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Exploring the aetiology of pre-motor Parkinson's disease and the efficacy of potential neuroprotective therapies

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I, Marco Sancandi, hereby confirm that the work presented in this thesis is my own. Where information has been derived from other sources, I confirm that this has been indicated in the thesis.

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Abbreviations

5-HT: 5-hydroxytryptamin	MAO-B: monoamine oxidase-B
6-OHDA: 6-hydroxydopamine	MCL: mitral cell body layer
CA: cornu ammonis; CB: calbindin	MPTP: 1-methyl-4-phenyl-1,2,3,6-tetrahydropyridine
COMT: catechol-O-methyl transferase	MSs: motor symptoms
CR: calretinin DA: dopamine	NA: noradrenaline
DAT: dopamine transporter	NET: norepinephrine transporter
DBS: deep brain stimulation	NMSs: non-motor symptoms
DSP-4: N-(2-chloroethyl)-N-ethyl-2-bromobenzylamine	OB: olfactory bulb
EPL: external plexiform layer	OSNs: olfactory sensory neurones
ESPD: early stage Parkinson's disease	PD: Parkinson's disease
ET: external tufted	PC: piriform cortex
EX-4: Exendin-4	PFC: prefrontal cortex
GABA: gamma-aminobutyric acid	PG: periglomerular
GL: glomerulous layer	PNNs: perineuronal nets
GCL: granule cell layer	PV: parvalbumin
GLP-1: glucagon-like peptide 1	ROS: reactive oxygen species
GLP-1Rs: glucagon-like peptide 1 receptors	SNpc: Substantia Nigra pars compacta
L-DOPA: L-dihydroxyphenylalanine	SPECT: single-photon emission computed tomography
LBs: Lewy bodies	sSA: superficial short-axon
LC: Locus Coeruleus	TH: tyrosine hydroxylase
LOT: lateral olfactory tract	TNF- α : tumour necrosis factor α
LPS: bacterial lipopolysaccharide	WFA: wisteria floribunda agglutinin.

Abstract

The present thesis aimed at providing insight into the aetiology and treatment of Parkinson's disease (PD), which symptomatology consists of both motor and non-motor symptoms (NMSs). The latter have been linked to a loss of neurotransmitters other than dopamine and they have been shown to be modulated by treatments that do not act directly on the dopaminergic system, such as the glucagon-like peptide-1 receptor agonist exendin-4 (EX-4). Nevertheless, the aetiology of NMs, alongside with their potential treatments, has yet to be fully investigated. In this study, through injections of the neurotoxins N-N-ethyl-2-bromobenzylamine (DSP-4) and 6-hydroxydopamine (6-OHDA), a rat model of early-stage PD was developed and validated. Animals displayed the NMS hyposmia and memory impairments in the absence of motor symptoms, suggesting the PD model is representative of an early stage of the disease. Next, the effect of partial noradrenergic and dopaminergic denervation in several brain regions within the olfactory pathway was investigated using immunohistochemical techniques. Surprisingly, the combined denervation led to a reduction in the expression of interneuronal calcium binding proteins (CBPs) in the primary olfactory cortex and prefrontal cortex, whilst the expression in the olfactory bulbs was found to be increased, alongside with dopaminergic expression. Additionally, GABAergic cells in CA2 of the PD model were found to be decreased compare with controls. Interestingly, the observed structural changes were partially prevented following treatment with EX-4. Additionally, two preliminary studies were conducted using the early-stage PD model to test two potential new treatments, a novel viral vector and probiotics, and their effectiveness in preventing neuronal loss in the Substantia Nigra. Overall, this rat model of early-stage PD offers a useful means for research into early diagnosis as well as early intervention of PD, possibly resulting in a delay of disease progression together with improved patient's quality of life.

Impact Statement

Parkinson's disease (PD) is a highly debilitating disorder with no present cure and is believed to currently affect more than 10 million people worldwide. The cardinal feature is the loss of dopamine neurones in the midbrain, which plays a vital role in the control of movement. By far, the most common treatment for PD is to temporarily replace dopamine and transiently reactivate dopamine's neurotransmitter functions in the nigral-striatal pathway, by giving L-dihydroxyphenylalanine (L-DOPA) that neurones can convert into dopamine, giving a temporary, though imperfect, restoration of movement. However, the pathology of PD encompasses a much wider neurological base and range of symptoms than can be accounted for by dopamine loss alone. These so-called non-motor symptoms, which are not ameliorated by L-DOPA, include anxiety, depression, cognitive deficits and loss of sense of smell (hyposmia). These are linked to depletion of other key brain chemicals such as noradrenaline, 5-hydroxytryptamine and gamma-aminobutyric acid (GABA). Currently used animal models have focussed heavily on dopamine depletion and motor dysfunctions to replicate the pathology of PD and to develop treatment strategies, mainly because the motor symptoms are the clinically most prominent 'event'. The lack of PD animal models representing the early stage of the disease is therefore currently limiting our current understanding of its aetiology and treatment. This Ph.D. project focussed on developing, validating, and characterising a novel early-stage PD animal model to uncover some of the deficits that underlie the aetiology of hyposmia and test new potential treatments aimed at slowing down PD progression. We

demonstrated that hyposmia in this animal model is sustained by the presence of neuroinflammation in the primary olfactory cortex together with other structural changes, such as a downregulation in the expression of calcium-binding proteins in GABAergic interneurons. Moreover, hyposmia in the PD model was correlated with an increased synthesis of dopamine in the olfactory bulb. These results are the first report of deficits/changes occurring within the olfactory pathway during the early stage of the disease. In addition, our results showed that treatment with the antidiabetic peptide exendin-4 (EX-4), a GLP-1 receptor agonist, twice daily for 7 days, was able to prevent both neuroinflammation and structural changes in both the olfactory cortex and the olfactory bulbs, suggesting that it may be effective in slowing down the progression of the disease. Following these results, we developed a single-dose GLP1 receptor agonist viral vector gene therapy and explored its neuroprotective effect in the Substantia Nigra. Similarly, treatment with the probiotic preparation Symprove[®] resulted in neuroprotection and anti-inflammatory effects. Overall, we conclude that this rat model of early-stage PD offers a useful means for research into early PD treatments. Future investigation of a GLP-1 therapeutic target system and the effects of probiotic supplements may lead to the possibility of earlier intervention for PD patients and a significant delay of disease progression.

Chapter 1 - Introduction

Parkinson's disease (PD) was first described more than 200 years ago by the English doctor James Parkinson. Today, it is the second most common neurodegenerative disorder and is believed to currently affect more than 10 million people worldwide (Parkinson's Foundation, 2020). PD rarely emerges before 50 years of age, however, the incidence increases 5–10-fold from the sixth to the ninth decade of life (Van Den Eeden *et al.*, 2003; Savica *et al.*, 2013). In addition, the enhancement of general health care has led to longer survival, which is associated with increasing prevalence of neurodegenerative disorders over time, including PD. Early-onset PD, which accounts for 3-5% of all PD diagnoses, is defined as the onset of parkinsonian features before the age of 40 years old, whilst young-onset PD is observed between the second and the fourth decade of life (Schrag and Schott, 2006). Lastly, PD is twice as common in men than in women in most populations, suggesting a potential protective effect of oestrogens (Radhakrishnan and Goyal, 2018). The hallmark features of PD are neuronal loss of dopaminergic cells in the substantia nigra pars compacta (SNpc) and the appearance of Lewy bodies (LBs), intracellular aggregates of α -synuclein (Beal, 2010). Clinically, all the cardinal signs of PD relate to motor dysfunctions and include resting tremor, bradykinesia, rigidity and postural reflex impairment, together with other psychiatric and dysautonomia symptoms, such as anxiety and depression, constipation, and olfactory dysfunctions (Wirdefeldt *et al.*, 2011). This set of symptoms is also referred to as "parkinsonism", a term usually used for syndromes with known aetiology that share some or most of signs of PD plus other signs or symptoms that are not characteristic of PD (Srivanitchapoom, Pitakpatapee and Suengtaworn, 2018).

1.1 PD diagnosis

Currently, the diagnosis of PD is entirely based on clinical criteria and no signs of other neurological disease or history of provoking drugs, toxins or infections (Wirdefeldt *et al.* 2012). Therefore, it is very important to find reliable biomarkers that can allow to differentiate PD from other conditions, monitor its progression, and evaluate the effectiveness of a specific therapeutic intervention (Söderbom, 2020). To date, PD biomarkers can be divided into four main categories: clinical, imaging, biochemical, and genetic (Emamzadeh and Surguchov, 2018). Initially, protein biomarkers, such as dopamine metabolites and amino acids, found in blood, serum, and cerebrospinal liquid were considered the most promising (Emamzadeh and Surguchov, 2018), whilst various forms of α -synuclein were considered the most efficient (Liddle, 2018). Lately, however, microRNA-based analysis has been shown to hold promising results, especially when in combination with α -synuclein data (Arshad *et al.*, 2017). Indeed, a miRNA-based biomarker for the early diagnosis of PD was recently discovered in the CSF of early stage PD patients, with the inclusion of α -synuclein in the analysis further strengthening the results (Dos Santos *et al.*, 2018). Similarly, a significant increase in inflammatory- and hypoxia-related microRNAs were observed in plasma-extracellular vesicles of an early-stage PD model, identifying the latter as a potential novel biomarker in early stages of PD (Sancandi *et al.*, 2020).

1.1.1 PD differential diagnosis

The diagnostic criteria for PD have evolved several times during the years with the last update, by the Movement Disorders Society, as recent as 2015. Although PD symptoms will be described in depth in a following paragraph,

briefly, PD is defined as bradykinesia in combination with at least rest tremor or rigidity, and three key points have to be met: 1) absence of absolute exclusion criteria; 2) at least two supportive criteria, and 3) no red flags. If any of the above key points is not met, then the diagnosis will be considered as a differential parkinsonism. Specifically, based on the underlying causes and clinical features, a diagnosis of secondary parkinsonism, atypical parkinsonism, neurodegenerative diseases, or other disease is made (Postuma *et al.*, 2015). Secondary parkinsonism can be caused by several factors, such as lesions of the basal ganglia following ischaemia, neoplasia or infections, and it is usually characterised by an abrupt onset and the coexistence of other symptoms (Srivanitchapoom, Pitakpatapee and Suengtaworn, 2018). Similarly, exposure to toxins or dopamine-blocking agents, such as anti-psychotics, can lead to parkinsonism with clinical features resembling PD (Balestrino and Schapira, 2020). Atypical parkinsonism is a set of disorders, such as dementia with Lewy bodies, progressive supranuclear palsy, multiple system atrophy, and corticobasal syndrome, that share some signs and symptoms with PD but do not respond well to classic PD treatments (Moretti, 2019). Lastly, imaging techniques can help in differentiating PD from other conditions. For example, dopamine transporter single-photon emission computed tomography (SPECT) scans allow the discrimination between PD and essential tremor, whilst MRI may help differentiate PD from other parkinsonism syndromes, such as vascular parkinsonism and parkinsonism that includes multiple system atrophy (Armstrong and Okun, 2020).

1.2 How does PD develop?

Although neither the loss of dopaminergic neurones in the SN nor the deposition of α -synuclein is exclusively linked to PD, their co-existence allows for a definitive diagnosis of PD (Poewe *et al.*, 2017). There are two forms of PD: familial and sporadic. Whilst the former is caused by genetic aberrations, such as the gene coding for α -synuclein (Stefanis, 2012), the cause for sporadic PD remains unknown; however, both genetic and environmental factors are believed to be involved (Rietdijk *et al.*, 2017). Not knowing precisely what triggers neuronal death makes the study of sporadic PD aetiology a challenge. Nevertheless, some important elements contributing to the development of the disease have been identified, such as neuroinflammation, mitochondrial dysfunction, and misfolding and aggregation of α -synuclein (Lee *et al.*, 2010; Drouin-Ouellet and Cicchetti, 2012; Lema Tomé *et al.*, 2013; Niranjana, 2014; Tong *et al.*, 2015; Zaltieri *et al.*, 2015).

1.2.1 Different theories on how PD pathophysiology spreads

In 2003, it was proposed for the first time, that neuronal damage and death in PD may not occur randomly but follow a predetermined pattern (Braak *et al.*, 2003). The Braak's hypothesis suggested that PD progression can be divided into 6 stages. Briefly, the first two stages are characterised by the presence of LBs in the gut, olfactory bulb and anterior olfactory nucleus as well as in medullary nuclei, such as the lower raphe nuclei and the locus coeruleus. In addition, patients start experiencing some non-motor symptoms including hyposmia, autonomic dysfunctions, and disturbed sleep. In stage 3, LBs reach the SNpc, the upper raphe nuclei, and the central subnucleus of the amygdala

with some PD patients suffering from early phase motor dysfunctions. However, the latter are characteristic of stage 4, together with LBs spreading to the anteromedial temporal cortex. The spread of LBs to cortical areas regulating autonomic functions, in high-order sensory association areas and prefrontal cortex, and in primary sensory and motor areas in the last two stages is associated with severe motor dysfunctions, cognitive impairment, and dementia (Del Tredici and Braak, 2016). The Braak's hypothesis, however, is not based on the distribution of neuronal death, but on the distribution of LBs, which does not explain how it relates to the progression of neurochemical changes, and should be therefore cautiously interpreted (Yulug, Ozansoy and Cankaya, 2019). For example, it was argued that Braak's hypothesis suggests for the presence of patterns of synucleinopathy that are often not observed in clinical practice, and no actual relationship between the different stages and the clinical severity of PD has been observed (Burke, Dauer and Vonsattel, 2008). For instance, post-mortem studies in humans have shown the presence of LBs in asymptomatic individuals, while many individuals who had clinically advanced PD would fall into initial Braak's stages (Rietdijk *et al.*, 2017).

