



Dear Author

Here are the proofs of your article.

- You can submit your corrections **online**, via **e-mail** or by **fax**.
- For **online** submission please insert your corrections in the online correction form. Always indicate the line number to which the correction refers.
- You can also insert your corrections in the proof PDF and **email** the annotated PDF.
- For **fax** submission, please ensure that your corrections are clearly legible. Use a fine black pen and write the correction in the margin, not too close to the edge of the page.
- Remember to note the **journal title**, **article number**, and **your name** when sending your response via e-mail or fax.
- **Check** the metadata sheet to make sure that the header information, especially author names and the corresponding affiliations are correctly shown.
- **Check** the questions that may have arisen during copy editing and insert your answers/corrections.
- **Check** that the text is complete and that all figures, tables and their legends are included. Also check the accuracy of special characters, equations, and electronic supplementary material if applicable. If necessary refer to the *Edited manuscript*.
- The publication of inaccurate data such as dosages and units can have serious consequences. Please take particular care that all such details are correct.
- Please **do not** make changes that involve only matters of style. We have generally introduced forms that follow the journal's style.
- Substantial changes in content, e.g., new results, corrected values, title and authorship are not allowed without the approval of the responsible editor. In such a case, please contact the Editorial Office and return his/her consent together with the proof.
- If we do not receive your corrections **within 48 hours**, we will send you a reminder.
- Your article will be published **Online First** approximately one week after receipt of your corrected proofs. This is the **official first publication** citable with the DOI. **Further changes are, therefore, not possible.**
- The **printed version** will follow in a forthcoming issue.

Please note

After online publication, subscribers (personal/institutional) to this journal will have access to the complete article via the DOI using the URL:

<http://dx.doi.org/10.1007/s13346-017-0390-7>

If you would like to know when your article has been published online, take advantage of our free alert service. For registration and further information, go to:

<http://www.link.springer.com>.

Due to the electronic nature of the procedure, the manuscript and the original figures will only be returned to you on special request. When you return your corrections, please inform us, if you would like to have these documents returned.

Metadata of the article that will be visualized in OnlineFirst

1	Article Title	Emulsion versus nanoemulsion: how much is the formulative shift critical for a cosmetic product?	
2	Article Sub- Title		
3	Article Copyright - Year	Controlled Release Society 2017 (This will be the copyright line in the final PDF)	
4	Journal Name	Drug Delivery and Translational Research	
5		Family Name	Casiraghi
6		Particle	
7		Given Name	Antonella
8	Corresponding Author	Suffix	
9		Organization	Università degli Studi di Milano
10		Division	Department of Pharmaceutical Sciences
11		Address	Via G. Colombo 71, Milan 20133
12		e-mail	antonella.casiraghi@unimi.it
13		Family Name	Musazzi
14		Particle	
15		Given Name	Umberto M.
16	Author	Suffix	
17		Organization	Università degli Studi di Milano
18		Division	Department of Pharmaceutical Sciences
19		Address	Via G. Colombo 71, Milan 20133
20		e-mail	
21		Family Name	Franzè
22		Particle	
23		Given Name	Silvia
24	Author	Suffix	
25		Organization	Università degli Studi di Milano
26		Division	Department of Pharmaceutical Sciences
27		Address	Via G. Colombo 71, Milan 20133
28		e-mail	
29	Author	Family Name	Minghetti
30		Particle	

31	Given Name	Paola
32	Suffix	
33	Organization	Università degli Studi di Milano
34	Division	Department of Pharmaceutical Sciences
35	Address	Via G. Colombo 71, Milan 20133
36	e-mail	
<hr/>		
37	Received	
38	Schedule	Revised
39		Accepted
<hr/>		
40	Abstract	<p>The use of nanoemulsions in cosmetic products has enlarged in the last decades because of several formulative advantages (e.g. the improved self-life stability, better texture properties). In addition, nanoemulsions seemed to improve the penetration of active ingredients through the human skin, comparing to conventional emulsion. In this contest, the risk of a higher systemic exposure of consumer to active ingredients, due to the ability of nanoemulsion to enhance permeation, results a critical attribute that should be evaluated for assuring the consumer safety. The aim of this work was the evaluation of how an oil-in-water (O/W) nanoemulsion can influence the in vitro skin permeation profiles of two model active ingredients with different polarity (i.e. caffeine and ethyl ximenynate). Preliminarily, since both selected molecules impact on the physical stability of nanoemulsion, formulative studies were carried out to identify the most stable formulation to perform in vitro permeation studies. The overall results demonstrated that nanoemulsions can significantly influence the permeation profiles of molecules as a function of their physicochemical properties. In particular, O/W nanoemulsions can significantly improve the permeation profiles of apolar active ingredients in comparison to conventional emulsions, whereas no differences were observable for polar molecules. Considering such findings, it is worth observing that there is room for reconsidering the risk assessment of nanoemulsion-based cosmetic products.</p>
<hr/>		
41	Keywords separated by ' - '	Nanoemulsion - Cosmetic - Risk assessment - Caffeine - Ethyl ximenynate
<hr/>		
42	Foot note information	The online version of this article (doi:10.1007/s13346-017-0390-7) contains supplementary material, which is available to authorized users.

Electronic supplementary material

ESM 1

(DOCX 16 kb).

Emulsion versus nanoemulsion: how much is the formulative shift critical for a cosmetic product?

Umberto M. Musazzi¹ · Silvia Franzè¹ · Paola Minghetti¹ · Antonella Casiraghi¹

© Controlled Release Society 2017

Abstract The use of nanoemulsions in cosmetic products has enlarged in the last decades because of several formulative advantages (e.g. the improved self-life stability, better texture properties). In addition, nanoemulsions seemed to improve the penetration of active ingredients through the human skin, comparing to conventional emulsion. In this contest, the risk of a higher systemic exposure of consumer to active ingredients, due to the ability of nanoemulsion to enhance permeation, results a critical attribute that should be evaluated for assuring the consumer safety. The aim of this work was the evaluation of how an oil-in-water (O/W) nanoemulsion can influence the in vitro skin permeation profiles of two model active ingredients with different polarity (i.e. caffeine and ethyl ximenynate). Preliminarily, since both selected molecules impact on the physical stability of nanoemulsion, formulative studies were carried out to identify the most stable formulation to perform in vitro permeation studies. The overall results demonstrated that nanoemulsions can significantly influence the permeation profiles of molecules as a function of their physicochemical properties. In particular, O/W nanoemulsions can significantly improve the permeation profiles of apolar active ingredients in comparison to conventional emulsions, whereas no differences were observable for polar molecules. Considering such findings, it is worth observing that there is room for reconsidering the risk assessment of nanoemulsion-based cosmetic products.

