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1 **Optimization of peptide-plasmid DNA vectors formulation for gene delivery**
2 **in cancer therapy exploring design of experiments**

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1 **Abstract**

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3 The field of gene therapy still attracts great interest due to its potential therapeutic effect
4 towards the most deadly diseases, such as cancer. For cancer gene therapy to be feasible
5 and viable in a clinical setting, the design and development of a suitable gene delivery
6 system is imperative. Peptide based vectors, in particular, reveal to be promising for
7 therapeutic gene release. Following this, two different peptides, RALA and WRAP5,
8 have been investigated mainly regarding their ability to form complexes with a p53
9 encoding plasmid (pDNA) with suitable properties for gene delivery. To address this
10 issue, and after an initial screening study focused on the dependence of pDNA
11 complexation capacity with the nitrogen to phosphate groups (N/P) ratio, a design of
12 experiments (DoE) tool has been employed. For each peptide/pDNA system, parameters
13 such as, the buffer pH and the N/P ratio were considered the DoE inputs and the vector
14 size, zeta potential and pDNA complexation capacity (CC) were monitored as DoE
15 outputs. The main goal was to find the optimal experimental conditions to minimize
16 particle sizes, as well as, to maximize the positive surface charges of the formulated
17 nanosystems and maximize the pDNA CC. Through the DoE method applied, the optimal
18 RALA/pDNA and WRAP5/pDNA formulations were revealed and show interesting
19 features related to peptide structure and pDNA complexation ability. This work illustrates
20 the great utility of experimental design tools in optimizing the formulation of
21 peptide/pDNA vectors in a minimum number of experiments providing relevant
22 knowledge for the development of more suitable and efficient gene delivery systems. The
23 new insights achieved on these carriers clearly instigate deeper research on gene therapy.

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32 **Introduction**

1 The field of gene therapy is still a contemporary research subject with great impact in the
2 evolution of technological and biomedical areas.^{1,2} The possible correction of genetic
3 diseases by insertion of a functional gene may significantly contribute for advances in the
4 treatment of the most serious and deadly diseases.²⁻⁶ Among the wide range of possible
5 clinical applications, cancer therapy emerges as one of the most challenging and
6 promising.^{2-4,7,8} For the success of gene therapy protocols, the conception of an adequate
7 and high-performance gene delivery system is essential. Beyond the higher transfection
8 efficiency achieved with viral vectors, their immunogenicity, toxicity and possible
9 random mutagenesis compromise their use in gene delivery, highlighting the safety and
10 assets of non-viral systems.⁹ Synthetic formulations are, in general, easy to produce and
11 to manipulate, biocompatible with different biological systems due to reduced
12 pathogenicity and they can load/encapsulate a large amount of genetic content.²⁻⁴ In the
13 last decade, an enormous variety of non-viral vectors has been conceived and engineered
14 to exhibit controlled/tailored properties to meet the vast demands of gene therapy
15 protocols. Liposomes, polyplexes, micelleplexes, dendrimers, hydrogels, inorganic
16 nanoparticles and peptide based systems revealed to be promising for therapeutic gene
17 release.^{3,8,10-15} Peptides, in particular, offer a set of reliable characteristics, such as, their
18 biocompatibility and biodegradability *in vivo*, the amphipathic or cationic structure, along
19 with the possibility of being tailored, that make them very convenient to condense pDNA
20 forming nanoparticles able of cell uptake, internalization and gene expression.^{15,16-18}
21 Additionally, the rational peptide design, accounting for both key structural features and
22 interactions, increments the potential of their use in the formulation of advanced and high-
23 performance peptide delivery systems for therapeutic applications.^{1,15,19-27} Furthermore,
24 peptides can perform multiple functions (cell permeability, targeting, endosome
25 disruption or nuclear localization) and surpass many biological barriers enhancing the
26 gene delivery mechanism.^{20,21,23,26,27} Beyond the intrinsic peptide properties, the
27 peptide/nucleic acids carrier must possess an adequate size (≤ 200 nm) for cellular uptake
28 and internalization, a positive surface charge to enhance the interaction with the
29 negatively charged proteoglycans present in the cellular membrane, and it should also
30 ensure an efficiently complexation of genetic cargo.^{28,29} Following this, finding the ideal
31 peptide/payload system, that meets all the mentioned requirements, can be challenging,
32 costly and a time-consuming task involving waste of resources. In this context, design of
33 experiments (DoE) can be applied to optimize the formulation step in order to obtain the
34 most convenient vectors for *in vitro* transfection. Pursuing this goal, in the current work,

1 Composite Central Face design (CCF) was used to explore and optimize the development
2 of suitable complexes based on peptide (RALA or WRAP5) and p53 encoding plasmid
3 DNA (pDNA). The DoE tool enables to systematically and simultaneously vary and
4 combine several parameters to get a deeper knowledge on the peptide/pDNA
5 complexation process with few experiments when compared to random experiment
6 approach.³⁰⁻³² Likewise, this statistical tool can predict the ideal conjugation of inputs to
7 optimize the responses and, therefore, find the set of conditions correspondent to lower
8 sized particles possessing the maximum positive surface charges and highest pDNA
9 complexation capacity. From this optimization, we may greatly expect that the “ideal”
10 RALA/pDNA and WRAP5/pDNA vectors can be found. This will, for sure, promote
11 further research aiming to explore their suitability as potential gene delivery systems.