Recently, Braak's hypothesis has been questioned by a new theory aimed at explaining PD progression, the threshold theory (Engelender and Isacson, 2017). This theory suggests that PD pathogenesis does not occur due to a neurone to neurone propagation of α -synuclein but, rather, a parallel degeneration of both central nervous and peripheral nervous systems. Neuronal connections between the CNS, brainstem, and the autonomic nervous system, lack of redundant connections; therefore, if some

connections are affected by LBs, the whole system becomes dysfunctional leading to the appearance of non-motor symptoms. In contrast, the circuitry in the midbrain that regulates motor functions has several connections that can compensate for deficits of inputs; thus, delaying the characteristic motor symptoms appear to only when the majority of these connections are affected by LBs (Engelender and Isacson, 2017).

1.2.2 LBs are key players in PD neurodegeneration

Although these two theories differ on the mechanism by which LBs spread, they both agree upon the key role that LBs play in the peripheral nervous system. Indeed, the parasympathetic nerves and the enteric nervous systems were repeatedly found to be among the first structures to be affected by LB pathology, possibly leading to the manifestation of non-motor symptoms before the classical motor symptoms, supporting the hypothesis that PD pathophysiology propagates from the gut to the brain (Yang *et al.*, 2019). Additionally, animal studies have shown that alterations in the gut microbiota were required for the appearance of motor deficits, inflammation, and LB formation, suggesting that gut microbiomes may play a key role also in the onset of motor dysfunctions (Sampson *et al.*, 2016). Similarly, it was reported that alterations in the microbiota composition correlate positively with the severity of postural instability and gait difficulty in PD patients (Scheperjans *et al.*, 2015).

1.2.3 Gut-brain axis in PD

The gut-brain axis links the GI tract to the CNS through biochemical signalling (Gómez-Pinilla, 2008) and disruption of the gut epithelium was shown to lead to intestinal inflammation as shown in both preclinical and clinical studies (Tan, Hor, *et al.*, 2020) (Devos *et al.*, 2013; Houser *et al.*, 2018; Lubomski *et al.*, 2020). GI symptoms in PD patients, such as constipation and bloating, usually arise years before the onset of motor symptoms (Perez-Pardo *et al.*, 2017; Radhakrishnan and Goyal, 2018; Seppi *et al.*, 2019) and an increased intestinal permeability in PD correlates with the presence of intestinal α -synuclein (Forsyth *et al.*, 2011). The combination of gut inflammation and deposition of α -synuclein fibrils in the ENS has therefore been suggested to initiate the neuroinflammatory process that leads to the pathogenesis of PD (Rietdijk *et al.*, 2017; Gazerani, 2019; Lubomski *et al.*, 2020; Tan, Hor, *et al.*, 2020; Castelli *et al.*, 2021). Lastly, it was recently shown that IBS diagnosis is associated with a 44% increase risk of developing PD (Liu *et al.*, 2021), and that treatment with L-DOPA affects the normal microbiota composition of the gut (Weis *et al.*, 2019). However, several factors may be involved and the changes in microbial composition induced by L-DOPA in PD patients require further investigations (Weis *et al.*, 2019).

1.2.4 Neuroinflammation may be a PD pathogenesis trigger

Whilst LBs are often considered as the initiators of the disease, several other factors, such as mitochondrial dysfunction, oxidative stress, and neuroinflammation are thought to be also involved in PD pathogenesis (Liu *et al.*, 2002; Beitz, 2014a; Celardo, Martins and Gandhi, 2014; Klingelhoefer and

Reichmann, 2015; Zaltieri *et al.*, 2015; Ransohoff, 2016; Puspita, Chung and Shim, 2017; Radhakrishnan and Goyal, 2018). Dysfunction of mitochondria can be caused by bioenergetic defects, mutations in mitochondrial DNA, or presence of mutated proteins resulting in mitochondrial changes in size and morphology, alterations in trafficking or transport, and impairment of transcription (Whitton, 2007; Bose and Beal, 2016; Gelders, Baekelandt and Van der Perren, 2018a). Particularly, α -synuclein aggregation occurring inside mitochondria has been shown to result in mitochondrial complex I deficits and oxidative stress (Devi *et al.*, 2008), leading to a vicious cycle in which α -synuclein aggregation and mitochondrial dysfunction exacerbate each other (Poewe *et al.*, 2017). Mitochondrial dysfunction is thought to upregulate the production of reactive oxygen species (ROS), which play crucial roles in the regulation of cellular metabolism, antioxidant defence, and posttranslational modification of proteins (Wang *et al.*, 2013). Additionally, dopaminergic neurones in the SNpc are thought to be particularly vulnerable to metabolic and oxidative stress (Puspita *et al.*, 2017). Although the exact reason behind this vulnerability has yet to be found, it is thought that it may be due either to their pacemaking activity involving cytosolic calcium oscillations and calcium extrusion at the expense of energy (Surmeier *et al.*, 2017) or to the depletion of lysosomes and functional impairment of lysosomal autophagy (Poewe *et al.*, 2017). Neuroinflammation is known to be a key element in the pathogenesis of PD in both PD patients and models (Wang, Liu and Zhou, 2015a; Mehta and Tanner, 2016; McKenzie *et al.*, 2017; Gelders, Baekelandt and Van der Perren, 2018a), although it is not universally regarded as a potential initial trigger (Ransohoff, 2016). Nevertheless, experimental

evidence from both animal models and neuronal cultures has shown that neuroinflammation can also promote α -synuclein misfolding, suggesting that the two processes influence each other, resulting in a cycle similar to that occurring in dysfunctional mitochondria (Gao *et al.*, 2008). A key question is whether the inflammatory processes are the cause or the consequence of PD (Gelders, Baekelandt and Van der Perren, 2018a). Currently, experimental evidence shows that microglia and T lymphocytes actively contribute to neurodegeneration by amplifying and exacerbating ongoing inflammatory processes, inducing extensive cell death in PD models (Appel, 2012).

1.3 Motor symptoms: the cornerstones of PD

Motor symptoms (MSs) represent the most well-known face of PD and, currently, clinical diagnosis only occurs after their appearance (Jankovic, 2008). MSs are mostly caused by a loss of dopamine (DA) in the nigrostriatal pathway (Beitz, 2014a). This decrease is in turn caused by a loss of pigmented neuromelanin-positive neurones in the SNpc, a mesencephalic brain nucleus which synthesises DA (Brissaud, 1925) and projects to the dorsal striatum through the median forebrain bundle (Björklund and Dunnett, 2007). The striatum integrates cortical and thalamic inputs reaching the basal ganglia to then guide motor behaviour. This integration is influenced by DA, which highly innervates the striatum rising from the midbrain nigrostriatal pathway. Indeed, it has been suggested that a single postsynaptic striatal medium spiny neurone could be modulated by up to almost 200 dopaminergic inputs (Matsuda *et al.*, 2009). As a result of these numerous dopaminergic inputs, MSs only develop when approximately 70 % of SNpc neurones are lost,

allowing the diagnosis of PD to be established (Rothwell, 2011). Primary MSs are bradykinesia and akinesia, tremor, rigidity, and gait disturbances, while impairment of handwriting, speech and precision grip are considered to be secondary MSs (Moustafa *et al.*, 2016). Bradykinesia and akinesia refer to functional disturbances of voluntary movements prominently characterized by slowness. Specifically, bradykinesia relates to slowness of a movement that is ongoing, while akinesia refers to failure of starting voluntary, spontaneous, or associated movements (Berardelli *et al.*, 2001). The pathophysiology underlying bradykinesia and akinesia is not completely understood, however it is thought to be linked to failure of the basal ganglia output to reinforce the cortical mechanisms responsible for the preparation of the movement and its execution (Obeso *et al.*, 2000). Tremor is not just a single sign but rather a class of symptoms and it can be further divided into rest tremor, re-emergent tremor, essential tremor, dystonic tremor, and exaggerated physiological tremor (Helmich *et al.*, 2012; Magrinelli *et al.*, 2016). Although very little is known about the pathophysiology of tremor, it is thought to differ from that of bradykinesia and rigidity since the magnitude of tremors does not correlate with DA deficiency and it is not improved by dopaminergic treatments (Hallett, 2012). Additionally, experimental evidence correlated the severity of tremor with a decreased serotonin receptor binding in the median raphe (Doder *et al.*, 2003). Rigidity in PD patients is characterised by increased resting muscle tone to palpation, reduced distension to passive movement, increased resistance to stretching, and facilitation of the shortening reaction (Rodriguez-Oroz *et al.*, 2009). Contrary to bradykinesia and tremor, PD rigidity is associated with changes in the passive mechanical properties of joints,

tendons, and muscles, and abnormalities in peripheral sensory inputs that may influence the response to muscle stretch (Andrews, Burke and Lance, 1972; Valls-Solé, 2000). Lastly, gait disturbances are common in PD patients and a major contributor to motor deficits (Magrinelli *et al.*, 2016). Similarly to the other motor dysfunctions, their pathophysiology has yet to be being fully uncovered and several central and peripheral triggers have been suggested, such as asymmetry of the basal ganglia output, abnormal processing of vestibular and proprioceptive inputs, abnormal spatial cognition, spinal and soft tissue abnormalities, and medication side effects (Castrìoto *et al.*, 2014).

Thus, studies often classify PD patients into tremor-dominant, akinesia-dominant, or mixed phenotype category (Mure *et al.*, 2011; Lee *et al.*, 2012), with the hope of linking different clinical profiles, neural substrates, and outcomes to these different motor subtypes (Moustafa *et al.*, 2016). However, it has been recently found that patients can shift from one subtype to another over time, suggesting that these phenotypes might have common clinical and neural substrates (Rainer Von Coelln *et al.*, 2015; Eisinger *et al.*, 2017).

1.4 The neglected side of PD: non-motor symptoms

Non-motor symptoms (NMSs) linked to PD include, among many, anxiety, depression, cognitive deficits, gastrointestinal symptoms such as constipation and dysphagia, pain, sleep disorders, and hyposmia, which is the loss of sense of smell (Hou and Lai, 2007; Beitz, 2014b; Del Rey *et al.*, 2018; Radhakrishnan and Goyal, 2018; De Rui *et al.*, 2020; Lubomski *et al.*, 2020). These symptoms can arise several years before the MSs used for the diagnosis of PD,

suggesting that DA loss may not be the only trigger (Schapira, Ray Chaudhuri and Jenner, 2017). While MSs are known to be sustained by dopaminergic loss, the aetiology of NMSs has yet to be elucidated (Poewe *et al.*, 2017). Some studies suggested that NMSs may be induced by a degeneration/depletion of other key brain neurotransmitters such as noradrenaline (NA), 5-hydroxytryptamine (5-HT), γ -aminobutyric acid (GABA), and acetylcholine (Hou and Lai, 2007; Delaville, Deurwaerdère and Benazzouz, 2011b; Janusz W Błaszczyk, 2016).

Sensory symptoms are NMSs commonly experienced by PD patients, with almost all patients suffering from at least one as a prodromal symptom, which will then increase in prevalence and severity as the disease progresses (Schapira, Ray Chaudhuri and Jenner, 2017). The first sensory impairments observed in PD patients relate to olfaction, which will be discussed in depth in section 1.7. Briefly, hyposmia or anosmia develop in more than 90% of patients with PD, preceding the onset of the dopamine deficiency-related motor dysfunctions (Bohnen *et al.*, 2008). PD-associated changes in olfaction were shown to be related to modifications in the central olfactory processing areas, with decreased olfactory bulb and piriform cortex volumes observed in PD patients (Wang *et al.*, 2011; Lee *et al.*, 2014; Ille *et al.*, 2015). Other sensory impairments include visual disturbances, such as hallucinations and diplopia (double vision), and their severity has been shown to correlate with PD progression (Nebe and Ebersbach, 2007) and to actually worsen following dopaminergic therapy (Baker *et al.*, 2009). Initially, these disturbances were thought to be drug-induced side effects; however, they have also been observed in untreated PD patients during the prodromal phase

(Pagonabarraga *et al.*, 2016). Visual disturbances are associated with cognitive impairments and dementia in PD progression, and hallucinations have been shown to correlate with cognitive decline in the advanced stage of the disease (Archibald *et al.*, 2013). During the late stage of PD, cognitive deficits and dementia usually arise as a consequence of senescence (Hely *et al.*, 2008). Cognitive impairments in PD patients can affect one of two main areas. The first one relates to planning, working memory, and executive dysfunction, processes associated with decreased DA levels in the frontal lobe-striatum loop, whilst the second one is responsible for attention, semantic verbal fluency, and visual spatial ability, involving dysfunctions of both the temporal lobe and the posterior cortical areas (Fang *et al.*, 2020). In addition to sensory symptoms and cognitive deficits, also neuropsychiatric disorders, such as anxiety and depression, occur in PD from the pre-motor phase to the late stages of the disease, with the two symptoms often overlapping (Poewe, 2008). While anxiety affects up to 60% of PD patients, depression is observed in 35% of PD patients and it generally appears in milder forms than in people without PD (Balestrino and Schapira, 2020). Lastly, sleep disorders and autonomic dysfunctions are also often experienced by PD subjects (Swick, 2012; De Pablo-Fernandez *et al.*, 2017). Most patients with PD experience sleep disturbances, such as insomnia, sleep fragmentation, prolonged awakening, and restless leg syndrome, with their prevalence increasing with the duration of the disease (Louter *et al.*, 2013). Autonomic dysfunctions are also common among PD patients and they were shown to both precede the appearance of motor deficits and worsen as the disease progresses (Beitz, 2014b). Generally, bladder, bowel and sexual dysfunctions, as well as

cardiovascular complications are the most common autonomic issues (Schapira, Chaudhuri and Jenner, 2017).

