4C, for **C<sub>18</sub>-PEG** and **C<sub>18</sub>-PEG<sub>2</sub>**, respectively, an opposite  
274 trend arose, showing an increase of the droplet size with the SOR. These results clearly  
275 contrasted with the ones generally obtained [1,14,17,26] with such processes, since, unlike  
276 **C<sub>18</sub><sup>⊖</sup>-PEG**, in that cases the droplet size and PDI increased with increasing surfactants  
277 amount. In addition, in the case of **C<sub>18</sub>-PEG**, the PDI values are too high (> 0.25) for validating  
278 the measurements, while they conserved a good value (< 0.25) in the case of **C<sub>18</sub>-PEG<sub>2</sub>**. In  
279 both cases, emulsification process seemed to be affected by these chemical modifications.  
280 The lower CMC disclosed in Fig. 3 for **C<sub>18</sub>-PEG** and **C<sub>18</sub>-PEG<sub>2</sub>** might be related to this behavior,  
281 indicating that a lower water solubility affected the interfacial behavior at high  
282 concentrations. It is interesting to note, as well, that the process of droplet coalescence after  
283 emulsification could be slowed down by their surface charge, orienting the global size  
284 distribution towards smaller size range with charged molecules, as observed. This was  
285 confirmed with the values of zeta potential, measured at -28 mV and -30.0 mV for **C<sub>18</sub>-PEG**  
286 and **C<sub>18</sub>-PEG<sub>2</sub>**, respectively, when it raised at -39 mV for the charged **C<sub>18</sub><sup>⊖</sup>-PEG** surfactant.

### 287 3.3.2 Effect of water ratio

288 The effect of water concentration was investigated by preparing a series of emulsions with  
289 different SOWRs from 2% to 20%, at a fixed SOR of 50% and a fixed emulsification  
290 temperature of 90°C. The results, reported in Fig. 5, overall showed a decrease and  
291 stabilization of the size as the water content increased. In general, the impact of the water  
292 ratio was considered as not impacting on the nano-emulsion size, and this is effectively  
293 observed with SOWR ≥ 5%. On the other hand, for very high proportions of water (low  
294 SOWRs) the quality of the emulsion was surprisingly decreased and size increased. This  
295 feature was probably not documented since such concentration range had a limited interest.  
296 However, it reveals that a minimum volume fraction of dispersed phase was required in  
297 order to make efficient the spontaneous emulsification process.

298



299  
 300 **Figure 5:** Size and PDI of NEs prepared using C<sub>18</sub><sup>⊖</sup>-PEG, C<sub>18</sub>-PEG and C<sub>18</sub>-PEG<sub>2</sub>, in function of the values of SOWR,  
 301 at constant SOR = 50% and at emulsification temperature T = 90°C.