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26 **Materials and Methods**

27 **Materials.** The RALA peptide (NH₂-
28 WEARLARALARALARHLARALARALRACEA-COOH)¹⁴ was synthesized by solid-

1 state synthesis (fluorenylmethyloxycarbonyl, Fmoc, Biomatik, USA) and supplied as a
2 lyophilized powder. WRAP5¹⁵ (NH₂-LLRLLRWWRLRL-CONH₂) synthesis was
3 performed on a LibertyBlueTM Microwave Peptide Synthesizer (CEM Corporation, NC,
4 USA) with an additional DiscoverTM module (CEM Corporation, NC, USA) combining
5 microwave energy at 2450 MHz to the Fmoc/tert-butyl (tBu) strategy. Peptide identity
6 and purity was checked by LC-MS (Waters, France). RALA stock solutions were
7 prepared in ultrapure water and aliquots were stored at -20 °C, according to
8 manufacturer's instructions. WRAP5 stock solutions were stored at 4 °C. The 6.07 kbp
9 plasmid pcDNA3-FLAG-p53 (Addgene plasmid 10838, USA) used in the experiments
10 was produced and purified by a procedure developed by our research group and described
11 in the literature.⁴ The 6.56 kbp plasmid pGL3 luciferase reporter vector was kindly
12 provided by Dr. Franck Couillaud (Bordeaux University, France). All solutions were
13 freshly prepared using Millipore-Q water (Billerica, USA).

14 ***Preparation of peptide-pDNA complexes.*** pDNA stock solutions (100 µg/mL for
15 RALA/pDNA complexes and 5 µg/mL for WRAP5/pDNA complexes) were prepared in
16 Tris buffer (10 mM, pH 8), while RALA and WRAP5 peptides were dissolved in Tris
17 buffer (10mM, pH 6, 7 or 8) immediately before use. Variable concentrations of peptides
18 (40 µL) were added (vortexed for 60 s, drop by drop every 10 s) to a fixed volume of
19 pDNA (10 µL) to formulate peptide/pDNA complexes at charge ratios (positive charges
20 of peptide to negative charges of pDNA, N/P) of 0.1, 0.5, 1, 1.5, 2, 3, 5 and 10. The
21 mixture was incubated for 30 min at room temperature. The complexes were centrifuged
22 at 11,000 g for 20 min and the pellet contained the pDNA based nanoparticles. The
23 amount of non-bound pDNA was determined spectrophotometrically measuring the
24 absorbance of the supernatant at 260 nm using a NanoPhotometerTM (Implen, Inc; CA,
25 USA). The pDNA complexation capacity was obtained from the equation:

26
$$CC (\%) = [(pDNA)_T - (pDNA)_F / (pDNA)_T] \times 100 \quad (1)$$

27 where (pDNA)_T stands for the total amount of pDNA and (pDNA)_F is the non-bound
28 fraction of pDNA found free in the supernatant.
29

30 ***Agarose gel immobilization assay.*** Agarose gel electrophoresis was performed to
31 evaluate the complexation of pDNA into the various developed complexes. The
32 electrophoresis was carried out using a gel with 1% agarose and 1 µg/mL GreenSafe

1 Premium (NZYTech, Portugal) and it was run at 150 V for 30 min in TAE buffer (40 mM
2 Tris base, 20 mM acetic acid and 1 mM EDTA, pH 8.0). The gel visualization was made
3 in UVitec Gel documentation system under UV light (UVitec Limited, United Kingdom).

4 ***Determination of size and surface charges.*** The average particle size and the zeta
5 potential of pDNA vectors have been determined by Dynamic Light Scattering (DLS), at
6 25 °C, using a Zetasizer nano ZS. The pellet containing the complexes was suspended in
7 deionized water. For data analysis, dispersant viscosity and refractive index are
8 considered the same as those for pure water at 25 °C: 0.8905 mPa s⁻¹ and 1.333,
9 respectively. Dynamic light scattering (DLS) using a He-Ne laser 633 nm with non-
10 invasive backscatter optics (NIBS) and electrophoretic light scattering using M3-PALS
11 laser technique (Phase analysis Light Scattering) were applied for particles size and
12 charge investigation, respectively. The Malvern zetasizer software v 6.34 was used.