As mentioned above, NMSs in PD are not only sustained by a dopaminergic loss but, rather, involve degeneration of other neurotransmitters (Poewe *et al.*, 2017). Indeed, experimental evidence has linked neuropsychiatric, autonomic, and sleep disorders to GABAergic dysfunctions (Stefanis, 2012; Sanjari Moghaddam *et al.*, 2017). Furthermore, in the second stage of Braak's hypothesis, when MSs have yet to arise, LBs start to appear and accumulate in serotonergic neurones (Braak *et al.*, 2003), heralding the subsequent dopaminergic loss in the SNpc (Hornung, 2003). Similar to GABAergic and serotonergic systems, the noradrenergic system is also severely affected in PD, especially synapse sizes, polymorphism of the synaptic vesicles and marked morphological alterations of the mitochondria (Delaville, Deurwaerdère and Benazzouz, 2011a). Despite the increasing amount of evidence about the involvement of other neurotransmitters, currently, the first line treatment for PD remains aimed at replacing the dopaminergic loss, with NMSs treated with symptom-specific medications (Maiti, Manna and Dunbar, 2017).

1.5 Counteracting PD progression: established and emerging strategies

1.5.1 Dopamine-based medications

Presently, no definitive cure for PD has been found; however, several therapies have been developed that aim at slowing down the disease progression, providing transient relief of the severe symptoms (Maiti, Manna

and Dunbar, 2017). As the most characteristic symptoms of PD are associated with DA loss, the main PD treatments focus on both replacing and transiently reactivating DA signalling through the administration of L-dihydroxyphenylalanine (L-DOPA), a compound that can be converted into DA by specific nerve cells, leading to a temporary, though imperfect, improvement of motor functions (Whitton, 2007). The most utilised drug in this context is levodopa (L-DOPA), that has been shown to be both very effective in reducing the tremors and other MSs but unable to preserve or replace degenerated dopaminergic neurones (Foster and Hoffer, 2004). L-DOPA is associated with several mild side effects, such as nausea, vomiting, or low blood pressure as well as more severe side effects, such as behavioural impediments and generation of toxic metabolites (Paul and Borah, 2016). PD patients require more frequent and higher doses of L-DOPA over time since the brain loses the ability to store extra dopamine for later use as the disease progresses (Chou *et al.*, 2018). Additionally, after long duration of treatment, L-DOPA-induced dyskinesia, which is characterised by choreiform movements, is often observed in PD patients (Pandey and Srivanitchapoom, 2017). Two other main dopaminergic approaches are monoamine oxidase-B (MAO-B) and catechol-O-methyl transferase (COMT) inhibitors, both catalytic enzymes involved in DA breakdown (Sampaio *et al.*, 2018), that have been shown to sustain the response of L-DOPA for up to a year when administered together (Maiti, Manna and Dunbar, 2017). Lastly, DA agonists, such as pramipexole and ropinirole, are also therapeutic agents commonly used in the treatment of PD, which, however, often lead to severe side effects (Borovac, 2016). Specifically, it was shown that more than 40% of individuals treated with DA

agonists suffered from impulse control disorders, such as gambling, abnormal sexual and eating behaviours, and compulsive medication use (Garcia-Ruiz *et al.*, 2014). Furthermore, patients who discontinued the use of such medications were subjected to withdrawal symptoms (Rabinak and Nirenberg, 2010; Pondal *et al.*, 2013). Additionally, young individuals with tremor are often prescribed anticholinergic agents (e.g. benztropine, trihexyphenidyl, orphenadrine, procyclidine, and biperiden), though prescription of these drugs requires a close monitoring due to potential side effects, usually related to cognitive impairments (Armstrong and Okun, 2020).

1.5.2 Beyond dopaminergic treatments

Although treatments aimed at replacing DA can restore extracellular DA concentrations, they are unable to reverse functional and anatomical changes in the non-dopaminergic systems; thus, in recent years several new non-DA based strategies have been suggested (Oertel and Schulz, 2016). For example, deep brain stimulation (DBS) has been shown to be a safe and highly effective treatment option for some PD patients regardless of the stage of the disease, mostly due to its ability to modulate specific brain regions depending on the stimulation site (Muthuraman *et al.*, 2018). The treatment involves surgical placement of unilateral or bilateral leads in the subthalamic nucleus or the globus pallidus interna, which are connected to a battery in the chest (Armstrong and Okun, 2020). Furthermore, neurotrophic factors, and glial cell line-derived neurotrophic factor (GDNF) in particular, are considered to be promising molecules for PD treatment and several strategies have been designed to increase GDNF stability and retention in the brain (Del Rey *et al.*,

2018). Microencapsulated GDNF was shown to improve motor functions and restore DA function, through trophic effects on the nigrostriatal pathway, in different PD animal models (Garbayo *et al.*, 2009, 2011, 2016). Similarly, administration of basic fibroblast growth factor was found to stimulate dopaminergic function in surviving synapses and play a neuroprotective role in 6-OHDA hemiparkinsonian rats (Zhao *et al.*, 2014). Another approach is neural transplantation of stem cells, which have self-renewal capacity and ability to differentiate into dopaminergic cells (Romito and Cobellis, 2016). Specifically, mesenchymal stem cells can differentiate into a variety of neuronal phenotypes, such as dopaminergic as well as noradrenergic, serotonergic, and cholinergic cells, making them good candidates for counteracting NMSs (Pantcheva *et al.*, 2015). However, given the key role that neuroinflammation plays in PD, targeting the immune system appears as one of the most promising strategies for treating PD, with several nonsteroidal anti-inflammatory drugs shown to have neuroprotective effects on dopaminergic neurones (Hernán *et al.*, 2006; Rees *et al.*, 2011; Flood *et al.*, 2016). Relatedly, probiotics have recently been shown to exert neuroprotective effects in different models of PD due to their anti-inflammatory effects (Castelli *et al.*, 2020; Lubomski *et al.*, 2020). Additionally, probiotic supplementation in PD patients has been shown to exert benefits in the treatment of constipation, bloatedness, sense of incomplete emptying, and abdominal pain (Knudsen *et al.*, 2017).

Lastly, treatments aimed specifically at managing NMSs in PD patients follow the same guidelines as for the general population (Armstrong and Okun, 2020). For example, depression associated with PD is usually treated using

selective serotonin reuptake inhibitors, selective serotonin-noradrenaline reuptake inhibitors, and tricyclic antidepressants, or cognitive-behavioural therapy and repetitive transcranial magnetic stimulation (Seppi *et al.*, 2019). Treatments for insomnia include melatonin and clonazepam (Howell and Schenck, 2015), whilst autonomic dysfunctions are addressed with probiotics and prebiotic fibre (Armstrong and Okun, 2020).

1.6 Hyposmia and olfactory circuitry in PD

Anxiety, depression, and cognitive deficits are symptoms that characterise several psychiatric and neurological disorders. In contrast, the loss of sense of smell is most commonly associated with PD, especially in the early stage of the disease (Doty, 2017). According to Braak's staging of the disease, Lewy pathology begins in the OBs and then it spreads to other brain regions (Del Tredici and Braak, 2016). Recently, it was shown that α -synuclein fibrils injected into the OBs propagate to 40 different brain regions bilaterally over the course of 12 months, indicating that the olfactory pathway can be a vector of PD pathology (Rey *et al.*, 2016). Indeed, α -synuclein pathology was found to be present across the entire olfactory pathway, including the anterior olfactory nucleus, cortical nucleus of the amygdala, piriform cortex (PC), olfactory tubercle, entorhinal cortex, and orbitofrontal cortex (Ubeda-Bañon *et al.*, 2017; Marin *et al.*, 2018). In addition, a recent meta-analysis found that individuals displaying hyposmia have a 2.12–6.95-fold increased risk of developing PD compared with healthy controls (Sui *et al.*, 2019). Hyposmia, which is one of the main sensory symptoms, is defined as the defect in the ability to perceive, recognise, and discriminate or memorise odours (Doty,

2012). Accordingly, PD patients tested for olfactory functions showed impairments regardless of whether the tests were aimed at odour detection, identification, discrimination or memory (Doty *et al.*, 1992; Mesholam *et al.*, 1998). Similarly, It has been suggested that detection of specific odours might be compromised in PD (Hawkes and Shephard, 1993), however, no experimental evidence was found, suggesting the absence of a specific damage to different olfactory receptor types (Marin *et al.*, 2018). Interestingly, the severity of hyposmia correlates directly with the severity of MSs and NMSs but not with the disease duration (Roos *et al.*, 2019). Furthermore, hyposmia appears to be milder in PD patients with LRKK2 mutations compared with idiopathic cases (Vilas *et al.*, 2020). Additionally, the presence of hyposmia has been shown to allow discrimination between dementia with LBs and dementia observed in patients suffering from Alzheimer's disease (Beach *et al.*, 2020). Structural magnetic resonance imaging studies on morphological changes occurring during hyposmia reported a reduction of the volume of the olfactory bulb in PD subjects that was linked to poor olfactory performances compared with those of control subjects (Wang *et al.*, 2011; Brodoehl *et al.*, 2012; Altinayar *et al.*, 2014; Li *et al.*, 2016). Similarly, a reduction in the volume of the PC of PD patients with hyposmia was observed (Wattendorf *et al.*, 2009; Chen *et al.*, 2014; Lee *et al.*, 2014; Ille *et al.*, 2015), as well as asymmetry in size between the left and right thalamus (Hwang *et al.*, 2019). Paradoxically, the total number of dopaminergic interneurons in the olfactory bulb of PD patients was found to be *increased* compared with control subjects (Huisman *et al.*, 2004). In addition, electrophysiological studies in PD patients have provided evidence for a decline of central brain networks as a causal

factor for olfactory loss in PD (Iannilli *et al.*, 2017). Indeed, hyposmia may not only be linked to the “primary” olfactory regions. Bohnen and colleagues (2008) observed that hyposmia in PD patients is linked to dopaminergic denervation in the hippocampus, and, more recently, a decreased functional connectivity between amygdala and inferior parietal lobule, and fusiform gyrus was observed correlating with the symptom’s severity (Yoneyama *et al.*, 2018).

Relatedly, hyposmia does not appear to be sustained entirely and solely by a dopaminergic loss, but progressive degeneration of the other two monoamines as well as cholinergic systems has been suggested to correlate with olfactory impairments (Doty, 2012a; Müller and Bohnen, 2013; Marin *et al.*, 2017). Serotonergic modulation of the OBs was shown to enhance the activity of the excitatory mitral cells (Huang, Thiebaud and Fadool, 2017). Additionally, α -synuclein aggregates were found in the raphe nuclei, along with marked depletion of serotonin in the OBs and other areas of the olfactory system (Vermeiren *et al.*, 2018). Similarly, LBs were found in cholinergic neurones of the basal forebrain parallel with α -synuclein aggregates and neuronal loss in the SNpc (Versace *et al.*, 2017). Indeed, acetylcholine in the OBs was shown to facilitate olfactory learning, memory, and odour discrimination (Chaudhury, Escanilla and Linster, 2009; Devore, Manella and Linster, 2012). Overall, hyposmia may, therefore, be used to aid clinical diagnosis and monitor PD disease progression (Berendse *et al.*, 2011; Doty, 2012, 2017).

1.7 Animal models of PD

PD is in 95% of cases an idiopathic disease, meaning that a combination of genetic and environmental factors contributes to PD pathology (Ortiz *et al.*, 2017). Therefore, to deepen our understanding of the pathophysiology of this multifaceted disease and expand the currently limited treatment options, experimental models that can replicate different aspects of PD in animals are needed (Konnova and Swanberg, 2018). Over the years, several animal models of PD have been developed, each one with its pros and cons depending on what aspects or characteristics of the disease the investigation focuses on (Jagmag *et al.*, 2016).