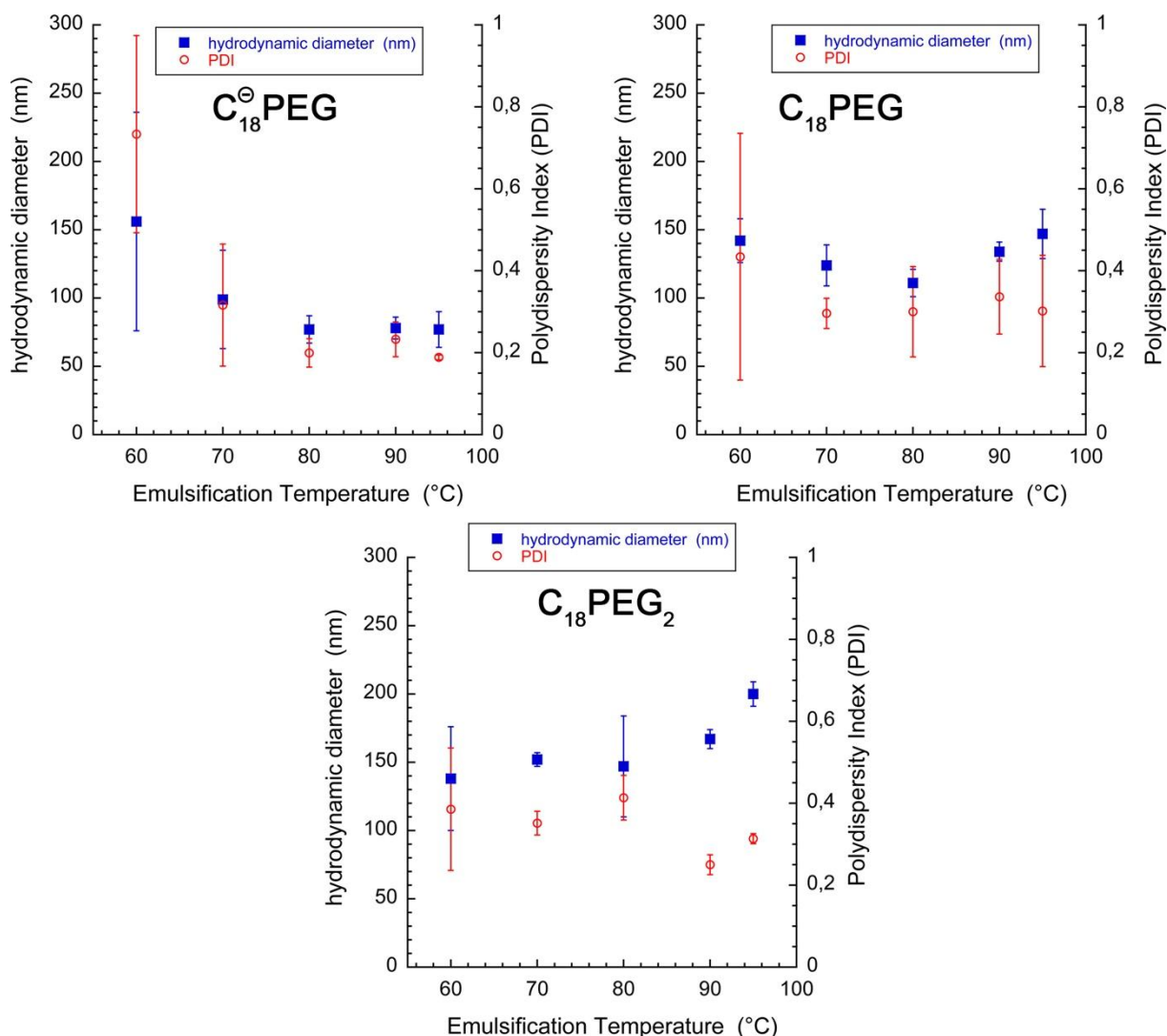
302

### 303 3.3.3 Effect of emulsification temperature

304 Spontaneous nano-emulsification process was based on the physico-chemical behavior of  
 305 nonionic surfactants, and particularly on their temperature sensitivity [13]. Indeed, playing  
 306 on temperature modified the solubility of the PEG chains and, in certain conditions, induced  
 307 the spontaneous generation of droplets. In previous reported studies [1,13,27], we described  
 308 the impact of the emulsification temperature on the process itself, giving the temperature  
 309 threshold impacting on the process efficiency. Indeed, if the emulsification temperature was  
 310 below the cloud point –or phase inversion temperature– the process dramatically lose  
 311 efficiency below those temperature thresholds. In the present case of comparison, different  
 312 surfactants, investigating this parameter appeared important to understand their impact on  
 313 the emulsification process. To this end, emulsions were prepared from 60°C to 90 °C with a

314 fixed SOR of 50% and SOWR of 5%. Results are shown in Fig. 6. This parameter had a  
315 significant impact on the nano-emulsions' properties. Considering  $C_{18}^{\ominus}$ -PEG, for  $T < 80^{\circ}\text{C}$ , the  
316 size, PDI and reproducibility was clearly affected, when compared to  $T \geq 80^{\circ}\text{C}$  where these  
317 parameters were much better and reproducible. This result confirmed the thermo-sensitivity  
318 and the behavior expected for such nonionic surfactants. On the other hand, this conclusion  
319 could not be drawn for the other surfactants ( $C_{18}$ -PEG and  $C_{18}$ -PEG<sub>2</sub>), for which the  
320 temperature did not seem to have a real impact on the process efficiency. For these  
321 surfactants, in those conditions (SOR and SOWR values), the PDI values remained quite high,  
322 and we could conclude that the nano-emulsions generated did not meet quality criteria. It  
323 can be explained by the surfactant's affinities for aqueous and oil phase, not optimally  
324 balanced for inducing sufficient turbulences during the emulsification. Another factor that  
325 could induce the un-robustness of such processes, was the oil phase viscosity transitory  
326 which significantly varied with the temperature. Indeed, from  $60^{\circ}\text{C}$  to  $90^{\circ}\text{C}$ , VEA viscosity  
327 decreased almost four times [28], which could impact on the properties of droplets  
328 fractionation.