13 ***Design of experiments.*** To optimize the formulation of peptide/pDNA vectors
14 minimizing the size of the particles and maximize both positive surface charges and
15 pDNA CC, a CCF design was applied. Regarding this, the buffer pH and N/P ratio factors
16 were considered as DoE inputs. The inputs were studied at three levels (-1; 0; +1) and the
17 range was defined from a preliminary screening study. The vectors size, zeta potential
18 and pDNA CC parameters were the evaluated responses (outputs); the particles size was
19 minimized and both the positive surface charges and pDNA CC maximized. Statistical
20 analysis was performed through the use of Design-Expert version 11. The generalized
21 second-order polynomial model equation used in the response surface analysis is
22 presented below (Equation (2)):

$$23 \quad Y = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \beta_{11} X_1^2 + \beta_{22} X_2^2 + \beta_{12} X_1 X_2 \quad (2)$$

24

25

26 **Results and Discussion**

27

28 ***Formation of peptide/pDNA Complexes.*** Studies from the literature on the interaction of
29 cell-penetrating cationic and amphipathic peptides with negatively charged
30 oligonucleotides or nucleic acids are, in general, consistent with a strong electrostatic
31 attraction, along with hydrophobic interactions, leading to the formation of

1 nanoparticles.^{14-16,20-27} Furthermore, it was found that the N/P ratio parameter exhibits a
2 dominant role in the complexation profile with, in most of the cases, a higher N/P ratio
3 favoring the formation of complexes and enhancing their properties.^{14-16,33} Based on this
4 knowledge, in the current work, the cell penetrating peptides RALA and WRAP5 have
5 been considered to condense pDNA. RALA, a 30mer arginine-rich peptide, contains one
6 tryptophan and 7 arginine residues and has an alpha helical structure containing both
7 hydrophobic and hydrophilic amino acids³⁴ and WRAP5, a 15mer tryptophan and
8 arginine rich amphipatic peptide, with 4 arginine and 3 tryptophan residues clustered in
9 the primary peptide sequence, being this tryptophan-rich motif identified as a membrane
10 penetrating domain. It is also known, from an *in silico* prediction of 3D structure and
11 circular dichroism, that WRAP5 adopted α -helical structure.¹⁵ The interaction between
12 RALA or WRAP5 and pDNA has been explored at various N/P ratios, with the aim to
13 reveal the pDNA condensation profile and its dependence on N/P ratio. To access this
14 information, the conception of RALA/pDNA or WRAP5/pDNA was investigated by
15 agarose gel electrophoresis. A summary of the study is represented in Figure 1. From this
16 experiment and for all systems considered, it can be observed that pDNA alone freely
17 migrate into the agarose gel. The interaction between WRAP5 and pGL3 plasmid shows
18 that the complexation can lead to the immobilization of pDNA in a charge-dependent
19 manner; pDNA was completely immobilized from N/P ratio of 1 (Figure 1A). Supported
20 by this information, the condensation of p53 plasmid by WRAP5 has been researched and
21 an efficiently complexation was also found for complexes formulated at $N/P \geq 1$ (Figure
22 1B). Contrary, RALA does not ensure complete immobilization of p53 plasmid at N/P
23 ratio of 1. For N/P ratios from 0.1 to 1, the charge of pDNA is not sufficiently neutralized,
24 by RALA, to allow the complex to remain in the wells. This achievement only can be
25 observed from N/P ratio of 2 onward, as represented in Figure 1C; despite the fact that
26 RALA has 7 arginine residues while WRAP5 has only four of them. These results already
27 predict some differences, between the two peptides, concerning the ability to condense
28 and encapsulate pDNA which can be related with their cationic nature, as well as, to
29 conformational changes induced by the presence of pDNA, what dictates the strength of
30 interaction. This subject will be deeply discussed later on in this report. The preliminary
31 agarose gel shift analysis allows for the definition of the appropriate N/P ratio range for
32 the inputs (starting points) when applying the CCF model of DoE. Furthermore, as both
33 peptides contain amino acids (mainly arginine and tryptophan) susceptible to pH
34 variations, what may lead to both structural and conformational changes, the effect of

1 buffer pH on pDNA CC has been evaluated in a preliminary study. Different buffer pH
2 values were considered at peptide/pDNA complexes formulation step and the pDNA CC
3 has been determined and the pDNA immobilization investigated by agarose gel
4 electrophoresis. The obtained results are consistent with a variation on the peptide ability
5 for pDNA complexation with pH (data not shown). From this study, buffer pH was
6 selected as DoE input and the respective range was defined accordingly.