1.7.1 Different species models of PD

Three main animal groups are commonly used for studying PD pathophysiology and progression: non-human primates, non-mammalian species, and rodents. The former is used mainly due to their anatomic and genetic similarity to humans, which allows for behavioural assessments and neuroimaging studies (Emborg, 2007). However, non-human primates require more demanding care and higher maintenance costs, hence, only 10% of PD studies are performed on this animal group, which are usually reserved for preclinical evaluation of therapies (Grow, McCarrey and Navara, 2016). Non-mammalian models, such as *Drosophila melanogaster* (fruit fly) and *C. elegans* (nematode worm), have the advantages of being easily genetically manipulated, having a rapid reproductive cycle, requiring low costs of maintenance, and presenting well-defined neuropathology and behaviour (Konnova and Swanberg, 2018). Additionally, their small connectomes allow for the study of fundamental principles governing cellular, genetic, and network

changes resulting from dopaminergic loss (Jagmag *et al.*, 2016). Lastly, rodents can be easily taken care of in laboratory conditions, have associated robust experimental protocols, different suitable routes of drug administration, can be genetically modified and behaviourally assessed (Blesa *et al.*, 2012a). It should come with no surprise that 85% of all the animal studies on PD published since 1990 were performed on either mice or rats (Konnova and Swanberg, 2018). One of the main advantages of rodent PD models is that the nigro-striatal dopaminergic degeneration leads to MSs that can be studied and quantified using a wide range of behavioural tests, such as the open field test, the pole test, and the rotarod test (Schober, 2004). Moreover, mouse and rat models of PD also display several NMSs, allowing the study of their aetiology and potential treatments (Taylor, Greene and Miller, 2010). Indeed, the ideal PD model should present progressive and age-dependent development of both NMSs and MSs, dopaminergic loss in the SNpc and reduced DA levels in the striatum as well as neuroinflammation and LBs, characteristics that are rarely fully found all at once (Vingill *et al.*, 2018). Nevertheless, several animal models currently exist, which can be divided into genetic or neurotoxin-based models, with the choice of the most appropriate to use depending on the hypothesis tested (Imbriani *et al.*, 2018).

1.7.2 Genetic animal models of PD

Genetic models have mainly focussed on the role of synuclein alpha (SNCA), Parkin, PINK1, PARK7, LRRK2, and VPS35, genes that have been confirmed as monogenic PD variants (Marras *et al.*, 2016). SNCA was the first gene to be associated with familial PD together with the observation that the encoded protein α -synuclein was aggregating into LBs (Spillantini *et al.*, 1997), *de facto*

starting the line of research on α -synuclein models and pathology (Konnova and Swanberg, 2018). Nevertheless, it has yet to be determined whether the spreading of α -synuclein is indeed a driving factor for neuronal degeneration and progression in PD or if it is the result of other modifications (Killinger and Kordower, 2019). Parkin, PINK1, and PARK7 genes are involved in the regulation of mitochondrial functions in the cell, and animals lacking these genes have shown progressive MSs together with dopaminergic loss in the SNpc (Dave *et al.*, 2014). Additionally, overexpression of these autosomal recessive genes, has been shown to exert some beneficial effects in animal models (Konnova and Swanberg, 2018). Similarly, progressive reduction in DA release and dysfunctional dopaminergic neurotransmission have been found in knock-in models expressing mutated versions of LRRK2 (Tong *et al.*, 2009; Yue *et al.*, 2015). These models, however, do not replicate all PD hallmarks; thus, LRRK2 models are mainly used to study the interplay between different genetic mutations and environmental factors (Vingill, Connor-Robson and Wade-Martins, 2018). Furthermore, LRRK2 kinase inhibitors have been proposed as a potential therapeutic option in PD, and their effect has been explored in macaques following exposure to the nigral neurotoxin MPTP (1-methyl-4-phenyl-1,2,3,6-tetrahydropyridine) with promising results (Henderson *et al.*, 2015). Lastly, the MitoPark mouse model was specifically created to study the involvement of mitochondrial dysfunction in the aetiology of PD. Specifically, this is a knock-out mouse with a mutation in the mitochondrial transcription factor A, a gene involved in mitochondrial DNA maintenance, selectively in the dopaminergic neurones in the SNpc (Ekstrand and Galter, 2009). The key point of this model is the adult-onset of

parkinsonian symptoms, both NMs and MSs, in a progressive manner that mimics the time-dependent decline observed in human PD (Branch *et al.*, 2016).

1.7.3 Toxin-based animal models of PD

Neurotoxin-based models of PD work by affecting either mitochondrial complex I or complex III (Schober, 2004). The main toxin models selectively disrupt or destroy catecholaminergic systems using agents such as MPTP, rotenone (insecticide), or 6-hydroxydopamine (6-OHDA) (Dauer and Przedborski, 2003). The former is first converted into MPP⁺ by astrocytes and then uptaken into dopaminergic neurones by the selective dopamine transporter (DAT) inducing neuronal death by targeting the mitochondrial complex I (Schildknecht *et al.*, 2017). However, it should be noted that MPTP effectiveness varies depending on the strain of the animals, with some strains exhibiting an acute, but not progressive, dopaminergic loss and others being more resistant overall (Vingill *et al.*, 2018). Additionally, MPTP-induced dopaminergic degeneration in mice correlates with motor deficits which, however, are reverted within a few days post-acute injection, creating limitations on the duration of behavioural studies (Sedelis, Schwarting and Huston, 2001). Similarly to MPTP, rotenone acts by inhibiting mitochondrial complex I, however, it also induces LBs in dopaminergic neurones in the SNpc (Betarbet *et al.*, 2000), mimicking more accurately the pathophysiological characteristics of PD, and it is suitable for systemic administration (Imbriani *et al.*, 2018). Rotenone has therefore been suggested to replicate more precisely the environmental risk factors than toxins which require to be injected directly into the brain such as 6-OHDA. This model is nevertheless still widely used

since it induces MSs such as bradykinesia, postural instability and rigidity as well as NMSs including sleep disturbances, autonomic dysfunctions, neuropsychiatric conditions and hyposmia (Vingill *et al.*, 2018). 6-OHDA shares a similar structure with DA with the addition of an hydroxyl group, making it toxic for DA cells through a combined effect of ROS and quinones (Blesa *et al.*, 2012b). 6-OHDA induces neuronal degeneration involving the processing of hydrogen peroxidase and hydroxyl radicals in the presence of iron (Sachs and Jonsson, 1975). Separate injections of iron have been shown to produce neurotoxic effects comparable to those induced by 6-OHDA supporting the involvement of iron in 6-OHDA-induced neuronal degeneration (Youdim, Ben-Shachar and Riederer, 1991). Since 6-OHDA cannot cross the blood-brain barrier, it requires to be injected directly into the brain region of interest, such as the SNpc or the striatum, where it is taken up by the catecholaminergic nerve terminals and results in inhibition of mitochondria complex I (Imbriani *et al.*, 2018). Indeed, this compound shows a high affinity not only for the DAT but also for the noradrenaline transporter (NET), necessitating a co-injection of a selective noradrenaline reuptake inhibitor in order to protect the noradrenergic neurones from been damaged (Rodriguez-Pallares *et al.*, 2007). 6-OHDA is often injected unilaterally due to its high toxicity and the otherwise appearance of severe adipsia and aphagia, which can lead to the animal's death due to an inability to look after itself (Hernandez-Baltazar *et al.*, 2017). Indeed, unilateral injections of 6-OHDA into the SNpc trigger dopaminergic loss within 12 hours, reaching the striatum within 2-3 days (Thiele *et al.*, 2012). Although 6-OHDA injected into the SNpc induces DA depletion, nigrostriatal DA cell loss, and some of the neurobehavioural

deficits observed in PD patients, it does not appear to affect other brain regions, such as lower brain stem areas, and the locus coeruleus (LC) (Blesa *et al.*, 2012b). Nonetheless, administration of 6-OHDA into the striatum has been shown to replicate more faithfully the comprehensive symptomatology of PD, including NMSs such as cognitive impairment, depression and anxiety, as well as motor symptoms, suggesting that it affects other regions and pathways than the dopaminergic ones only (Tadaiesky *et al.*, 2008a; Santiago *et al.*, 2010; Bonito-Oliva, Masini and Fisone, 2014; L. Chen *et al.*, 2014). Whilst 6-OHDA is used to induce DA loss, N-(2-chloroethyl)-N-ethyl-2-bromobenzylamine (DSP-4) is employed to trigger NA loss from inputs arising selectively from the locus coeruleus (LC) (Delaville, Deurwaerdère and Benazzouz, 2011b). This toxin crosses the blood-brain barrier, allowing its systemic administration, and is taken up into neuronal terminals by the NET, where it induces cell death by alkylation of unknown vital neuronal structures (Ross and Stenfors, 2014). The addition of NA depletion through DSP-4 in 6-OHDA-lesioned rats has been shown to induce several NMSs such as hyposmia and cognitive deficits (Khakpour-Taleghani *et al.*, 2009; Delaville *et al.*, 2010). Moreover, the combination of dopaminergic and noradrenergic degeneration in the prefrontal cortex was observed to trigger anxiety in a rodent model of early stage PD (Tadaiesky *et al.*, 2008), suggesting that both dopaminergic and noradrenergic innervation are involved in the aetiology of MNSs.

1.8 Exendin-4: glucagon-like peptide-1 (GLP-1) receptors as new therapeutic targets

Studying the aetiology of NMSs in PD is of particular importance since it may allow to identify and address the underlying deficits from a very early stage, slowing down the disease progression long before the appearance of the characteristic and debilitating MSs (Doty, 2017). As previously stated, NMSs are linked to several factors, hence, there is a need for new drugs that are multitarget and do not simply aim at restoring DA loss. A drug that has shown such properties is exendin-4 (EX-4), a glucagon-like peptide 1 (GLP-1) analogue, currently licenced for treatment of type II diabetes (Athauda and Foltynie, 2016). GLP-1 has been shown to regulate glucose homeostasis and facilitate insulin signalling via activation of GLP-1 receptors (GLP-1Rs) (Nadkarni *et al.*, 2014), a G-protein coupled receptor associated with cAMP-dependent activation of protein kinase A (PKA) and of cAMP-regulated guanine nucleotide exchange factor (Grieco *et al.*, 2019). This peptide is produced both peripherally in the ileum and centrally in the nucleus of the solitary tract and the OBs, although to what extent peripherally versus centrally derived GLP-1 activates GLP-1Rs has yet to be determined (Daniels and Mietlicki-Baase, 2019). These receptors are expressed in several brain regions, such as frontal cortex, PC, hypothalamus, thalamus, hippocampus, cerebellum, and substantia nigra, suggesting that GLP-1 exerts some important neuroregulatory roles within the CNS (Cork *et al.*, 2015). Indeed, GLP-1R activation in the brain is thought to trigger neurotrophic effects, neuroprotection, synaptic plasticity and to reduce neuroinflammation (Kim *et al.*, 2017, Grieco *et al.*, 2019).

Endogenous GLP-1 has a short half-life due to its rapid inactivation by the circulating enzyme dipeptidyl peptidase IV into a metabolite that is no longer able to activate GLP-1Rs (Holst *et al.*, 2011). In contrast, the GLP-1 agonist EX-4, found naturally in the saliva of the Gila monster (a venomous lizard native to the south-western USA and Mexico), has been shown to be resistant to this enzyme (Athauda and Foltynie, 2016). In addition, EX-4, despite being a peptide, can cross the blood brain barrier, allowing systemic administration (Athauda and Foltynie, 2018). EX-4 has proven to be neuroprotective in various animal disease models, such as hypoxic-ischaemic encephalopathy (Rocha-Ferreira *et al.*, 2018), cerebral ischemia (Zhang *et al.*, 2016; Rocha-Ferreira *et al.*, 2018), spinal cord injury (Li *et al.*, 2015) and several PD models (Bertilsson *et al.*, 2008; Harkavyi *et al.*, 2008; Li *et al.*, 2009; Kim *et al.*, 2009; Cao *et al.*, 2016; Yun *et al.*, 2018, Chen *et al.*, 2018). Furthermore, clinical trials on PD patients reported that the activation of GLP1Rs through EX-4 improved motor functions, sleep quality, and cognition, while reducing depression compared with patients treated with conventional PD medication (Aviles Olmos *et al.*, 2013; Aviles Olmos *et al.*, 2014). Similarly, subcutaneous injections of EX-4 were found to improve, up to 12 weeks after exposure, motor functions of PD patients in the first randomized, double blind, placebo-controlled trial (Athauda *et al.*, 2017). Notably, the positive effects were not only limited to motor dysfunctions, but also to mood and emotional well-being (Athauda *et al.*, 2018). Lastly, participants of the trial treated with EX-4 had significantly higher tyrosine phosphorylation of insulin receptor substrate 1 than placebo-matched patients, suggesting that the results observed in clinical trial may be elicited by an insulin-based molecular mechanism (Athauda *et al.*,

2019). However, the effects of EX-4 on the underlying pathophysiology of PD are yet to be fully elucidated.