329



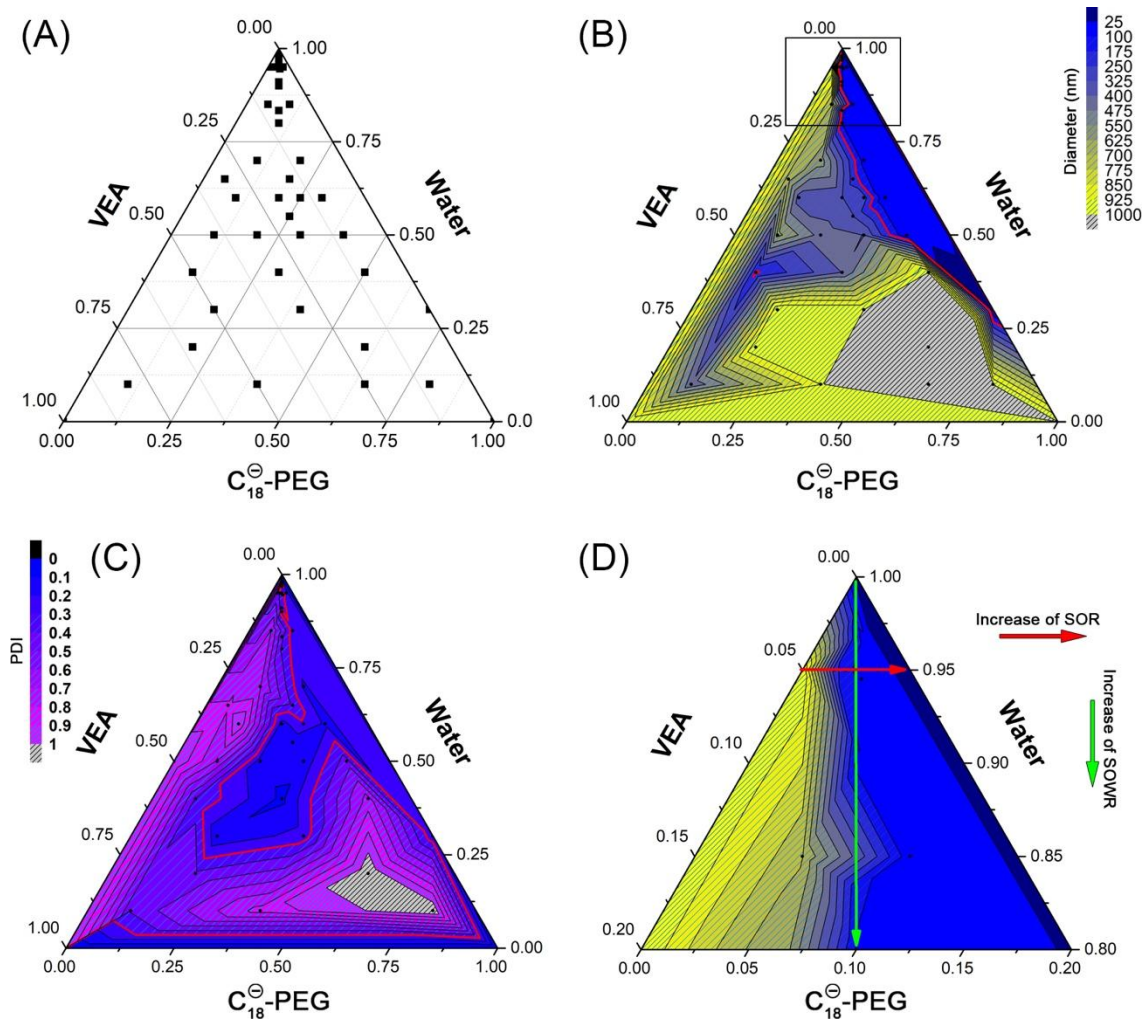
330  
 331 **Figure 6:** Size and PDI of NEs prepared using C<sub>18</sub><sup>⊖</sup>-PEG, C<sub>18</sub>-PEG and C<sub>18</sub>-PEG<sub>2</sub>, in function of the values of  
 332 emulsification temperature, at constant SOR = 50% and SOWR = 5%.