7

8 ***Model generation and statistical analysis.*** To achieve the ultimate parameter conjugation
9 that would allow the optimal nanoparticle formulation, a three-level CCF design was
10 applied. In Table 1 is presented the suggested coded combination of levels. These coded
11 levels represent the minimum range limit (-1), the maximum range limit (+1) and the
12 average of both (0). According to preliminary studies, buffer pH range was set to 6-8 for
13 both peptides and N/P ratio range was set to 1-5 for RALA and 1-3 for WRAP5. Critical
14 parameters such as nanoparticle size, zeta potential and complexation capacity (CC) were
15 chosen as DoE outputs due to their impact on nanoparticle formulation during the
16 development of novel gene delivery systems.^{29,35} First, size and zeta potential are known
17 to directly affect the ability of the nanoparticles to effectively enter the cell. Smaller
18 nanoparticle sizes facilitate cell entry while positive zeta potential favour the interaction
19 between the carriers and the negatively charged cell membrane.^{28,29} On the other hand,
20 CC allows to determine if the nanoparticle formulation process is rendering a good yield
21 of encapsulated pDNA. It is crucial to ensure that no considerable amount of pDNA is
22 lost throughout the formulation process, so that desirable therapeutic levels can be
23 achieved in a profitable process. In Table 2 are portrayed all runs performed for both
24 peptides, with the real value combination for each input coupled with the data for each
25 output. The data concerning size and zeta potential has been obtained through DLS
26 measurements while pDNA CC has been determined by the procedure described in the
27 experimental section. Three central points, marked at grey, were tested in the same
28 conditions to access the model reproducibility (runs 2, 4 and 6 for RALA and 1, 9 and 11
29 for WRAP5). After performing all experiments proposed by the CCF design and
30 evaluating the chosen outputs, statistical analysis was performed by Design-Expert
31 software. In Table 3 are shown the statistical coefficients obtained for the output of each
32 peptide, which are used to understand if the statistical models generated from these
33 experiments are valid and fit the data. Thus, R^2 represents the coefficient of
34 determination, providing information regarding the fitness of the output statistical model

1 to the data.³¹ This should vary between 0 and 1, ideally reaching 1. As perceivable in Table
2 3, all outputs present a R^2 very close to 1, suggesting all models fit the data. Adjusted R^2
3 represents if the theoretical values adjust to the experimental data. If adjusted R^2 is much
4 lower than its R^2 , sample size might not be adequate to the model.^{36,37} As can be consulted
5 in Table 3, all outputs present a valid adjusted R^2 , never lowering more than 0.035
6 comparatively to its R^2 . On the other hand, predicted R^2 provides information concerning
7 the suitability of the model in predicting new data. The higher R^2 , the more useful the
8 statistical model is in predicting new data. As can be observed in Table 3, all models
9 present high predicted R^2 values (>0.76), thus highlighting the predictive power of these
10 models. Finally, adequate precision allows the measurement of the signal to noise ratio.
11 It should be higher than 4 in order to indicate an adequate signal. In Table 3 it is possible
12 to verify that all models have an adequate precision >16 , thus indicating that these models
13 provide an appropriate signal. The overall study of all these coefficients shows that the
14 chosen quadratic model was suitable for the statistical analysis of these outputs. To further
15 prove the validity of the DoE, ANOVA analysis was performed. In Table 4 is represented
16 the model significance for each output, coupled with the corresponding lack of fit. A good
17 valid model must present a significant value for its model (p-value <0.05) and a non-
18 significant value for its lack of fit (p-value >0.05), thus suggesting the model data is
19 significant and it fits.³⁸ As observed in Table 4, all output models are significant and do
20 not present a significant lack of fit. Thus, it can be confirmed that a good and valid
21 statistical model was achieved for all outputs in both peptides.

22 ***Input interaction effects on nanoparticle size, zeta potential and CC.*** To evaluate the
23 main effects that the input factors present towards the outputs, a coded multiple regression
24 equation can be generated by Design-Expert software. In this equation, the value of each
25 factor (positive or negative) indicates a positive or negative effect in the response,
26 respectively. In Table 5 is presented the equation of each output for both peptide-based
27 systems, where A represents factor N/P ratio and factor B represents buffer pH. It is
28 generally perceivable that N/P ratio has a negative effect in size outputs for both peptides.
29 This is explained by the fact that to a higher N/P ratio corresponds an increased amount
30 of amine groups and, therefore, positive charges that enhance the electrostatic interaction
31 with pDNA phosphate groups. This seems to originate a higher degree of pDNA
32 condensation inside the peptides, thus resulting in complexes with smaller sizes.³⁹ On the
33 other hand, N/P ratio has a positive effect in both zeta potential and CC for RALA and