1.9 Background and aims of the present project

Unfortunately, early stages of PD have not received as much attention as the late stages, where motor dysfunctions are already present impairing patient's quality of life. Additionally, PD research has focussed the attention on the characterisation of the deficits in the dopaminergic pathways, disregarding both other brain regions and other neurotransmitters that may be involved in the aetiology of NMSs. The project described in the present thesis was developed to help provide further insights into the deficits and treatment of the early-stage stage of the disease, specifically focussing on the NMS hyposmia. To this end, through depletion of the monoaminergic system, a dual neurotoxin animal model of early stage PD has been developed, in which NMSs, such as hyposmia, are observed in the absence of MSs (Sancandi *et al.*, 2018). The aims of the present project were therefore to investigate the deficits displayed in the above dual neurotoxin model that may underlie the loss of sense of smell and test new potential treatments, such as EX-4 and also probiotics, to see whether they can prevent these deficits.

Chapter 2 - Materials and Methods¹

¹ This chapter contains the explanation of the techniques and procedures shared across all the experiments and it is intended as a scaffolding chapter. Please refer to individual chapters for more relevant and specific materials and methods.

2.1 Animals

Male albino Wistar rats (200–250 g) were purchased from either Harlan Laboratories, Inc., UK or Charles River Laboratories, UK. Animals were housed in groups of 4/5 in the Biological Service Unit (BSU) of the UCL School of Pharmacy. Animals had *ad libitum* access to food (standard rodent diet) and water. Conditions of humidity (40-60%), temperature (18-22°C) and a 12 hr light-dark cycle (light phase from 7 am to 7 pm daily) were kept constant in the BSU in line with the Home Office regulations. All experiments were approved by the Bloomsbury AWERB and carried out in accordance with UK Home Office [and European Communities Council Directive of 24 November 1986 (86/609/EEC)] guidelines (PPL No. 70/8199 and PP3144142).

2.2 Generation of the early-stage PD animal model

N-(2-Chloroethyl)-N-ethyl-2-bromobenzylamine hydrochloride (DSP-4), a selective noradrenaline neurotoxin, and 6-hydroxydopamine (6-OHDA), a neurotoxin used to deplete both noradrenergic and dopaminergic neurones, were purchased from Sigma (Sigma Aldrich, Gillingham, UK). DSP-4 was delivered at a concentration of 25 mg/kg in saline solution and injected intraperitoneally (i.p.) 4 days prior to the 6-OHDA injection, while 6-OHDA was dissolved at a concentration of 5 mg/ml in saline solution containing 0.9% ascorbic acid and delivered bilaterally in the striatum (Figure 2.1). The 3-day gap between injections was intended to replicate the pathophysiological progression of the disease observed in humans, in which the noradrenergic system is the first one to be affected followed by the dopaminergic one (Espay, LeWitt and Kaufmann, 2014). The optimum doses for DSP-4 and 6-OHDA

were chosen to induce *partial* reduction of NA and DA levels based on previous studies (Jonsson et al., 1981; Prezedborski et al., 1995), mimicking the early stage of the disease in which dopaminergic loss in the Substantia Nigra does not exceed 70%.

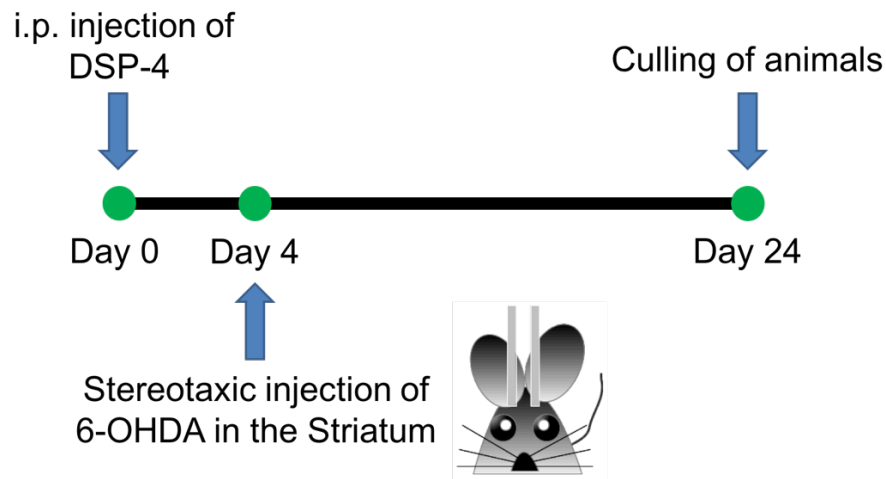


Figure 2.5 – Timeline for the generation of the early-stage PD animal model. On day 0 animals were given an *i.p.* injection of either saline (*sham*) or DSP-4 (*model*). 3 days later, animals underwent stereotaxic surgery to receive bilaterally either saline (*sham*) or 6-OHDA (*model*) into the striatum.

2.3 Surgeries and drug administration

The rats were anaesthetised with Isoflurane (5% v/v in O₂ for induction and 2% v/v in O₂ for maintenance delivered through a fitted anaesthetic nose mask) and were then placed in a stereotaxic frame to restrain the head and kept warm using a heating blanket. Animals received a subcutaneous injection of 0.2 ml of both non-steroidal anti-inflammatory drug Rimadyl (Zoetis) as a general analgesic and the local anaesthetic bupivacaine hydrochloride (Marcain). The head was then shaved and the skull exposed to reveal the bregma, which is defined as the point of intersection of the sagittal suture with the curve of best fit along the coronal suture (Paxinos et al., 1985). Two holes

were then pierced using an electric drill on top of the striatum (coordinates: anterior-posterior (AP) +1.0 and medio-lateral (ML) \pm 3.0 from bregma; dorso-ventral (DV) -6.5), according to the atlas of Paxinos and Watson (Figure 2.2, Paxinos and Watson, 1982). To confirm the site of the injections, one hemisphere per animal was cut perpendicularly to the hole left by the needle. Stereotaxic injections were given using a 10 μ l Hamilton syringe (Hamilton Company, USA). 6-OHDA was dissolved at a concentration of 5 mg/ml in saline solution containing 0.9% ascorbic acid. Each animal received 15 μ g of 6-OHDA or saline with ascorbic acid per striatum at a flow rate of approximately 1 μ l/min. The needle was then left *in situ* for 5 minutes to improve diffusion and prevent efflux of the toxin before slowly withdrawing from the brain. The skin over the wound was then closed with surgical sutures (Coated VICRYL 4-0 75 cm, ETHICON®) and 1 ml of saline solution was injected subcutaneously to compensate for potential fluid loss. Animals' weights were then monitored daily. Sutures were removed 7-10 days after surgery. Animals were culled 19 days after surgery and brains were harvested for further immunohistological analysis.

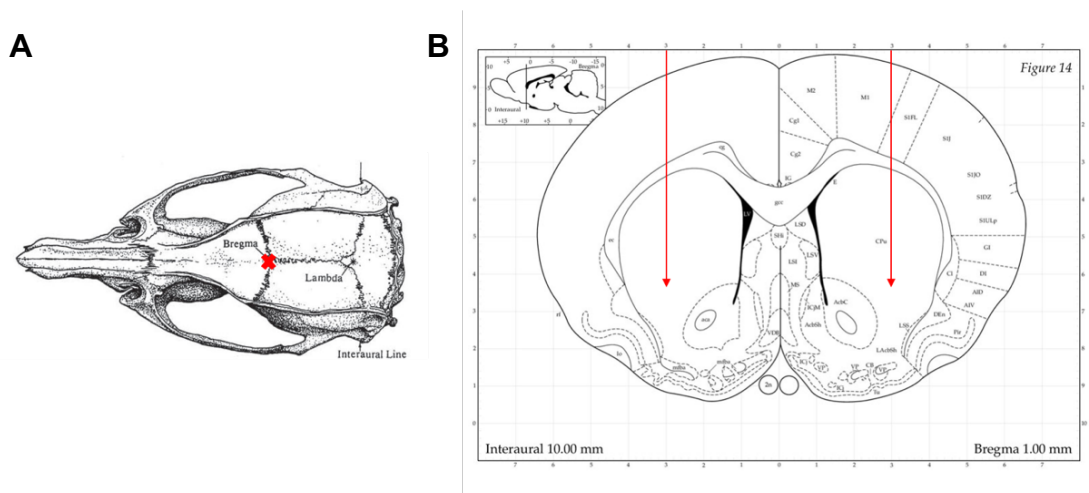


Figure 6.2 - Coordinates used for stereotaxic striatal injections. A) Top down view of the rat skull delineating the location of bregma indicated by the red 'X'. B) Stereotaxic coordinates

used for injection in the right and left striatum indicated by the red arrows (anterior-posterior +1.00mm, mediolateral +3.00mm, ventral-dorsal -6.5mm).

2.4 Immunohistochemistry

Transcardial perfusion generates optimal results by reducing the background staining (Hughes et al., 2000). Therefore, animals were anaesthetized with inhaled isoflurane (4% v/v in O₂) followed by an i.p. injection of euthatal (Merial, Harlow, UK) at a lethal dose of 60 mg/kg. Absence of the righting reflex indicated that the level of general anaesthesia sufficed. The heart was surgically exposed and a butterfly cannula (Butterfly-21, Hospira Venisystems, Ireland) was inserted into the left ventricle. Transcardial perfusion was then started by pumping ice-cold artificial cerebrospinal fluid (aCSF) containing in mM: 124 NaCl, 25.5 NaHCO₃, 3.3 KCl, 1.2 KH₂PO₄, 1 MgSO₄, 2.5 CaCl₂, 15 mM D-Glucose equilibrated with 95% O₂/5% CO₂. Brains were then removed and fixed overnight (4% paraformaldehyde, 0.2% saturated picric acid solution, 0.025% glutaraldehyde solution in 0.1 M phosphate buffer). Figure 2.3 shows the key steps of the immunohistochemical protocol. Briefly, 50 µm parasagittal or coronal sections containing the region of interest were cut using a vibratome. One in every 8 to 12 sections, depending on the size of the area of interest, was collected and 4-5 slices per animal were used per staining (please refer to individual chapters for exact numbers). Sections were incubated first in 1% H₂O₂ for 30 minutes and then in 1% sodium borohydride (NaBH₄) for 30 minutes to decrease background staining and then in either 1% bovine serum albumin for the Biotinylated Wisteria floribunda agglutinin (WFA) staining used to label perineuronal nets (PNNs) or in 10% normal goat serum (NGS) for all other antibodies for another 60 min to block nonspecific

antibody binding. Sections were incubated overnight at 4°C in a mixture of primary antibodies and triton X-100 (Sigma Aldrich) [1% Triton for GAD-67 - 0.1% for all other antibodies] made up in phosphate buffer solution. Primary antibodies used in this study are listed in Table 1. All antibodies were tested for specificity using negative controls.

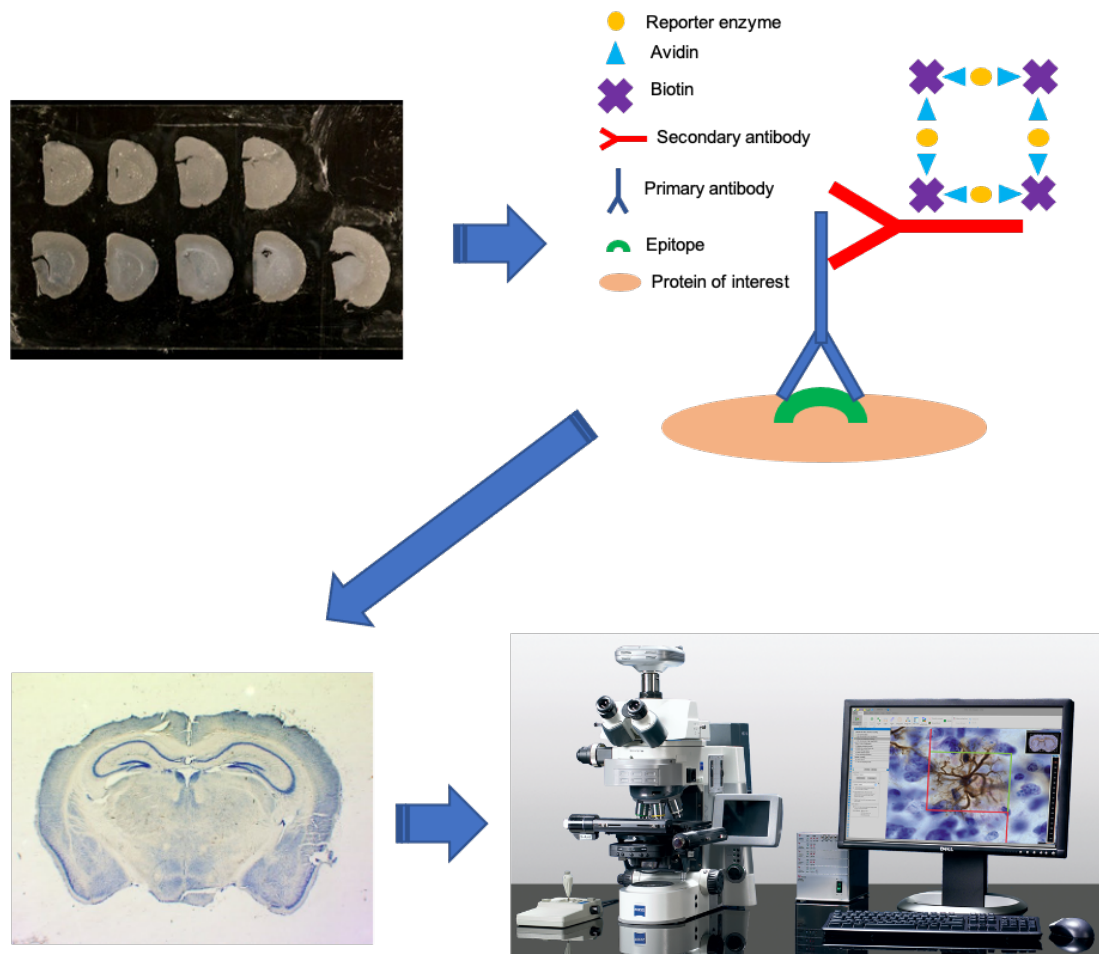


Figure 2.7 – Immunohistochemical protocol. Fixed brains were sliced using a vibratome and 1 in every 8-12 slices was collected. Next, through a combination of primary and secondary antibodies, proteins of interest were stained and subsequently imaged with a microscope. In the immunofluorescence protocol the secondary antibody is tagged with a fluorophore rather than the avidin-biotin complex.