Electronic supplementary material The online version of this article (doi:10.1007/s13346-017-0390-7) contains supplementary material, which is available to authorized users.

✉ Antonella Casiraghi
antonella.casiraghi@unimi.it

¹ Department of Pharmaceutical Sciences, Università degli Studi di Milano, Via G. Colombo 71, 20133 Milan, Italy

Keywords Nanoemulsion · Cosmetic · Risk assessment · Caffeine · Ethyl ximenynate 36 37

Introduction 38

Nanoemulsions are emulsions with uniform and extremely small droplets with size in the range of 20–200 nm [1, 2], whereas classical emulsions are characterized by a coarse droplet size which can reach 1 μm. Nanoemulsions appear transparent or translucent with a bluish Tyndall effect, which is light scattering phenomenon commonly observed in all colloidal dispersions. In comparison to conventional emulsions, the nanosize droplets are more kinetic stable, resulting in a lower tendency of nanoemulsions to creaming, sedimentation, flocculation or coalescence [2, 3]. However, since they are non-equilibrium systems, nanoemulsions are usually obtained mechanically using both high-energy input (e.g. high-shear stirring, high-pressure homogenizers or ultrasound generators) or low-energy emulsification methods, such as the phase inversion temperature (PIT) method [2, 4].

Considering the technological advantages and the availability of scalable manufacturing methods, the application of nanoemulsions in food, cosmetic and pharmaceutical fields has been increased in the last decades [5–8]. For example, nanoemulsions have been used in the manufacturing of several cosmetic products intended to be applied on the skin, because of the higher physical stability during shelf-life and the enhanced texture properties of the final product.

Despite their nanosize dimension, this type of emulsions is not univocally considered as “nanomaterial” by a regulatory point of view [9]. Indeed, if they fulfil the nanomaterial definition given by FDA [10], they are not according to the Regulatory Framework on cosmetic products currently enforced in the European Economic Area (EEA). Regulation

68 (EC) No 1223/2009 defines a nanomaterial as “an insoluble or
69 biopersistent and intentionally manufactured material with
70 one or more external dimensions, or an internal structure, on
71 the scale from 1 to 100 nm”, excluding de facto all other
72 nanoscale soluble systems such as nanoemulsions [11].
73 Considering also that the regulatory requirements for cos-
74 metics containing nanomaterials are more stringent than for
75 conventional products [12], the different regulatory interpre-
76 tation between the Atlantic Ocean shores can significantly
77 influence the way in which manufacturers conduct the risk
78 assessment of nanoemulsion-based cosmetic products. Such
79 findings are more critical for cosmetic products intended to be
80 commercialized both in the USA and EEA.

81 From a toxicological point of view, nanoemulsion and con-
82 ventional emulsion are generally superimposable.
83 Nevertheless, risk concerning the skin permeation pattern of
84 active ingredients should be considered since it has been dem-
85 onstrated that nanoemulsion could enhance their permeation
86 profiles [5, 13]. In general, cosmetic ingredients can penetrate
87 the upper layer of human skin, but they must not permeate
88 in-depth through human skin. Therefore, the risk that their
89 permeation profile could be enhanced by using a
90 nanoemulsion should be considered as a critical attribute for
91 assuring the consumer safety.

92 The aim of this work was to evaluate how much the use of
93 an oil-in-water (O/W) nanoemulsion in place of a convention-
94 al emulsion can influence the skin permeation of two model
95 active ingredients with different polarity (i.e. caffeine and eth-
96 yl ximenynate). Caffeine (CAF) was generally used in
97 anti-cellulite and anti-ageing products [14], whereas ethyl
98 ximenynate (EXM) is a microcirculation improver. Starting
99 from previous published studies [15] and preliminary results,
100 the oil phase composition and percentages of active ingredi-
101 ents in the nanoemulsion were also investigated as well as the
102 need to add a secondary emulsifier to improve the stability of
103 the system. The performances of CAF- or EXM-loaded
104 nanoemulsions and conventional emulsions were compared
105 in terms of the in vitro skin permeation study and retained
106 amounts using modified Franz-type diffusion cell and human
107 epidermis, as a membrane.

108 **Materials and methods**

109 **Materials**

110 Each component is used in the study was here reported by
111 using the INCI name in agreement with the conventional no-
112 menclature for cosmetic-grade ingredients. CAF was pur-
113 chased by A.C.E.F. S.p.A. (I). Ethyl Ximenynate (EXM)
114 was supplied by Indena S.p.A. (I). The dicaprylyl ether (DE)
115 and lauryl-glucoside (LG) were purchased by Cognis Italy (I).
116 Ethylhexyl isononanoate (EI) was supplied by Prodotti Gianni

(I). The commercial mixture of PPG-26-Buteth-26 and 117
PEG-40 hydrogenated castor oil was supplied by Res 118
Pharma (I). Polysorbate 20 was supplied by Bregaglio (I). 119
Phenoxyethanol, methylparaben, buthylparaben, 120
ethylparaben, propylparaben and the potassium lauroyl wheat 121
amino acid (and) palm glycerides (and) capryloyl glycine 122
(NANOCREAM®) were kindly gifted by Sinerga S.p.A. (I). 123
All other reagents and solvents were purchased from 124
Sigma-Aldrich S.R.L. (I) and used without further 125
purification. 126