### 333 3.4 Optimization of nano-emulsification process

334 To gain further insights into the spontaneous emulsification process obtained with these new  
 335 surfactants, a screening of formulations (38 different formulations, see Fig. 7 (A)) was  
 336 undertaken and compared each other. This part focused on the C<sub>18</sub><sup>⊖</sup>-PEG, that showed the  
 337 best nano-emulsions, and allowed comparing finely the impact of the composition on the  
 338 emulsification process. The corresponding results, as size distribution and PDI, are shown in  
 339 Fig. 7 (B) and (C), respectively. In Fig. 7 (B), the red line delimited the region where emulsions  
 340 are sizing below 250 nm, thus, so-called *nano-emulsions*. The small zones indicated with  
 341 deepen blue showed sizes below 25 nm, possibly small nano-emulsions, but could also be  
 342 swollen micelles (micelles swollen by oil [27]). The main results given by Fig. 7 (B) are (i)  
 343 nano-emulsions feasibility domain overall corresponded to low oil ratio, below 25%.  
 344 Increasing of oil quantity resulted in the lack of surfactant coverage of the oil-water interface;  
 345 (ii) On the other hand, an excess of surfactant (with reduction of water), formed a

346 concentrated surfactant phase containing high amount of micelles, and for the most  
 347 concentrated regions, turned into *gel phase* probably forming liquid crystalline phases  
 348 [29,30]. In Fig. 7 (C), the red line emphasized the region of PDI values lower than 0.3, for  
 349 which we considered the population monodisperse and stable. In Fig. 7 (D), the focus was  
 350 done on the water corner of Fig. 7 (B), showing the nano-emulsification in the more diluted  
 351 conditions, up to SOWR equal to 20 %. Red and green arrows indicated the increase of SOR  
 352 and SOWR, respectively. Such region corresponds to the emulsification studied above and  
 353 confirmed that nano-emulsification process is mainly driven by surfactant amount, with a  
 354 weak influence of the other formulation parameters.

355



356

357 **Figure 7** Investigation of the composition on the emulsification of  $C_{18}^{\ominus}$ -PEG, with the ternary system composed  
 358 of  $C_{18}^{\ominus}$ -PEG (surfactant), oil (VEA vitamin E acetate) and water. (A) Screening of the formulations studied, (B)  
 359 Values of the mean size of the droplet population (hydrodynamic diameter). (C) PDI values corresponding to the  
 360 results reported in part (B). (D) Focus on the water corner of part (B), indicated with a square.

361

362 In this study, we mainly focused the investigation on the potentials offered by OSA  
 363 derivatives. OSA readily led to amphiphilic molecules which could easily be modified as



364 derivatives with modulated properties that showed the potential to act as an emulsifier. It is  
365 noteworthy that such approaches have been approved by the FDA for use in food industry,  
366 for example in the case of OSA starches used as emulsifiers and encapsulating agents which  
367 can form emulsions with an average size around 500  $\mu\text{m}$  [31]. In addition, one advantage of  
368 these derivative owed to their independency of ionic strength [32].

369

370

## 371 **4 Conclusion**

372 In this study, we synthesized new amphiphilic molecules and studied their ability for  
373 generating emulsions and nano-emulsions by spontaneous emulsification method. Based on  
374 a common basis of OSA as monomeric entity, the variations in the surfactant molecules were  
375 done on the hydrophilic moiety, through the addition of one or two Jeffamine chains in  
376 different configurations, so-called **C<sub>18</sub><sup>⊖</sup>-PEG**, **C<sub>18</sub>-PEG** and **C<sub>18</sub>-PEG<sub>2</sub>**. This study not only shows  
377 the simplicity of the chemical modification of OSA, but also the significant impact on the  
378 spontaneous process and properties of the droplet population. The comparison of these  
379 three surfactants, gave that **C<sub>18</sub><sup>⊖</sup>-PEG** performed the smallest size distribution and lowest  
380 PDI values. From the structure-activity point of view, HLB values are globally calculated in  
381 comparable range, whereas regarding the CMC, **C<sub>18</sub><sup>⊖</sup>-PEG** appears more hydrophilic  
382 compared to **C<sub>18</sub>-PEG** and **C<sub>18</sub>-PEG<sub>2</sub>**, very close each other. As the spontaneous emulsification  
383 process is related to the balance between surfactant affinity for oil and aqueous phases, this  
384 point could explain the slight difference between process efficiency revealed. From an  
385 optimization experiment, we disclosed that the best conditions are included in the lower  
386 surfactant concentrations, for water and oil contents higher and lower than 50%,  
387 respectively. Among all the factors impacting on the spontaneous emulsification, a larger  
388 SOR and a higher emulsification temperature could benefit the fabrication, while SOWR had  
389 limited influence.

390

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