Antibody	Immunogen	Manufacturer/ Investigator	Species	Catalogue/ Lot number	Dilutions
Parvalbumin	Purified frog muscle parvalbumin	Sigma	Mouse	P3088 Clone PARV- 9 Lot #048K4752	1:1000
Calretinin	Recombinant rat calretinin	Millipore	Rabbit	AB5054/LV15 32272	1:1000
Calbindin	Recombinant chick CaBP	Gift from Dr K. Baimbridge (2000)	Rabbit	R9501	1:1000
GAD67	Synthetic peptide from mouse GAD67 (amino acids (87- 106))	Sigma	Mouse	MAB 5406 Lot #2549419	1:1500
TH	SDS-denaturated rat tyrosine hydroxylase purified from pheochromocytoma	Sigma	Rabbit	T8700-1VL Lot #SLBL8773V	1:7500
GFAP	Purified glial filament	Millipore	Mouse	MAB 3402 #2549419	1:7500
Iba1	C-terminus of Iba1	Wako	Rabbit	019- 19741	1:1000
α -actinin-2	Rabbit skeletal alpha-actinin	Sigma	Mouse	L1516	1:5000

Table 2.1 – Primary antibodies used for Immunofluorescence and Immunoperoxidase staining.

2.4.1 Immunofluorescence*

Sections for fluorescence microscopy were then incubated for 2 h in a mixture of fluorescently-labelled secondary antibodies, anti-mouse fluorescein isothiocyanate (FITC) (1:160, Sigma) and goat anti-rabbit Texas Red (1:500, Vector Laboratories) made up in PBS. All fluorescently-labelled sections were then mounted on slides in Vectashield (Vector Laboratories) and studied using a confocal microscope (Zeiss LSM 710). 6 to 7 Z-stacks from the PC of each slice in each animal were obtained using a x10 objective and immunopositive cell bodies were counted using a cell counting plug-in in ImageJ software. Cellular densities were expressed as the number of cells per $\text{mm}^3 \pm \text{SEM}$.

2.4.2 Immunoperoxidase

Following incubation in primary antibodies, sections for immunoperoxidase staining were incubated overnight in secondary antibodies, biotinylated goat anti-mouse or anti-rabbit antibody (1:500, Vector Laboratories) made up in PBS. To visualise the stained neurones, sections were washed in 0.1M PB and PBS, incubated in ABC (Vector Laboratories) for at least 2 hours, washed in TRIS buffer, and then in 3, 3' diaminobenzidine (DAB, Sigma Aldrich). The stained neurones were then revealed using H_2O_2 . Sections from the different experimental groups were processed together using the same immunoreagents and the DAB reaction was stopped adding TRIS buffer at the same time to allow comparison between groups. Sections were then placed onto Superfrost slides, dehydrated, cleared with HistoClear and mounted using

* This part of the project was performed by Emma Schul (PhD student, UCL SOP)

DPX (Sigma Aldrich). Finally, slides were stored in sealed boxes to prevent potential oxidation of the slices until needed for stereology.

2.4.2.1 Neuroinflammation

Levels of GFAP and Iba1 immunohistochemical staining were measured by quantitative thresholding image analysis as previously described (Rahim et al., 2012). Four non-overlapping images of the PC in each section were captured using a DMR microscope and Leica Application Suite V4 (Leica Microsystems) at 20x magnification with constant light intensity, microscope calibration and video camera settings. Image-Pro Premier (Media Cybernetics, Cambridge, UK) was used to analyse the images and measure immunoreactivity using a constant threshold that was applied to all images for each respective antigen. Data are presented as the mean percentage area of immunoreactivity \pm SEM. 3D reconstructions of Iba1-immunopositive cells for each experimental group ($n = 8$ per animal) were obtained with a NeuroLucida software (MBF Bioscience) and morphological characteristics of these cells were analysed using Sholl and branched structure analyses.

2.4.2.2 Neuronal distributions

The optical fractionator probe was used to determine the number of immunopositive neurones in all regions of interest (Stereoinvestigator, MicroBrightField) using a Nikon microscope coupled to a computer-controlled x-y-z motorized stage and an MBF video camera system. Unbiased stereology was carried out on 5 slices per animal (Please refer to individual chapters for specific n numbers). The parameters for the stereological quantification were

adapted depending on the brain region analysed (please refer to individual chapters for specifics). Only neurones with visible nuclei and dendrites were counted.

2.7 Statistics

All data in this study were analysed using IBM SPSS Statistics Version 22.0. The Shapiro-Wilk test and the Kolmogorov-Smirnov test were carried out prior to statistical analysis to determine whether the data followed a normal distribution. The parametric one-way ANOVA or unpaired t-test were then used when the data followed a normal distribution and the non-parametric Kruskal-Wallis test was used in the case of a non-normal distribution.

Chapter 3 - Inside the core of the olfactory circuitry

3.1 Introduction

The olfactory system represents one of the oldest sensory modalities in the phylogenetic history of mammals. Initially, an odour is detected by the olfactory sensory neurones (OSNs) in the olfactory epithelium, where odorant receptors are located (Nagayama, Homma and Imamura, 2014). Over 1000 different functional odorant receptors have been identified in the mouse genome (Adipietro *et al.*, 2012). Interestingly, each OSN expresses only a single odorant receptor, hence, different odours trigger distinct subgroups of OSNs (Lodovichi and Belluscio, 2012). Activated OSNs then transmit the information firstly to the olfactory bulb (OB) and then to the olfactory cortex via the lateral olfactory tract, and to other cortical areas (Figure 3.1).

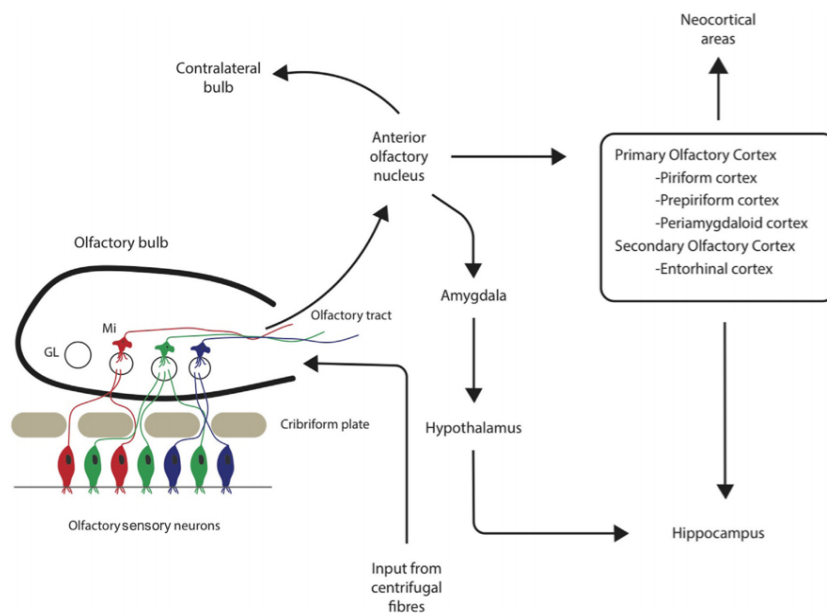


Figure 3.1 – (Adapted from Franks *et al.*, 2015). **A schematic view of the olfactory circuitry.** First, the odour is detected by the olfactory sensory neurones, and transmitted to the dendrites of mitral cells (Mi) in the glomerular layer (GL) of the olfactory bulb. Next, the information reaches the anterior olfactory nucleus, via the lateral olfactory tract. From there, the information is transmitted to other cortical and subcortical structures, such as the amygdala and the primary olfactory cortex before being processed in the hippocampus and in the neocortex.

3.1.1 First step: The olfactory bulbs

Within the OB, information is processed by several types of neurones located in different layers (Figure 3.2). Specifically, four layers have been distinguished: glomerular layer (GL), external plexiform layer (EPL), mitral cell body layer (MCL) and granule cell layer (GCL) (Kosaka and Kosaka, 2016). The GL comprises three morphological distinct cell types, that are mostly interneurons and do not innervate brain regions outside the OB: periglomerular (PG) cells, external tufted (ET) cells, and superficial short-axon (SSA) cells (Nagayama, Homma and Imamura, 2014). Particularly, PG cells have been shown to be GABAergic interneurons that express either the calcium-binding proteins (CBPs) calretinin (CR) or calbindin (CB) and co-release DA, forming a local inhibitory microcircuit (Kosaka and Kosaka, 2005). After being processed by GL cells, odour signals are transmitted to the tufted cells in the EPL and mitral cells in the MCL. Tufted and mitral cells share many morphological properties, such as the primary dendrites that extend to only one of the several thousand glomeruli in the GL, meaning that these cells receive odour information from only one type of odorant receptor, preserving the peculiar “single cell- single odorant receptor” property (Masurkar and Chen, 2010). Similarly to GL, the EPL includes interneurons that mostly express CR, with few expressing PV (Kosaka and Kosaka, 2010). Moreover, PV-positive interneurons have been shown to form reciprocal connections with mitral/tufted cells (Huang *et al.*, 2013; Kato *et al.*, 2013; Miyamichi *et al.*, 2013). The bottom layer of the OB, the GCL, contains mostly granule cells, which are inhibitory neurones (Mori, 2010). These cells are expressing GABA,

and only a subset localised in the superficial GCL also express CR (Batista-Brito *et al.*, 2008).

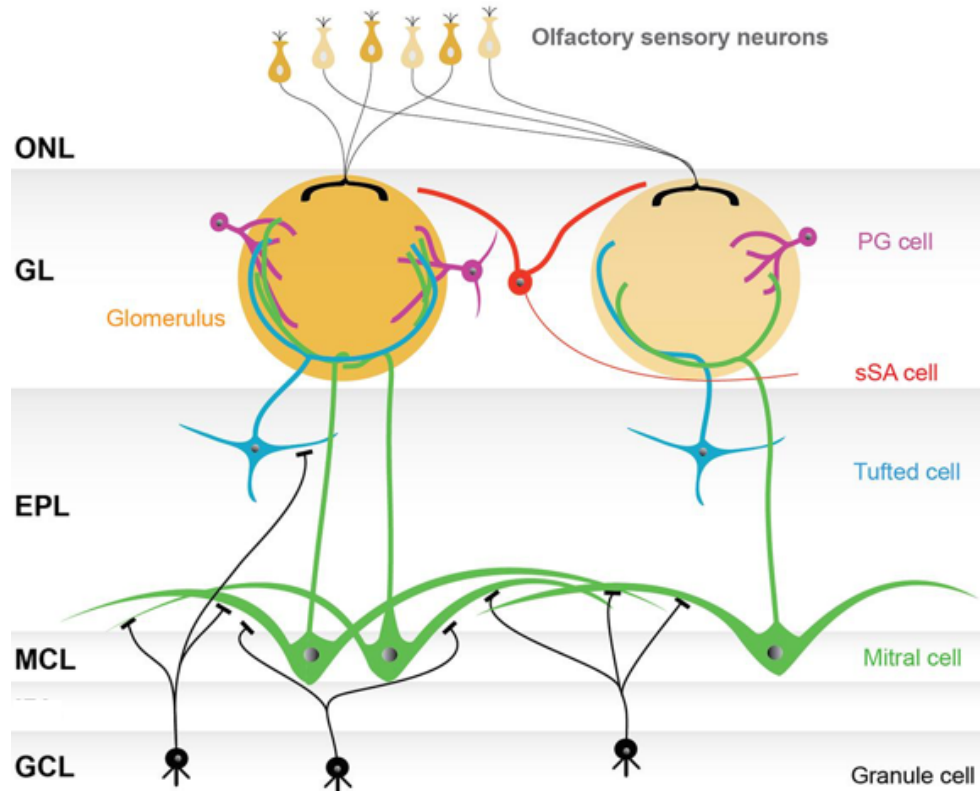


Figure 3.2 – (Adapted from Nagayama *et al.*, 2014). Layers and cell types of the olfactory bulb. Axons of olfactory sensory neurones make synapses in the glomerular layer (GL), where each glomerulus represents a single odorant receptor. Neurones surrounding glomeruli in the GL are called juxtglomerular cells (JG cells), consisting of three morphologically distinct cell types: periglomerular (PG) cells, external tufted (ET) cells (not shown), and superficial short-axon (sSA) cells. In the GL, the information is transmitted to tufted cells, whose somata are located in the external plexiform layer (EPL), and mitral cells, located in the mitral cell layer (MCL). The most internal layer of the olfactory bulb is the granule cell layer (GCL), that contains mostly inhibitory neurones.