127 **Preparation of viscous yellowish gel-like structure**

128 The emulsifier (i.e. potassium lauroyl wheat amino acids (and) 128
palm glycerides (and) capryloyl glycine) was added in ratio 129
1:1 with respect to oil phase (EI 8% w/w; DE 2% w/w). 130
Mixtures were maintained in constant stirring by a blade im- 131
peller (150–250 rpm) for 10–12 min to obtain a uniform and 132
completely homogeneous oil phase (phase A). On the other 133
side, water was weighted (phase B). The preservative system 134
[i.e. phenoxyethanol, methylparaben, buthylparaben, 135
ethylparaben, propylparaben] was also added at 1% w/w. 136
After heating both phases at about 70–75 °C, small aliquots 137
of phase B were added step by step to phase A under moderate 138
stirring. A viscous gel-like structure of yellow colour was 139
obtained. The mixture was cooled down to room temperature 140
under stirring. When the active ingredients were added, CAF 141
were loaded in concentrations of 0.4% w/w and phase B, while 142
EXM was 0.8% w/w in phase A. Percentages referred to final 143
formulation. CAF or EXM were added before proceeding in 144
the preparation of viscous yellowish gel. Percentages referred 145
to final formulation. 146

147 **Preparation of nanoemulsion**

148 Phase A and phase B used for the preparation of 148
nanoemulsion were made as previously described for viscous 149
yellowish gel-like structure. Different ratio of EI and DE were 150
used as oil phase as reported in Table 1. The emulsifier [i.e. 151
potassium lauroyl wheat amino acids (and) palm glycerides 152
(and) capryloyl glycine] was then added in ratio 1:1 with re- 153
spect to oil phase. Mixtures were maintained in constant stir- 154
ring by a blade impeller (150–250 rpm) for 10–12 min to 155
obtain a uniform and completely homogeneous oil phase 156
(phase A). On the other side, water was weighted 157
(phase B) and preservative system (i.e., phenoxyethanol, 158
methylparaben, buthylparaben, ethylparaben, propylparaben) 159
was added at 1% w/w. Phase A and an aliquot of phase B 160
(about 30% w/w) were, then, heated at 70–75 °C and mixed 161
to reach the gel-like structure, then, phase B was further added 162
until its concentration reached about 70% w/w. During the 163
addition, the mixture colour turned from yellowish to bluish 164
Tyndall, indicating the formation of the nanoemulsion (F₁–F₆, 165

Table 1 Composition of blank and CAF- and EXM-loaded nanoemulsions and their physical stability over 3 months at three different storage conditions (i.e. room temperature 40 and 50 °C). During stability studies, the nanoemulsions were visually inspected and their physical aspect was classified using the following alphabetic scale (A–C): A, no physical alterations of nanoemulsion; B, minor physical alterations of nanoemulsion aspect (e.g. increased opalescence or whitening) and C, major physical alterations (i.e. phase separation) of nanoemulsion. If physical aspect of a formulation was B and C, the nanoemulsion was considered instable and discarded

t1.1	Form	EI/DE (% w/w)	CAF (% w/w)	EXM (% w/w)	LG (% w/w)	Time 0			Room temperature			40 °C			50 °C			
						1st month	2nd month	3rd month	1st month	2nd month	3rd month	1st month	2nd month	3rd month	1st month	2nd month	3rd month	
t1.4	F ₁	10:0	—	—	—	A	A	A	A	A	A	A	A	A	A	A	A	A
t1.5	F ₂	8:2	—	—	—	A	A	A	A	A	A	A	A	A	A	A	A	A
t1.6	F ₃	6:4	—	—	—	A	B	B	A	A	A	A	A	A	A	A	A	A
t1.7	F ₄	4:6	—	—	—	A	A	A	A	A	A	A	A	A	A	A	A	A
t1.8	F ₅	2:8	—	—	—	A	A	A	A	A	A	A	A	A	A	A	A	A
t1.9	F ₆	0:10	—	—	—	A	A	A	A	A	A	A	A	A	A	A	A	A
t1.10	F ₇	8:2	0.4	—	—	A	B	B	A	A	A	A	A	A	A	A	A	A
t1.11	F ₈	8:2	0.8	—	—	A	B	B	B	B	B	B	B	B	B	B	B	B
t1.12	F ₉	8:2	1.4	—	—	A	B	B	B	B	B	B	B	B	B	B	B	B
t1.13	F ₁₀	8:2	2.0	—	—	A	A	A	A	A	A	A	A	A	A	A	A	A
t1.14	F ₁₁	8:2	—	0.8	—	A	A	A	A	A	A	A	A	A	A	A	A	A
t1.15	F ₁₂	8:2	—	1.4	—	A	A	A	A	A	A	A	A	A	A	A	A	A
t1.16	F ₁₃	8:2	—	2.0	—	A	A	A	A	A	A	A	A	A	A	A	A	A
t1.17	F ₁₄	8:2	0.4	—	1.5	A	B	B	A	A	A	A	A	A	A	A	A	A
t1.18	F ₁₅	8:2	—	0.8	1.5	A	B	B	A	A	A	A	A	A	A	A	A	A

n.d. not determined

Table 1). Blank nanoemulsion F₂ were selected as vehicle to load CAF (F₇–F₁₀) and EXM (F₁₁–F₁₃). As previously reported for the gel-like structure, EXM was added in phase A, whereas CAF was added in phase B. The nanoemulsions F₁₄ and F₁₅ were made adding 1.5% w/w of LG to F₇, F₁₁, respectively. Percentages referred to final formulation.

Preparation of emulsion

To prepare the conventional emulsion, the emulsifier system was prepared mixing Polysorbate 20 (3% w/w) to a commercial mixture of PPG-26-buteth-26 and PEG-40 hydrogenated castor oil (3% w/w). The ratio of EI and DE was fixed at 8:2. The lipophilic components (i.e. EI, DE, emulsifier system) and the preservative were heated at 70–75 °C and, then, were added to an aqueous solution containing the hydrophilic components (i.e. active ingredients) heated at the same temperature under vigorously stirring. The preservative system (i.e. phenoxyethanol, methylparaben, buthylparaben, ethylparaben, propylparaben) was added at 1% w/w. The emulsion was cooled down to room temperature under continuous stirring. Final ratio water/oil was 70/30. 0.8% w/w EXM was added in phase A, whereas 0.4% w/w CAF was added in phase B. Percentages referred to final formulation.