1 WRAP5 vectors. This behavior can be related to the increment in the amine groups, that
2 contribute to higher positive surface charge, thus increasing the zeta potential, and
3 enhance the complexation of negatively charged pDNA through electrostatic interaction
4 with the phosphate chain.³⁹ Moreover, buffer pH has a positive effect in size output, while
5 both zeta potential and CC are negatively affected by pH. These facts are most probably
6 related with the ionization profile exhibited by the constituent residues of the peptides.
7 Although still intriguing fact, it is well known that arginine has the remarkable ability to
8 keep its cationic charge in neutral, acidic and most basic environments.^{40,41} Several factors
9 can contribute for this unusual behavior, such as, the positive and delocalized charge of
10 guanidinium moiety along with its low hydration energy; the conformational flexibility
11 of arginine long side chain and its high intrinsic pKa value estimated to be ~ 13.8.⁴¹
12 Therefore, arginine can remain cationic even in the nonpolar hydrophobic core of a
13 peptide.⁴² Contrary situation is verified for other residues like lysine, leucine, histidine or
14 glutamic acid, as their charge can dramatically change with environmental pH. RALA
15 and WRAP5, as peptides rich in arginine residues, can benefit from the capacity of this
16 amino acid to be positively charged at most physiological conditions. However, the
17 variation of protonation trend with buffer pH of other residues in the peptide sequence
18 may also play a role, indeed a minor one but, certainly, not negligible. In general, as pH
19 increases less protonated the residues become and in some situations, depending on
20 internal positions into the peptide, the residues may shift their pKa values to neutral state.
21 Lysines, for instance, may present pKa values below 6.⁴³ In this work, we hypothesize
22 that the low protonation of residues than arginine conferred less cationic character to
23 peptides what weakens the interaction between RALA or WRAP5 with the negatively
24 charged pDNA. To support this assumption, the net charge of each peptide at different
25 pH values considered has been evaluated based on the calculation from different website
26 (Bachem, Peptide Calculator and Novoprolabs). The obtained data can be consulted in
27 Table S1 (available in the Supplementary Material). In general and for RALA, it indicates
28 a decrease in peptide net charge by increasing buffer pH. No differences with pH were
29 found for WRAP5. This in turn results in less compact nanoparticles with higher sizes.³²
30 Furthermore, the low protonation at high buffer pH leads to less positive charges, thus
31 decreasing the surface charge of the nanoparticles and, consequently, lowering zeta
32 potential values. The fact that less positive charges are available also weakens the
33 interaction with pDNA, thus affecting its complexation capacity. Additionally, we also
34 believe that variation in buffer pH can induce conformational changes in the peptides that

1 influence their interaction with pDNA phosphate groups, with direct consequences in the
2 properties exhibited by the resulting nano-complexes. A circular dichroism (CD) study
3 performed by McCarthy *et al.* on RALA peptide presents an increased α -helicity at a
4 lower pH.⁴⁴ Moreover, a CD experiment for WRAP5 at different pH values considered,
5 available in the Supplementary Material (Figure S1), shows a more pronounced helical
6 configuration at pH 7 compared to the one found at pH 6 or pH 8. The slight
7 conformational changes are characterized by an isodichroic point at 203.5 nm.

8 Furthermore, the multiple regression equations can be depicted by three-dimensional
9 surface plots for each output. The different color intensity represents the range for optimal
10 points, being the largest interaction identified by red. Likewise, the ellipticity obtained
11 in surface plots is indicative of the interaction order that occurs between the chosen
12 factors and the respective output.⁴⁵ As it is presented in Figure 2, all surface plots present
13 red areas and a very convex surface, thus suggesting all inputs have a strong interaction
14 towards each output. In addition, the downward-facing concavity indicates that N/P ratio
15 and pH factors have a negative effect on the size response, because the higher these inputs
16 the smaller the size of the nanoparticles, while the upward-facing concavity suggests a
17 positive effect of the inputs on the zeta potential and CC responses, as it was discussed
18 for the multiple regression equations (Table 5).

19 ***Outputs optimization and model validation.*** After validating statistical models and
20 understanding the effect each factor presents towards each input, an optimal point aiming
21 size minimization and zeta potential and CC maximization was calculated. Design-expert
22 software suggested the inputs combination of N/P ratio of 5 and buffer pH of 6.6 for
23 RALA nanoparticles optimization, while a N/P ratio of 3 with a buffer pH of 7.0 for
24 WRAP5. The predicted outputs for these optimal points as well as the respective
25 confidence interval (95%) are identified in Table 6. Both experiments were performed in
26 triplicate and the resulting outputs were validated according to the data expected by
27 Design-Expert software. For RALA peptide, optimal point provided a size of 183.8 nm,
28 a zeta potential of +32.7 mV and a CC of 92.7%. On the other hand, WRAP5 optimal
29 point demonstrated a size of 103 nm, a zeta potential of +33.57 mV and a CC of 89.5%.
30 Both optimal points were found to be within the confidence interval provided by the
31 Design-Expert software where the outputs are considered valid (Table 6). A comparison
32 between two peptide/pDNA systems mainly highlights the lower N/P ratio required for
33 WRAP5/pDNA vectors to achieve a lower size, positively high surface charges and a

1 pDNA CC around 90%. Following this, it seems that WRAP5 interacts more strongly
2 with pDNA causing its condensation in the presence of lower amine positive charges. The
3 WRAP5 tryptophan cluster, along with conformational changes in the presence of pDNA,
4 can contribute for this fact. To achieve similar pDNA condensation degree, an N/P ratio
5 of 5 is needed for RALA/pDNA carriers. At this N/P, higher sized nanoparticles are
6 formed but the zeta potential is comparable to the one obtained for the WRAP5/pDNA
7 optimal point, while the CC parameter is around 2% higher. Moreover, the pH range
8 within physiological conditions is appropriate to promote the formulation of both
9 peptide/pDNA vectors for possible gene delivery applications. If we had to choose a
10 delivery system for further studies on gene delivery, WRAP5/pDNA vectors may conquer
11 special attention. Based on their lower size, along with other favorable properties, these
12 carriers offer great potential for further research.