3.1.2 Second step: the primary olfactory cortex

After being processed in the OB, the sensory information is then transmitted to cortical structures such as the olfactory cortex, the olfactory tubercle, cortical amygdala, and entorhinal cortex by a myelinated fibre tract, the so-called lateral olfactory tract (LOT) (Murthy, 2011) (see Figure 3.1). Specifically,

the main cortical area designated for the olfactory perception, particularly for discrimination and memory, is the olfactory or piriform cortex (PC) (Strauch and Manahan-Vaughan, 2018). The PC occupies the ventrolateral surface of the brain and being archaecortex, it is composed of three main layers: a first meagrely populated superficial layer (layer 1), a second main input layer, which contains the densely packed somata of glutamate-releasing superficial pyramidal neurones and semilunar cells (layer 2), and the deepest layer, which also comprises pyramidal neurones but at a lower density (layer 3) (Bekkers and Suzuki, 2013) (Figure 3.3).

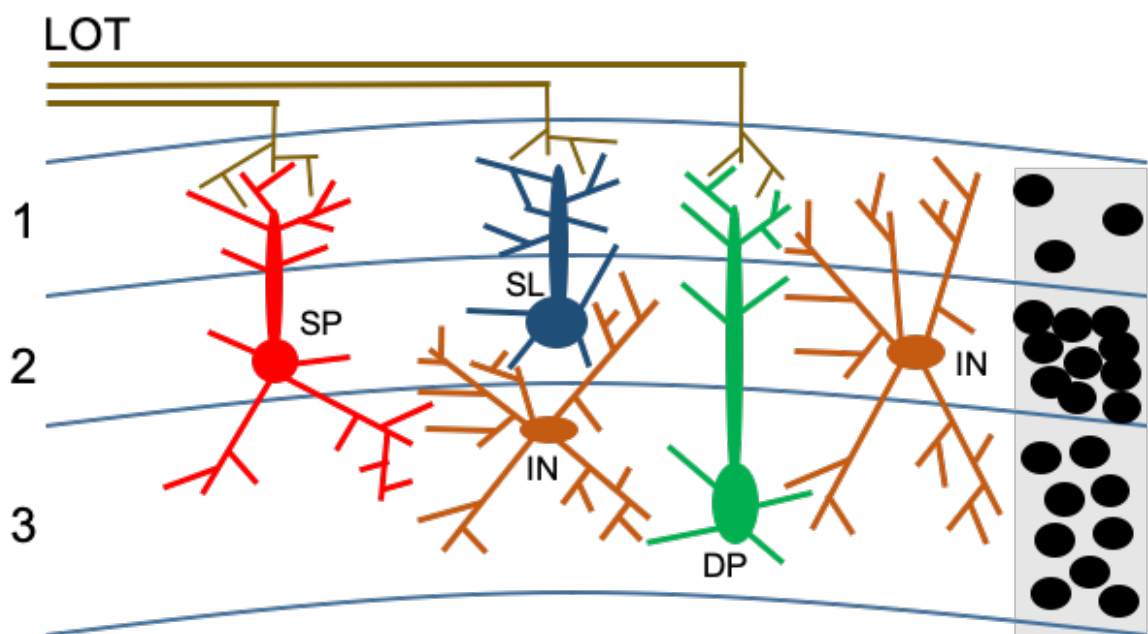


Figure 3.3 - Schematic cytoarchitecture and basic neuronal types in the Piriform Cortex. Fibres from the lateral olfactory tract (LOT) terminate in layer 1 of the PC. Semilunar (SL) and superficial pyramidal (SP) cells have their somata concentrated in layers 2. In contrast, deep pyramidal (DP) cells are located in layer 3. Lastly, GABA-releasing interneurons (IN) can be found in layers 2 and 3. Black circles on the right represent the relative density of neuronal somata in different layers.

The portion of the PC that receives input fibres from the LOT is the most lateral part of layer 1, whereas the dense associational and commissural fibres from neurones within the PC and elsewhere are situated throughout the other PC

layers (Hagiwara *et al.*, 2012; Maier, Wachowiak and Katz, 2012). However, it has been observed that the PC displays a uniform scattering of GABA-releasing interneurons, that provide feedforward or feedback synaptic inhibition of principal cells across all layers (Suzuki and Bekkers, 2007). Indeed, the PC contains five distinctive interneuronal populations that are spread across all layers, with the large majority being located in layers 2 and 3 (Suzuki and Bekkers, 2010a,b). Bitufted cells, that are mostly found in layer 2, express the neuropeptide vasoactive intestinal peptide (VIP) and/or CR (Ekstrand *et al.*, 2001), while fast-spiking multipolar cells express mainly CB and PV (Suzuki and Bekkers, 2010a). In addition, it has been observed that the PC contains also perineuronal nets (PNNs), which are highly condensed extracellular matrix aggregates that surround the cell bodies and proximal dendrites of most PV-positive GABAergic interneurons (Alpár *et al.*, 2006). Specifically, they are formed of four families of extracellular matrix molecules: chondroitin sulfate proteoglycans (CSPGs), tenascin glycoproteins, hyaluronan, and link proteins (Carulli *et al.*, 2006). PNNs are mainly involved in the control of CNS plasticity and they have been observed to be coupled to highly active neurons suggesting a supporting role to neural function (Wintergerst, Faissner and Celio, 1996; Morris and Henderson, 2000). Moreover, experimental evidence suggested that PNNs are linked to synapse formation (Pyka *et al.*, 2011) and that they may exert a neuroprotective role from oxidative stress by forming a protective shield (Cabungcal *et al.*, 2013; Suttkus *et al.*, 2014).

3.1.3 Monoaminergic modulation of the OB and PC

Both the OB and the PC are modulated by several inputs arising from different brain areas through the release of neurotransmitters such as dopamine and noradrenaline (Stettler and Axel, 2009; Wilson, 2009; Bekkers and Suzuki, 2013). Indeed, noradrenergic and dopaminergic inputs have been shown to modulate the olfactory circuitry (Fallon, Riley and Moore, 1978). For example, noradrenergic projections from the LC have been shown to target mitral and tufted cells in EPL (Kosaka and Kosaka, 2016), and the OB hosts the most abundant group of dopaminergic cells in the CNS (Pignatelli and Belluzzi, 2017). Furthermore, layers 2 and 3 of the PC receive inputs from the DA nigrostriatal pathway and noradrenergic projections from the LC (Fallon, Riley and Moore, 1978; Bouret and Sara, 2002). Whilst DA fibres terminate on a small cluster of pyramidal neurones in layer 3, some noradrenergic projections branch into axons running parallel to the pial surface within layer I then descend into layer 2 where they end (Datiche and Cattarelli, 1996). Dopamine and noradrenaline have been found to exert similar modulatory effects within the PC. Noradrenaline was shown to contribute to odour learning and perception through both a selective suppression of excitatory synapses (Hasselmo *et al.*, 1997) and an enhancement in the spontaneous activity of inhibitory cells (Kawaguchi and Shindou, 1998). DA transmission within the PC has also been found to suppress the after hyperpolarization of pyramidal cells via cross reactivity with dopaminergic receptors (Malenka and Nicoll, 1986) and to increase the activity of inhibitory interneurons by enhancing their spontaneous inhibitory potentials (Gellman and Aghajanian, 1993).

3.1.4 Exploring the aetiology of hyposmia in the PC and OB

The mechanisms underlying olfactory dysfunctions in PD are still currently unknown (De Rui *et al.*, 2020). Although most of the emphasis in the aetiology of PD is ascribed to DA loss, hyposmia does not show any improvement with classical DA medications, such as L-DOPA (Seppi *et al.*, 2019). Furthermore, degeneration of several neurotransmitter systems, with a probable consequent development of neuroinflammation, has been proposed to play a key role in the aetiology of hyposmia (Doty, 2017; Song *et al.*, 2019; De Rui *et al.*, 2020). Indeed, loss of 5-HT signalling may affect GABA transmission in the olfactory regions, such as OB and PC (Marek and Aghajanian, 1994; Ciranna, 2006), therefore leading to hyposmia. Recently, the interest in the role of the GABAergic system in PD has increased, since the discovery that GABAergic levels were decreased in the cerebral spinal fluid of PD patients, suggesting for a possible role of GABAergic system dysfunctions in the pathogenesis of PD (Błaszczuk, 2016). Indeed, experimental evidence showed that GABAergic interneurons are essential for odour detection and functionally distinct GABAergic circuits within the olfactory bulbs play different roles in olfactory coding, with the tonic inhibition exerted by these cells regulating the sensitivity of odour detection and odour perception (Muruet-Goyena *et al.*, 2019). Furthermore, glutamatergic and CBP-positive cells were found to be severely affected within the olfactory cortex of a transgenic mouse model of PD (Doty, 2012a) and a deficit in GABAergic neurones in post-mortem brains from PD patients was also observed, with the CBP-positive cells being the most vulnerable to neurodegeneration in the olfactory pathway (Ubeda-Bañon, Saiz-Sanchez, de la Rosa-Prieto, Argandoña-Palacios, *et al.*,

2010). Additionally, interneurons that express CBPs in the olfactory regions are thought to be particularly affected by the deposition of α -synuclein compared with dopaminergic cells in both PD patients and mice over-expressing the A53T human α -synuclein (Ubeda-Bañon *et al.*, 2010; Taguchi *et al.*, 2020). Human studies have observed a significant decrease of somatostatin (SOM)-expressing interneurons and an increase in the number of PV-expressing interneurons in the anterior olfactory nucleus of PD patients compared with healthy controls (Saiz-Sanchez *et al.*, 2020). Similarly, it has been observed that the degeneration of PNNs forestalls the loss of calcium binding protein-positive interneurons, especially PV-positive cells, in various neurological disorders such as Alzheimer's disease (Baig, Wilcock and Love, 2005a) and schizophrenia (Berretta *et al.*, 2015a). Nevertheless, a reduction in PNN levels has yet to be detected in PD subjects. Lastly, non-neuronal cells, such as microglia, pericytes, and astrocytes, in the same region, were also recently shown to contain α -synuclein inclusions, suggesting that they may play an important role in the progression of PD (Stevenson *et al.*, 2020).

3.1.5 Aims of this chapter

The study of the deficits underlying the early-stage stages of PD is of vital importance to determine the aetiology of the disease and potential drug targets. Hence, we first hypothesised that through the injection of both noradrenergic and dopaminergic toxins, it is possible to develop a PD animal model that recapitulates the symptomatology, such as the presence of hyposmia in the absence of MSs, and pathophysiology characteristic of early-stage PD. In addition, based on the studies conducted on human tissues, we

hypothesised that neuroinflammation and a defect in GABAergic cells sustain the hyposmia. Lastly, we also hypothesised that treatment with EX-4 would result in neuroprotective effects. Therefore, the experiments presented in the present Chapter aimed at: 1) validating an early-stage PD animal model for the study of NMSs; 2) investigating the effects exerted by a monoaminergic denervation in the PC and OB; and 3) evaluating the effectiveness of EX-4 in preventing the damages caused by the dual-toxin treatment. To this end, after PD was induced in the animals using a combination of two neurotoxins, animals were tested with behavioural protocols to validate the presence of NMSs in the absence of MSs, thus, validating the early-stage. Brain samples were then collected and analysed using immunohistochemistry and unbiased stereology to assess whether the deficits observed in the early-stage in human studies were displayed by this animal model. Additionally, and most interestingly, EX-4's effectiveness on the observed deficits in our early-stage PD model was investigated for the first time.

3.2 Materials and Methods

3.2.1 Experimental Groups

To achieve the aims of this study, a rat model of early-stage PD was developed using the combination of two neurotoxins. Rats were randomly divided into three groups: sham, DSP-4 + 6-OHDA (early-stage model), and DSP-4 + 6-OHDA + EX-4. The protocol used is summarised in Figure 3.4. Briefly, on day 0, behavioural tests were conducted to acquire baseline values for all the animals. Next, on day 1, animals were injected intraperitoneally either with saline (controls) or DSP-4 (early-stage model). Three days later, they underwent stereotaxic surgeries in which either vehicle or 6-OHDA were delivered directly into the striatum (bilaterally). The three-day interval between the two toxins was intended to mimic the human progression of the disease in which the noradrenergic system is affected prior to the dopaminergic one. Two weeks following the surgeries, animals were injected intraperitoneally twice daily with either EX-4 (Sigma Aldrich) or saline for 7 days (Figure 3.4). Finally, three weeks after the surgeries, animals were culled and the brains were collected for analyses. All animals were tested for hyposmia using both the hidden and habituation/dishabituation tests. Each experimental group was then subdivided into smaller groups that were tested with one other test (rotarod test, novel object recognition test or sucrose preference test) to avoid confounding results. Data presented in this thesis relates to the rotarod test. Immunohistochemistry was performed on all animals.