Nanodroplet dimension measurements

Measurements of nano-droplet dimension were performed at 23 °C using a NICOMP380/dynamic light scattering (DLS; Particle Sizing System, USA). For each formulation, 1 mL was loaded in a cylindric cuvette and directly analysed by DLS. For the elaboration of raw scattering signal, 0.933 cP of the water viscosity at 23 °C and 1.333 of diffraction index were used as parameter.

Stability study

The stability of the nanoemulsions at room temperature (RT), 40 and 50 °C was checked each month over a period of 3 months by visual inspection, comparing the aspect of nanoemulsion with photograph taken at the preparation time.

In vitro human skin permeation study

The permeation study was performed by modified Franz's cell system (self-made apparatus) with a diffusion area of 0.785 cm² and a receptor volume of about 6 mL.

The in vitro permeation and retention studies were performed using human epidermis (HE) as a membrane. The HE originated from the abdominal skin of a single donor who underwent cosmetic surgery. Briefly, the full-thickness

211 skin was sealed in evacuated plastic bags and stored within 6 h
 212 after removal, and HE samples were prepared following an
 213 internal standard procedure [16]. In particular, the skin was
 214 thawed at room temperature, and the excess of fat was care-
 215 fully removed. The skin sections were cut into squares of
 216 about 4.0 cm² and after immersion in water at 60 °C for
 217 1 min; the HE was gently separated from the remaining tissue
 218 with forceps. Then, the HE was frozen at -20 °C until use. All
 219 the HE samples used in the in vitro permeation studies were
 220 stored in fridge for not more than 1 month.

221 Prior to experiments, HE sample was visually
 222 checked to avoid damaged samples. Adequate samples
 223 were hydrated in 0.9% w/v NaCl solution for 1 h. Then,
 224 the sample was mounted on the Franz diffusion cells,
 225 whose receptor compartments were filled with degassed
 226 pH 7.4 phosphate buffer saline solution for CAF or with
 227 ethanol/water solution (50/50% v/v) for EXM. Special
 228 care was given to avoid air bubbles between the buffer
 229 and the membrane in the receptor compartment. The
 230 upper and lower parts of the Franz cell were sealed
 231 with Parafilm® and fastened together by means of a
 232 clamp. The system was kept at 37 °C with a circulating
 233 water bath, so that the membrane surface temperature
 234 was at 32 ± 1 °C throughout the experiment. At the
 235 beginning of experiment, 1 mL of nanoemulsion,
 236 gel-like structure and emulsion containing either CAF
 237 or EXM were loaded in donor compartments. At
 238 predetermined times, 200 µL samples were withdrawn
 239 from the receiver compartment and analysed in HPLC.
 240 The withdrawn aliquot was replaced with the same vol-
 241 ume of fresh receiver medium. Sink conditions were
 242 maintained throughout the experiments. The results were
 243 expressed as the average of parallel experiments per-
 244 formed in triplicate. The cumulative amount permeated
 245 through the human epidermis per unit area (Q_p) was
 246 calculated from the drug concentration in the receiving
 247 medium and plotted as a function of time. The steady
 248 state flux (J) was determined as the slope of the linear
 249 portion of the plot.

250 **Drug retention study**

251 At the end of permeation experiment, HE samples were re-
 252 moved from the Franz diffusion cells. Any residue on the
 253 surface of the skin was removed using a cotton tip applicator
 254 and each HE membrane was then carefully rinsed with 5 mL
 255 methanol. The skin samples were then cut into small pieces
 256 and placed in 10 mL of methanol. The suspension was soni-
 257 cated for 30 min, soaked for 24 h at 4 °C, and then filtered.
 258 The concentrations of CAF or EXM were assayed by the
 259 HPLC method reported below. The retained amount into the
 260 human epidermis (Q_R) was expressed as micrograms per unit
 261 of area.

Quantitative determination of caffeine and ethyl ximenynate 262 263

The concentrations of CAF and EXM in the medium were 264 determined by a HPLC method (HP 1100, ChemStations, 265 Hewlett Packard, USA). The following analytical conditions 266 were adopted. 267

Caffeine The CAF separation was performed at 25 °C using a 268 Spherisorb 3 µm ODS2 (Waters S.p.A., USA) and acetoni- 269 trile/0.05 M acetic acid (75:35 v/v) as mobile phase. The flow 270 rate was set at 1.0 mL/min and the injection volume at 20 µL. 271 The drug concentration was determined at 275 nm from two 272 standard curves (0.01–10 µg/mL; 10–100 µg/mL). 273

Ethyl ximenynate the EXM separation was performed at 25 ° 274 C using a Spherisorb 5 µm ODS2 (Waters S.p.A., USA) and 275 acetonitrile/water acidified with 0.3% phosphoric acid 85% 276 (90:10) as mobile phase. The flow rate was set at 1.2 mL/ 277 min and the injection volume at 10 µL. The drug concentra- 278 tion was determined at 215 nm from two standard curves 279 (0.01–10 µg/mL; 10–100 µg/mL). 280

Statistical analysis 281

Dixon's tests were performed on the obtained results to iden- 282 tify outliers, using a value of 0.970 as confidence level at 283 90% [17]. The statistical difference in performances of the 284 formulations samples were at each sampling point by *T* test 285 (Excel 2016, Microsoft, USA). The level of significance was 286 taken as *p* < 0.05. 287

Results 288

Preparation and stability of nanoemulsions and gel-like structure 289 290

O/W nanoemulsions containing ethylhexyl isononanoate (EI) 291 and dicaprylyl ether (DE), as oily phase, and a blend of natural 292 derived surfactants, potassium lauroyl wheat amino acids, 293 palm glycerides and capryloyl glycine (Nanocream®), as 294 nanoemulsifier were prepared [18]. The emulsifier appears 295 like a semi-consistent yellow gel, with a characteristic odour 296 and pH value between 6.5 and 7.5; it is a non-irritant blend and 297 it is compatible with oils having a branched-structure on the 298 carbonic chain and a limited steric volume (e.g. iso-stearate, 299 ethyl isononanoate or iso-hexadecane). The ratio oil phase/ 300 nanoemulsifier was set 1:1 w/w, according to previous evi- 301 dences [15]. Rheological measurements (data not shown) 302 demonstrated that oil phase/nanoemulsifier system could in- 303 corporate low amounts of water (<25–30%) without altering 304 its gel-like structure. DLS analyses did not evidence any 305

306 droplet formation inside this structure. On the contrary, a fluid
307 O/W nanoemulsion was obtained when the water concentra-
308 tion reaches 70% (w/w), regardless of the oil phase
309 composition.