13 In general, through the use of experimental design the optimization of RALA-pDNA and
14 WRAP5-pDNA complexes was successfully achieved. The N/P ratios and buffer pH
15 factors revealed a strong influence in the chosen outputs. It was possible to understand
16 that different peptides present distinct outcomes due to its structural characteristics, as
17 different input ranges were necessary in order to fully take advantage of the design scope.

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22 **Conclusions**

23 The development of an adequate vector for gene therapy purposes is still a high demand
24 tool for advances in clinical cancer therapy. Peptide/pDNA based carriers are among the
25 most promising and suitable nano-platforms to operate therapeutically in this field. To
26 further explore their performance as gene delivery vehicles, in this work the optimization
27 of vector formulation step was successfully achieved through the use of experimental
28 design. The choice of buffer pH and N/P ratio as DoE inputs for the formulation of
29 peptide-pDNA complexes was proven fruitful, allowing the achievement of great
30 nanoparticle features for each peptide, such as, the vector size, zeta potential and pDNA
31 complexation capacity, with a small set of assays. The applied CCF models were
32 statistically significant (p -value < 0.05), fitted the data and were validated. The chosen
33 inputs presented strong interactions and significant influence towards each output. The

1 optimal point for RALA peptide allowed to formulate nanoparticles with size of 183.8
2 nm, zeta potential of +32.7 mV and CC of 92.7%. On the other hand, WRAP5 optimal
3 point demonstrated nanoparticles size of 103.0 nm, zeta potential of +33.6 mV and CC of
4 89.5%. Such accomplishment highlights the utility of experimental design tools in the
5 fast and efficient optimization of the peptide/pDNA vectors formulation, what may
6 greatly contribute for deeper research on the development of efficient gene delivery
7 systems.

8

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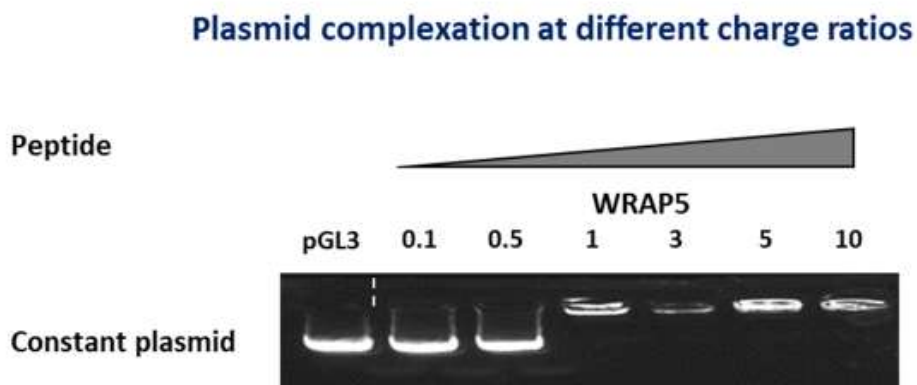
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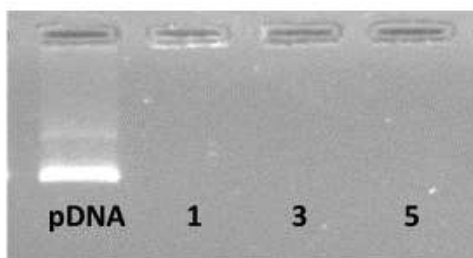
1 **Figures**