310 All prepared blank nanoemulsions had a low viscosity as
311 they easily flowed (data not shown). They appeared clear or
312 opalescent after preparation (Table 1), and DLS analyses con-
313 firmed that droplet dimensions ranged from 30 to 50 nm. The
314 higher DE concentration increased, the higher clearness of
315 system.

316 The stability studies demonstrated that almost all blank
317 formulations (F₁–F₆) remained stable over 3 months both at
318 RT and at 40 °C, whereas phase separation (e.g. creaming)
319 was observed at 50 °C (Table 1). The visual aspect of some
320 formulations proceeded from the clearness towards the opal-
321 escence to reach, in case of instability, the whitening and then
322 creaming, but it could also happen that from an opaque system
323 they went back to a transparent one. According to the stability
324 data reported in Table 1, best results were obtained with the
325 ratio EI/DE fixed at 8/2, 4/6 and 2/8.

326 The addition of CAF or EXM significantly affected the
327 physical properties and the stability of all the nanoemulsions
328 (Table 1, Table A1). When different concentrations of CAF
329 and EXM were added to the formula, at high temperature
330 nanoemulsions made with the EI/DE 2/8 and 4/6 resulted
331 unstable within 1 month after the preparation (Table A1). On
332 the contrary, when EI/DE was fixed at 8/2, the nanoemulsions
333 containing 0.4% w/w CAF (F₇) were clear and stable for a
334 longer period, whereas the higher CAF concentration (i.e.
335 0.8–2.0% w/w, F₈–F₁₀) resulted quickly unstable at elevated
336 temperatures (Table 1). The DLS analyses highlighted signif-
337 icant variation in droplet dimension: if droplet dimension of
338 0.8% w/w CAF nanoemulsion (i.e. 38 nm) resulted superim-
339 posable to blank formulation immediately after preparation,
340 after 3 months at room temperature three different droplet
341 populations were observable (range: 12–601 nm). Such find-
342 ings were confirmed by visual observation: instability ap-
343 peared as a separation phase characterized by a white cream
344 at the top of the sample, while at the bottom the system

345 remained transparent. On the contrary, the samples containing 345
346 0.8% (F₁₁) and 1.4% (F₁₂) w/w EXM were homogeneous for a 346
347 longer period of time with respect to those with CAF, even if 347
348 DLS analyses highlighted the presence of a 338-nm popula- 348
349 tion of droplets. A 2% w/w EXM (F₁₃) formulation resulted 349
350 unstable also at RT. Differences were observed at 50 °C; sep- 350
351 aration phase was observed after 1 month in the case of 1.4% 351
352 w/w. Therefore, to improve the stability of formulations F₇ and 352
353 F₁₁, LG, a non-ionic mild surfactant, was added. A mixture of 353
354 lauryl glucoside and sodium lauryl glucose carboxylate com- 354
355 bined to a polymeric stabilizer is commonly used in emulsion 355
356 formulations to improve stability [19]. 356

357 All gel-like structures were stable at each condition of time 357
358 and temperature, except for CAF 0.8 w/w. In this case, at room 358
359 temperature the active precipitated as needle-like particles, 359
360 due to achievement of the solubility limit. 360

In vitro permeation studies 361

362 In vitro permeation studies were carried out comparing per- 362
363 formances of nanoemulsions F₁₄ and F₁₅ (Table 1) with those 363
364 of emulsions and gel-like structures containing CAF (0.4%, w/ 364
365 w) or EXM (0.8%, w/w). As shown in Table 2, both model 365
366 drugs were able to penetrate significantly the *stratum corneum* 366
367 and to permeate through the human epidermis. However, the 367
368 permeated and retained percentage were lower than 2% of 368
369 both CAF and EXM in the case of nanoemulsions. The per- 369
370 meation profiles of EXM-loaded emulsion resulted negligible, 370
371 whereas those obtained by nanoemulsion were significantly 371
372 higher after 24 h (*p* value <0.05). On the other side, the results 372
373 obtained by using the CAF-loaded emulsion was comparable 373
374 to that of the nanoemulsion F₁₄. Q_R were not statistically dif- 374
375 ferent (*p* value >0.05). 375

376 The gel-like structures permitted to increase Q_P independ- 376
377 ently of the considered model drug. Indeed, the Q_{P,24} value 377
378 for CAF was 12.6 ± 7.2% of drug loading. It was over ten 378
379 times higher than those of nanoemulsion and coarse emulsion 379
380 (*p* value <0.05), whereas the Q_R values were only slightly 380

t2.1 **Table 2** Permeation and
t2.2 retention parameters obtained by
in vitro permeation studies carried
out using nanoemulsions (F₁₄,
t2.3 F₁₅), emulsions and gel-like
t2.4 structures containing CAF (0.4%
t2.5 w/w) or EXM (0.8% w/w)
t2.6
t2.7
t2.8
t2.9
t2.10

Formulation	Q _{P,24} (µg/cm ²)	J (µg/cm ² /h)	Q _R (µg/cm ²)
Caffeine			
Nanoemulsion (F ₁₄)	47.02 ± 28.91 (0.5%)	2.44 ± 1.53	84.18 ± 32.01 (0.8%)
Emulsion	36.05 ± 10.75 (0.3%)	1.74 ± 0.58	145.71 ± 102.98 (1.3%)
Gel-like structure	777.25 ± 290.40 (12.6%)*	42.60 ± 22.61*	242.37 ± 82.24 (2.2%)*
Ethyl ximenynate			
Nanoemulsion (F ₁₅)	19.88 ± 13.07*	0.51 ± 0.11	139.29 ± 87.57 (1.1%)
Emulsion	0.00 ± 0.00	0.00 ± 0.00	63.66 ± 33.40 (0.6%)
Gel-like structure	41.13 ± 22.28*	1.62 ± 1.05	54.82 ± 29.01 (0.8%)

**p* value <0.05 with respect to control (i.e. emulsion)

381 increased. For EXM, $Q_{P,24}$ value was $4.1 \pm 1.3\%$ of drug
 382 loading.

383 **Discussion**

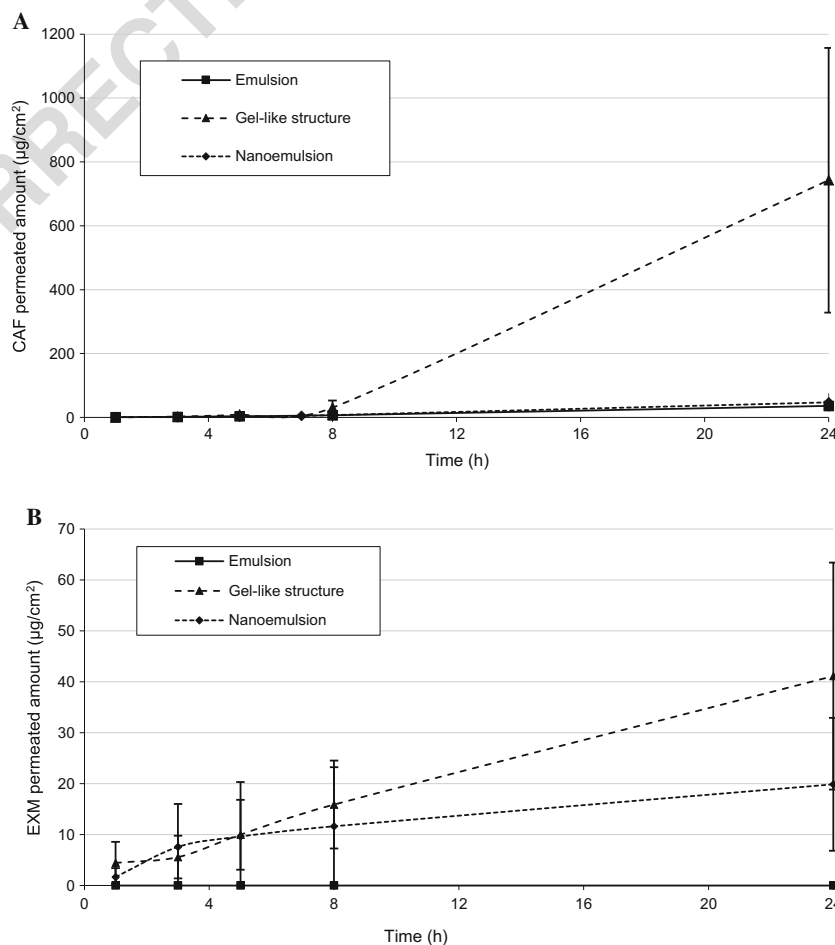
384 The current manuscript showed whether and to what extent
 385 the permeation profiles of CAF or EXM were modified when
 386 loaded in nanoemulsions. The performance of nanoemulsions
 387 in terms of permeation profile of CAF or EXM were tested
 388 using as reference a coarse emulsion. Moreover, the impact on
 389 permeation profiles of the different organization of the
 390 semi-solid structure due to a reduced water phase was also
 391 evaluated using the viscous gel-like structures. As shown in
 392 Table 1 and Table 2, the loading of CAF or EXM in this
 393 nanoemulsion system has significantly modified its stability
 394 and permeation parameters of the actives, but the enhance-
 395 ment effect of nanoemulsion in comparison to coarse emul-
 396 sion varies according to the polarity of the tested molecule.

397 Based on the results obtained by using CAF, the perme-
 398 ation and retention pattern of polar molecules seemed to not
 399 vary between nano- or conventional emulsions (Fig. 1a). The

400 obtained permeation fluxes (J) also resulted in agreement with
 401 previously published data obtained with CAF aqueous solu-
 402 tions [20], suggesting that both formulations did not alter the
 403 CAF permeation profile. On the contrary, the J value was
 404 significantly increased when viscous gel-like structure was
 405 used as vehicle (Table 2). Considering the lower water con-
 406 centration of this formulation with respect to the
 407 nanoemulsion (i.e. 30 vs 70%), such enhancement effect
 408 may be caused by the higher thermodynamic activity of
 409 CAF inside the gel-like structure [21]; higher occlusive prop-
 410 erties could also influence this result [22]. The closeness to
 411 maximum solubility of CAF is evidenced by preliminary sta-
 412 bility studies. Indeed, in CAF-loaded gel-like structures the
 413 drug crystal precipitation occurred when its concentration ap-
 414 proaches 0.8% w/w, while no CAF precipitation was observed
 415 in the case of nanoemulsion till 2% w/w.