A

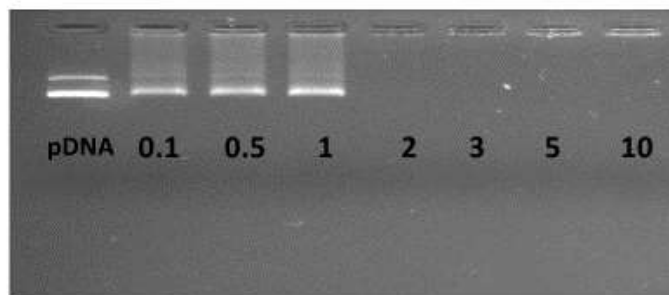


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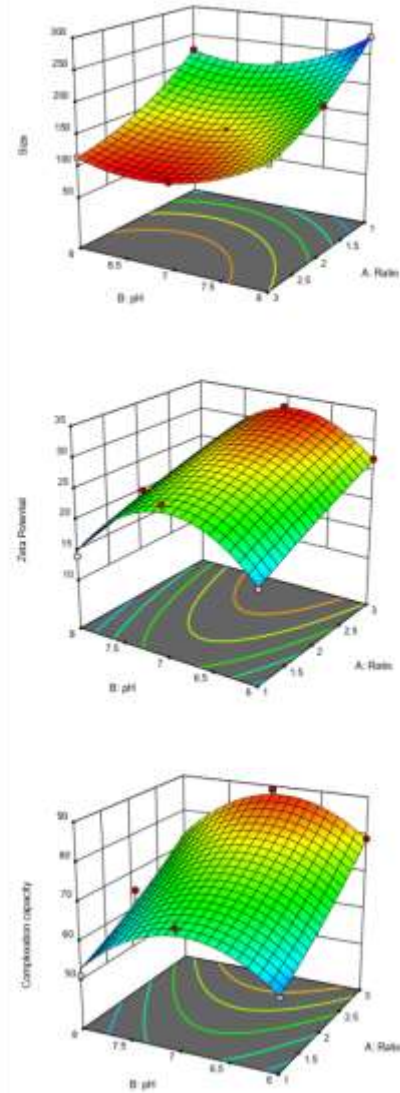
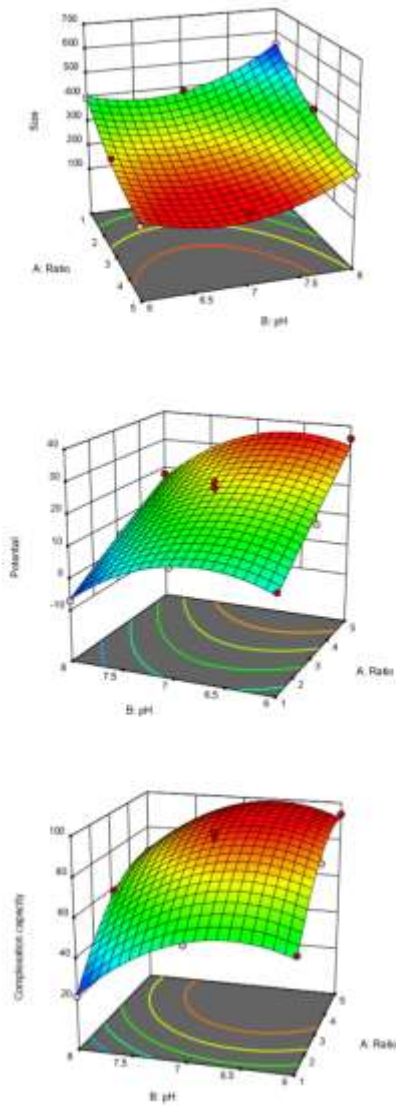


C



3

4 Figure 1. Analysis of peptide/pDNA complexation behaviour through agarose gel
5 electrophoresis for WRAP5/pGL3 (A), WRAP5/p53 (B) and RALA/p53 (C) at several
6 N/P ratios (indicated in each figure). The samples were loaded at the application site at
7 the upper end of the image and the lower end is the cathodic end.



1

2 Figure 2. Surface plots of size (A), zeta potential (B) and complexation capacity (C)
 3 responses for RALA peptide and size (D), zeta potential (E) and complexation capacity
 4 (F) responses for WRAP5 peptide.

5

1 Table 1 – Three-level CCF design used throughout this study.

| Number of Experiments | N/P ratio | Buffer pH |
|-----------------------|-----------|-----------|
| 1 | 0.000 | 0.000 |
| 2 | -1.000 | 1.000 |
| 3 | 0.000 | -1.000 |
| 4 | 1.000 | 1.000 |
| 5 | 0.000 | 1.000 |
| 6 | 1.000 | 0.000 |
| 7 | -1.000 | 0.000 |
| 8 | -1.000 | -1.000 |
| 9 | 0.000 | 0.000 |
| 10 | 1.000 | -1.000 |
| 11 | 0.000 | 0.000 |

2

3

1 Table 2 – RALA and WRAP5 central composite design matrix and response values for
 2 nanoparticle size and zeta potential determined by DLS, and complexation capacity (CC).

| Number of Runs | RALA | | | | | WRAP5 | | | | |
|----------------|------|-----------|-----------|---------------------|--------|-------|-----------|-----------|---------------------|--------|
| | N/P | Buffer pH | Size (nm) | Zeta Potential (mV) | CC (%) | N/P | Buffer pH | Size (nm) | Zeta Potential (mV) | CC (%) |
| 1 | 5 | 8 | 271 | 18 | 67 | 2 | 7 | 141 | 29 | 73 |
| 2 | 3 | 7 | 203 | 26 | 86 | 1 | 8 | 279 | 14 | 51 |
| 3 | 5 | 6 | 183 | 36 | 94 | 2 | 6 | 158 | 23 | 69 |
| 4 | 3 | 7 | 220 | 24 | 90 | 3 | 8 | 157 | 21 | 72 |
| 5 | 3 | 6 | 287 | 16 | 81 | 2 | 8 | 202 | 20 | 65 |
| 6 | 3 | 7 | 223 | 20 | 93 | 3 | 7 | 102 | 33 | 89 |
| 7 | 3 | 8 | 394 | 5 | 59 | 1 | 7 | 216 | 26 | 68 |
| 8 | 1 | 6 | 401 | 5 | 52 | 1 | 6 | 225 | 17 | 56 |
| 9 | 1 | 8 | 554 | -7 | 21 | 2 | 7 | 141 | 29 | 75 |
| 10 | 1 | 7 | 389 | 8 | 52 | 3 | 6 | 116 | 27 | 79 |
| 11 | 5 | 7 | 178 | 31 | 95 | 2 | 7 | 140 | 28 | 75 |