416 When nanoemulsion was loaded with an apolar molecule
 417 (e.g. EXM), a significant enhancement effect on the perme-
 418 ation profile is observable (Fig. 1b). While the permeation
 419 profile of EXM was negligible for the conventional emulsion,
 420 the nanoemulsion and gel-like structure resulted in compar-
 421 able Q_P - and J values. Between the two formulations, no

Fig. 1 In vitro permeation studies of CAF (a) and EXM (b) through human epidermis using different semisolid vehicles (CAF 0.4% w/w; EXM 0.8% w/w). The results showed the impact of vehicle selection on the permeation profiles both active ingredients. The selected semisolid vehicles are emulsion (solid line), gel-like structure (dashed line) and nanoemulsions profile (dotted line) (mean \pm St. dev.; $n = 3$)



422 significant differences in terms of permeation parameters were
 423 observed, despite LG was added only in the nanoemulsion.
 424 The addition of LG, a secondary emulsifying agent, was need-
 425 ed for obtaining an acceptable stability of nanoemulsion dur-
 426 ing times, especially when CAF and EXM were loaded. LG
 427 was selected with respect to previous experiences as
 428 nanoemulsion stabilizer, being quite common this need.
 429 Even if release from an emulsion and human skin permeability
 430 of active ingredients could be affected by the type of emulsi-
 431 fier [23], in this case, it is possible to exclude that the addition
 432 of a further emulsifier system plays a role in promoting the
 433 permeation of CAF or EXM through the skin.

434 Unlike CAF, these findings suggested that it is possible to
 435 improve the permeation profiles of apolar active ingredient,
 436 using nanoemulsion as vehicle. Moreover, due to the different
 437 O/W ratio, the EXM release was more efficient in the presence
 438 of the highest amount of water, even if permeation parameters
 439 were not significantly altered.

440 The overall results agreed with previous published studies
 441 that demonstrated that nanoemulsions could improve the per-
 442 meation profiles of loaded active ingredients [24–26]. The
 443 different performance of nanoemulsion in comparison to a
 444 coarse emulsion can be explained considering that the inter-
 445 face between oil and aqueous phase resulted increased in the
 446 case of O/W nanoemulsion with respect to the equivalent
 447 emulsion. The higher interface area between the two phases,
 448 the higher proximity between the droplets of the disperse
 449 phase and the skin surface after a topical application. In this
 450 context, the different in vitro permeation profile observed for
 451 apolar molecules with respect to polar one may be explained
 452 with a higher partition tendency of the formers between the
 453 vehicle and the skin surface due to the increased concentration
 454 at the skin-vehicle interface.

455 Such evidences suggested that the safety profiles of
 456 nanoemulsion cannot be considered a priori superimposable
 457 to coarse emulsion with similar composition of phases, espe-
 458 cially when molecules with physicochemical properties
 459 favourable for the skin permeation were loaded.

460 On the bases of such considerations, a revision of regulatory
 461 framework of nanoemulsion to preserve the costumer safety ap-
 462 pears necessary in consideration of the widespread diffusion of
 463 such nanomaterials in cosmetic products. Nanoemulsions are not
 464 classified as nanomaterials by European authorities [11] and their
 465 risk assessment is mainly based on the safety profile of all the
 466 ingredients contained in the cosmetic product. Indeed, since
 467 nanoemulsions are equally based on the well-known and
 468 well-characterized raw materials used for conventional emul-
 469 sions, they are not considered risky for the safety of European
 470 consumers. Nevertheless, even if the composition of a
 471 nanoemulsion is similar to coarse emulsion and with safety in-
 472 gredients, the reduced droplet dimensions or modification in the
 473 emulsifier systems for preserving the formulation stability have
 474 to be considered as function of their impact on the safety profile

of the formulation. Therefore, novel approach proposed by FDA
 to solve the criticisms results of interest. FDA classifies
 nanoemulsions as nanomaterials [10] and recommends to con-
 duct a deepened characterization of both ingredients and final
 formulation as a function of the intended route of exposure
 [27]. For exposure via dermal absorption, since nanoemulsions
 are expected to disintegrate in their molecular components upon
 the application to skin, their safety assessment is not considered
 particularly critical by the American authorities again. However,
 FDA highlights the importance to conduct proper in vitro studies
 through intact and impaired skin to verify that permeation rate of
 ingredients is not enhanced by the nanoemulsion, excluding thus
 a high risk of systemic exposure after skin application.

Conclusions

The overall results demonstrated that nanoemulsions are able to
 influence significantly the permeation profiles of molecules as a
 function of their physicochemical properties. In particular, O/W
 nanoemulsions can improve significantly the permeation profiles
 of apolar active ingredients in comparison to conventional emul-
 sions, whereas no differences were observable for polar mole-
 cules. Considering such findings, it is worth observing that there
 is room for reconsidering the regulatory framework on the basis
 of the risk assessment of nanoemulsion-based cosmetic products.
 Indeed, according to our results, the lack of the skin permeability
 evaluation in the current European legislation seems appropriate
 for assessing the safety of O/W nanoemulsions containing active
 polar ingredients, since their use for improving the physical prop-
 erties of final products does not influence the skin permeation
 pattern of ingredients. On the other hand, the loading of apolar
 active ingredients in O/W nanoemulsions should be carefully
 considered to avoid any unexpected increase of exposure to ac-
 tive ingredients and, therefore, potential risks for the consumer
 safety. Therefore, an upgrade and harmonization of the regulato-
 ry framework is desirable to assess better how the use of a nano-
 scale emulsion instead conventional one can impact on the con-
 sumer exposure to ingredients contained in cosmetic products
 intended to be commercialized in both Europe and the USA.

Compliance with ethical standards

Conflict of interest The authors declare that there is any conflict of
 interest in publishing the results contained in the manuscript.

References

1. Yukuyama MN, Ghisleni DDM, Pinto TJA, Bou-Chacra NA. Nanoemulsion: process selection and application in cosmetics—a review. *Int J Cosmet Sci.* 2016;38:13–24.
2. Solans C, Solé I. Nano-emulsions: formation by low-energy methods. *Curr Opin Colloid Interface Sci.* 2012;17:246–54.

522 3. Sadurni N, Solans C, Azemar N, Garcia-Celma MJ. Studies on the
523 formation of O/W nano-emulsions, by low-energy emulsification
524 methods, suitable for pharmaceutical applications. *Eur J Pharm Sci.*
525 2005;26:438–45.

526 4. Fernandez P, André V, Rieger J, Kühnle A. Nano-emulsion forma-
527 tion by emulsion phase inversion. *Colloids Surf A Physicochem*
528 *Eng Asp.* 2004;251:53–8.

529 5. Nohynek GJ, Lademann J, Ribaud C, Roberts MS. Grey goo on the
530 skin? Nanotechnology, cosmetic and sunscreen safety. *Crit Rev*
531 *Toxicol.* 2007;37:251–77.

532 6. McClements DJ. Edible nanoemulsions: fabrication, properties, and
533 functional performance. *Soft Matter.* 2011;7:2297–316.

534 7. Shah P, Bhalodia D, Shelat P. Nanoemulsion: a pharmaceutical
535 review. *Systematic reviews in pharmacy.* 2010;1:24–32.

536 8. Fratter A, Semenzato A, Casiraghi A, Minghetti P. Nanoemulsion
537 technology for sublingual delivery of melatonin: characterization
538 and preliminary data of absorption; In: Acuña-Castroviejo D,
539 Rusanova I, Escames G. *New Development in Melatonin*
540 *Research*, Nova Science Publishers, 2013;267–282.

541 9. Musazzi UM, Marini V, Casiraghi A, Minghetti P. Is the European
542 regulatory framework sufficient to assure the safety of citizens
543 using health products containing nanomaterials? *Drug Discov*
544 *Today.* 2017; doi:10.1016/j.drudis.2017.01.016.

545 10. Food and Drug Administration (FDA). Guidance for industry: con-
546 sidering whether an FDA-regulated product involves the applica-
547 tion of nanotechnology. June 2014.

548 11. Regulation (EC) No 1223/2009 of the European Parliament and of
549 the Council of 30 November 2009 on cosmetic products. *Official*
550 *Journal of the European Union.* L.342/59–209.

551 12. Scientific Committee on Consumer Safety (2012) Guidance on the
552 Safety Assessment of Nanomaterials in Cosmetics (SCCS/1484/
553 12).

554 13. Klang V, Schwarz JC, Lenobel B, Nadj M, Auböck J, Wolzt M,
555 Valenta C. In vitro vs. in vivo tape stripping: validation of the
556 porcine ear model and penetration assessment of novel sucrose
557 stearate emulsions. *Eur J Pharm Biopharm.* 2012;80:604–14.

558 14. Herman A, Herman AP. Caffeine’s mechanisms of action and its
559 cosmetic use. *Skin Pharmacol Physiol.* 2013;26:8–14.

560 15. Guglielmini G. Evaluating droplet size in nanoemulsions from a
561 novel emulsifier system. *Cosmetics and Toiletries* 2006;121.

562 16. Musazzi UM, Matera C, Dallanoce C, Vacondio F, De Amici M,
563 Vistoli G, Cilurzo F, Minghetti P. On the selection of an opioid for
606 local skin analgesia: structure-skin permeability relationships. *Int J*
564 *Pharm.* 2015;489:177–85.

565 17. Rorabacher DB. Statistical treatment for rejection of deviant values:
566 critical values of Dixon’s “Q” parameter and related subrange ratios
567 at the 95% confidence level. *Anal Chem.* 1991;63:139–46.

568 18. Comini M, Lenzini M, Guglielmini G. Nanoemulsions Comprising
569 Lipoaminoacids and Monoglycerides, Diglycerides and
570 Polyglycerides of Fatty Acids. *Sinerga*, Italy, MI2005A000218.
571 2006.

572 19. Korać R, Krajišnik D, Savić S, Pantelić I, Jovančić P, Cekić N,
573 Milić J. A new class of emulsion systems—fast inverted o/w emul-
574 sions: formulation approach, physical stability and colloidal struc-
575 ture. *Colloids Surf A Physicochem Eng Asp.* 2014;461:267–78.

576 20. Van de Sandt JJM, van Burgsteden JA, Cage S, Carmichael PL,
577 Dick I, Kenyon S, et al. In vitro predictions of skin absorption of
578 caffeine, testosterone, and benzoic acid: a multi-centre comparison
579 study. *Regul Toxicol Pharmacol.* 2004;39:271–81.

580 21. Casiraghi A, Di Grigoli M, Cilurzo F, Gennari CGM, Rossoni G,
581 Minghetti P. The influence of the polar head and the hydrophobic
582 chain on the skin penetration enhancement effect of poly(ethylene
583 glycol) derivatives. *AAPS PharmSciTech.* 2012;13:247–53.

584 22. Casiraghi A, Musazzi UM, Rocco P, Franzè S, Minghetti P. Topical
585 treatment of infantile haemangiomas: a comparative study on the
586 selection of a semi-solid vehicle. *Skin Pharmacol Physiol.* 2016;29:
587 210–9.

588 23. Casiraghi A, Franzè S, Selmin F, Dazio V, Minghetti P.
589 Investigation of the effect of different emulsifiers on the transder-
590 mal delivery of EGCG entrapped in a polymeric micelle system.
591 *Planta Med.* 2016; doi:10.1055/s-0042-108732.

592 24. Kumar D, Ali J, Baboota S. Omega 3 fatty acid-enriched
593 nanoemulsion of thicolchicoside for transdermal delivery: formu-
594 lation, characterization and absorption studies. *Drug Delivery.*
595 2016;23:591–600.

596 25. Aqil M, Kamran M, Ahad A, Imam SS. Development of clove oil
597 based nanoemulsion of olmesartan for transdermal delivery: Box-
598 Behnken design optimization and pharmacokinetic evaluation. *J*
599 *Mol Liq.* 2016;214:238–48.

600 26. Ahad A, Al-Saleh AA, Akhtar N, Al-Mohizea AM, Al-Jenoobi FI.
601 Transdermal delivery of antidiabetic drugs: formulation and deliv-
602 ery strategies. *Drug Discov Today.* 2015;20:1217–27.

603 27. Food and Drug Administration (FDA). Guidance for industry—safe-
604 ty of nanomaterials in cosmetic products. June 2014.

605

AUTHOR QUERIES

AUTHOR PLEASE ANSWER ALL QUERIES.

- Q1. Expansion for "O/W" is provided. Please check if correct.
- Q2. Please check if "Conflict of interest" is captured and presented correctly.

UNCORRECTED PROOF