3

4

1 Table 3 – Statistical coefficients of RALA and WRAP5 models. CC-Complexation
 2 Capacity.
 3

| Output | RALA | | | | WRAP5 | | | |
|----------------|----------------|-------------------------|--------------------------|----------------|----------------|-------------------------|--------------------------|----------------|
| | R ² | Adjusted R ² | Predicted R ² | Adeq Precision | R ² | Adjusted R ² | Predicted R ² | Adeq Precision |
| Size | 0.9802 | 0.9605 | 0.8592 | 23.1927 | 0.9994 | 0.9989 | 0.9957 | 135.0557 |
| Zeta Potential | 0.9649 | 0.9297 | 0.7869 | 16.4130 | 0.9814 | 0.9582 | 0.7859 | 18.5120 |
| CC | 0.9902 | 0.9805 | 0.9443 | 30.6801 | 0.9741 | 0.9418 | 0.7630 | 16.9626 |

4

1 Table 4 – ANOVA analysis for RALA and WRAP5. P-value < 0.05 is considered significant. CC-Complexation Capacity.

| RALA | | | | | | | WRAP5 | | | | | | |
|----------------|-------------|----------------|----|-------------|---------|---------|----------------|-------------|----------------|----|-------------|---------|----------|
| Output | Source | Sum of Squares | df | Mean Square | F-value | p-value | Output | Source | Sum of Squares | df | Mean Square | F-value | p-value |
| Size | Model | 1.400E+05 | 5 | 27994.09 | 49.57 | 0.0003 | Size | Model | 28460.51 | 5 | 5692.10 | 1775.38 | < 0.0001 |
| | Lack of Fit | 2591.05 | 3 | 863.68 | 7.42 | 0.1210 | | Lack of Fit | 15.36 | 3 | 5.12 | 15.36 | 0.0617 |
| Zeta Potential | Model | 1583.06 | 5 | 316.61 | 27.45 | 0.0012 | Zeta Potential | Model | 326.22 | 5 | 65.24 | 42.24 | 0.0015 |
| | Lack of Fit | 39.00 | 3 | 13.00 | 1.39 | 0.4438 | | Lack of Fit | 5.51 | 2 | 2.76 | 8.27 | 0.1079 |
| CC | Model | 5594.55 | 5 | 1118.91 | 101.56 | <0.0001 | CC | Model | 1061.91 | 5 | 212.38 | 30.14 | 0.0029 |
| | Lack of Fit | 30.42 | 3 | 10.14 | 0.8222 | 0.5896 | | Lack of Fit | 25.52 | 2 | 12.76 | 9.57 | 0.0946 |

2

3

- 1 Table 5 – Coded multiple regression equation for size, zeta-potential and complexation
 2 capacity (CC) of RALA and WRAP5. A – N/P Ratio; B – Buffer pH

| Output | RALA | WRAP5 |
|---------------------------|--|---|
| Size | +227.21 - 118.67 A + 58.00 B - 16.25 AB + 38.47 A ² + 95.47 B ² | +141.00 - 57.50 A + 23.17 B - 3.25 AB + 16.18A ² + 37.18 B ² |
| Zeta Potential | +22.00 + 13.17 A - 6.83 B - 1.50 AB - 0.5000 A ² - 9.50 B ² | +29.14 + 4.00 A - 1.89 B - 0.7500 AB - 0.3571 A ² - 8.68 B ² |
| CC | +88.68 + 21.83 A - 13.33 B + 1.00 AB - 13.71 A ² - 17.21 B ² | +75.43 + 10.83 A - 2.18 B - 0.5000 AB + 1.43 A ² - 11.54 B ² |

3

4

1 Table 6 – Predicted outputs for optimal point. CC-Complexation Capacity. CI-Confidence
 2 Interval.

| RALA | | | | WRAP5 | | | |
|-----------------------|-----------------------|----------------------------|-----------------------------|-----------------------|-----------------------|----------------------------|-----------------------------|
| Output | Predicted mean | 95% CI low for Mean | 95% CI high for Mean | Output | Predicted mean | 95% CI low for Mean | 95% CI high for Mean |
| Size | 145.59 | 102.34 | 188.85 | Size | 101.90 | 98.62 | 105.18 |
| Zeta Potential | 36.48 | 30.30 | 42.66 | Zeta Potential | 32.43 | 30.36 | 34.50 |
| CC | 98.99 | 92.95 | 105.03 | CC | 86.93 | 82.27 | 91.60 |

3