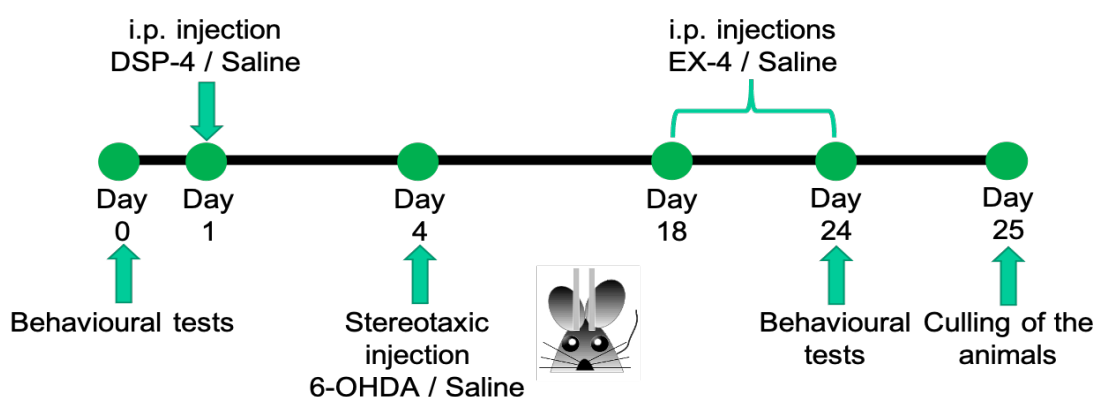


Figure 3.4 – Experimental timeline. On day 0, animals underwent behavioural tests to acquire the baseline. The following day, they received the injection of either DSP-4 (early-stage model, 25 mg/Kg) or saline (sham). 3 days later, stereotaxic surgeries were performed to bilaterally deliver in the striatum either 6-OHDA (early-stage model, 15 μ g) or saline (sham). Next, from day 18, animals were treated daily for a week with either EX-4 (early-stage model) or saline (sham and early-stage model). On day 25 animals were culled and the brains collected for further analyses.

3.2.2 Drugs

The toxins used to induce the noradrenergic and the dopaminergic lesions, N-(2-Chloroethyl)-N-ethyl-2-bromobenzylamine hydrochloride (DSP-4) and 6-hydroxydopamine (6-OHDA) respectively, were purchased from Sigma (Sigma Aldrich, Gillingham, UK). DSP-4 was delivered at a concentration of 25 mg/kg in saline solution and injected intraperitoneally (i.p.) 4 days prior to the 6-OHDA injection, while 6-OHDA was dissolved at a concentration of 5 mg/ml in saline solution containing 0.9% ascorbic acid and delivered bilaterally in the striatum. DSP-4 and 6-OHDA doses were chosen to induce only a partial reduction of NA and DA levels to mimic the early stage of the disease (Jonsson et al., 1981; Prezedborski et al., 1995). EX-4 (Sigma Aldrich) was administered twice daily via intraperitoneal injection 14 days after surgery (with saline as a vehicle) at a dose of 0.5 μ g/kg for a period of 7 days.

3.2.3 Behavioural tests

Behavioural tests were carried out at 2 different time points: baseline and 18 days after surgery (Figure 3.4). All animals were tested for hyposmia using both the hidden food test, to measure the general olfaction, and the habituation dishabituation test, to investigate odour memory and discrimination. Motor skills were investigated using the rotarod test (ROT). Animals were acclimatised to the testing room for 1 hour prior to each behavioural test. In addition, all animals were handled and exposed to the testing arenas to diminish environmental novelties during the 7-day acclimatising period preceding the baseline tests.

3.2.3.1 *Hidden food test*

The protocol for the hidden food test was adapted from Yang and Crawley (2009). This test relied on the animals' natural tendency to use olfactory cues. By burying the food in bedding material, visual clues are eliminated and the animal solely relied on olfactory clues. Before the test, animals were fasted overnight. To acclimatise the animals, they were placed in a box (40x20x30 cm) containing 1 cm of sawdust for 3 minutes. They were then transferred to a different box containing 1 cm of sawdust and a banana chip as a treat hidden beneath the sawdust. The latency, *i.e.* the time spent locating the treat, was recorded. Boxes were cleaned with 30% EtOH and sawdust was replaced between animals. Five animals per experimental group were also tested with the treat with the view to assess for lack of motivation.

3.2.3.2 Habituation/dishabituation test

The habituation dishabituation test assessed the general olfactory abilities and more specifically, the ability to discriminate between odours and the ability to learn odours. Dishabituation was a measure for odour discrimination and was characterised by a sudden increase in exploring activity upon the presentation of a new scent. Habituation indicated the ability to learn a new odour and was characterized by a decrease in exploration time over three trials with the same odour. The protocol for this test was adapted from Yang & Crawley (2009). Prior to testing, animals were acclimatised in a transparent closed filtered top cage (40x20x30 cm) for 10-30 minutes, as described by Bonito-Olivo et al. (2014). Subsequently, all animals were tested with 5 different scents (water/ paprika/ vanilla/ social1/ social2) over 3 trials in the closed cage. The vanilla and paprika odours were prepared by diluting vanilla essence (Waitrose, UK) or paprika powder (Waitrose, UK) in distilled water (1:100); each social odour was obtained by swiping the tip of a cotton swab across the bottom of the cage from same sex animals that were not included in this study. Each odour was presented on a cotton swab in 3 consecutive trials for 2 minutes separated by 1 minute intervals between trials. The cotton swabs were freshly prepared for every exposure. All tests were recorded with a video camera. Exploratory time (measured in seconds) was defined as the time during which the animals' nose was in contact or <2mm of the cotton swab and measured for each trial.

3.2.3.3 Rotarod test

Motor skills of the animals were investigated using the rotarod test. Animals were placed on a rotating drum which accelerated over time. Animals were trained on an automated 4-lane rotarod unit (Panlab, Harvard Apparatus, UK)

for 3 consecutive days until performance was stable. An accelerating rotarod protocol was used in which the animal was placed on a rod that accelerated smoothly from 4 to 40 rpm over a period of 5 minutes. The latency to fall, indicated by the time that each animal was able to stay on the rod, and the speed of the rod were registered automatically by a trip switch under the floor of each rotating drum.

3.2.4 Immunohistochemistry

Briefly, 50 µm parasagittal sections containing the PC were cut using a vibratome. One in every 12 sections was collected and 3-4 slices were used per animal and per staining. Similarly, 50 µm coronal sections containing the OB were cut, one slice in every 8 was collected and 4-5 slices per animal were used. Sections were incubated first in 1% H₂O₂ for 30 minutes and then in 1% sodium borohydride (NaBH₄) for 30 minutes to decrease background staining and then in either 1% bovine serum albumin for the Biotinylated Wisteria floribunda agglutinin (WFA) staining used to label perineuronal nets (PNNs) or in 10% normal goat serum (NGS) for all other antibodies for another 60 min to block nonspecific antibody binding. Sections were incubated overnight at 4°C in a mixture of primary antibodies and triton X-100 (Sigma Aldrich) [1% Triton for GAD-67 - 0.1% for all other antibodies] made up in phosphate buffer solution (Primary antibodies are listed in Chapter 2).

3.2.4.1 *Neuronal distributions in the PC*^{2*}

6 to 7 Z-stacks from the PC of each slice in each animal [1 in 12 PC sections-3-4 slices per animal] were obtained using a x10 objective and immunopositive cell bodies were counted using a cell counting plug-in in ImageJ software. Cellular densities were expressed as the number of cells per mm³ ± SEM.

3.2.4.2 *Neuronal distributions in the OB*

CBPs, GAD-67, and NeuN immunostainings were carried out on coronal sections containing the OB according to the immunoperoxidase protocol described in Chapter 2. 1 in 8 slices per animal were collected and processed. Sections were dehydrated and mounted using DPX. The optical fractionator probe was used to determine the number of immunopositive neurones (Stereoinvestigator, MicroBrightField) using a Nikon microscope coupled to a computer-controlled x-y-z motorized stage and an MBF video camera system. Unbiased stereology for CBPs was carried out on 5 slices per animal ($n = 6$ per experimental group) with the following parameters: counting frame 150 µm x 130 µm; grid size 850 µm x 600 µm; section thickness 50 µm, dissector height 18 µm, and high resolutions lens X10. Similarly, the following parameters were used for the unbiased stereology for GAD-67 and NeuN staining: counting frame 150 µm x 130 µm; grid size 500 µm x 500 µm; section thickness 50 µm, dissector height 15 µm, and high resolutions lens X40. Only neurones with

^{2*} This part of the project was performed by Emma Schul (former PhD student UCLSOP)

visible nuclei and dendrites were counted. Data are displayed as cell density per $\text{mm}^3 \pm \text{SEM}$.

3.2.4.3 Tyrosine Hydroxylase (TH) staining

TH immunostaining was carried out on coronal sections containing the SNpc and on coronal sections containing the OB according to the immunoperoxidase protocol described in Chapter 2. 1 in 4 (SNpc) or 1 in 8 (OB) slices per animal were collected and processed. Sections were dehydrated and mounted using DPX. The optical fractionator probe was used to determine the number of TH-immunopositive neurones in both regions (Stereoinvestigator, MicroBrightField) using a Nikon microscope coupled to a computer-controlled x-y-z motorized stage and an MBF video camera system. Unbiased stereology was carried out on 5 slices per animal ($n = 6$ per experimental group) with the following parameters: counting frame $60 \mu\text{m} \times 60 \mu\text{m}$; grid size $200 \mu\text{m} \times 200 \mu\text{m}$; section thickness $50 \mu\text{m}$, dissector height $12 \mu\text{m}$. Only neurones with visible nuclei and dendrites were counted. Data are displayed as cell density per $\text{mm}^3 \pm \text{SEM}$.

3.2.5 High Performance Liquid Chromatography (HPLC)^{3*}

Dissected rat brain tissues (SNpc, striatum and PC) were weighed and homogenised in appropriate volumes of homogenising solution (0.1M perchloric acid containing 400 mM sodium metabisulphite) and then microcentrifuged 10,000g for 20 min at 4 °C. Determination of DA and NA

^{3*} This part of the project was performed by RenaSci Limited, UK.

levels was performed with a Jasco PU-980 pump HPLC coupled to electrochemical detection (Coulchem II- ESA model 5011 analytical cell), equipped with a Capital Hypersil column (250 x 4.6mm id 5 μ m). The mobile phase consisted of 0.01 M sodium dihydrogen orthophosphate dehydrate, 0.9 mM 1-octanesulfonic acid sodium salt, 0.1% dibutylamine, 12.5% methanol, and pH 3.2 at a flow rate of 1ml min⁻¹. The height of the peaks produced by oxidation of NE and DA was compared with that produced by known standards. Concentrations of the monoamines were expressed as ng/g \pm SEM. Data were captured using Antec's Scientific Clarity software.

3.2.6 Statistics

All data in this study were analysed using IBM SPSS Statistics Version 22.0. The Shapiro–Wilk test and the Kolmogorov–Smirnov test were carried out prior to statistical analysis to determine whether the data followed a normal distribution. The parametric one-way ANOVA, repeated measures ANOVA or unpaired t-test were then used when the data followed a normal distribution and the non-parametric Kruskal–Wallis test were used in case of a non-normal distribution. Statistical significance was set at $P < 0.05$.

3.3 Results

3.3.1 6-OHDA- and DSP-4-induced dopaminergic and noradrenergic loss in the SNpc, striatum, and piriform cortex.

Figure 3.5A shows representative photomicrographs of TH-immunopositive cells in the SNpc of each experimental group, sham, 6-OHDA + DSP-4, 6-OHDA + DSP-4 + EX-4. Unbiased stereology revealed that the dopaminergic lesion significantly decreased TH immunoreactivity by $43.5 \pm 5.3\%$ in the SNpc of the early-stage model compared with that observed in sham animals ($P < 0.01$) (Figure 3.5B). Injections of EX-4 partially prevented the neuronal loss in this region (Figures 3.5A and 3.5B). Similarly, quantification of DA and NA levels through HPLC revealed a significant reduction in the SNpc, $47.6 \pm 2.4\%$ and $49.9 \pm 1.6\%$ respectively, as well as in the striatum of the early-stage PD model compared with those measured in the sham animals [unpaired t-test, $P_{DA} < 0.01$, $P_{NA} < 0.001$] (Figures 3.5C and 3.5D). In addition, DA and NA levels were found to be reduced also in the PC by $39.8 \pm 1.1\%$ and $40 \pm 1.4\%$ respectively, of the early-stage PD model compared with those in the shams [unpaired t-test, $P_{DA} < 0.0001$, $P_{NA} < 0.001$] (Figures 3.5C and 3.5D).

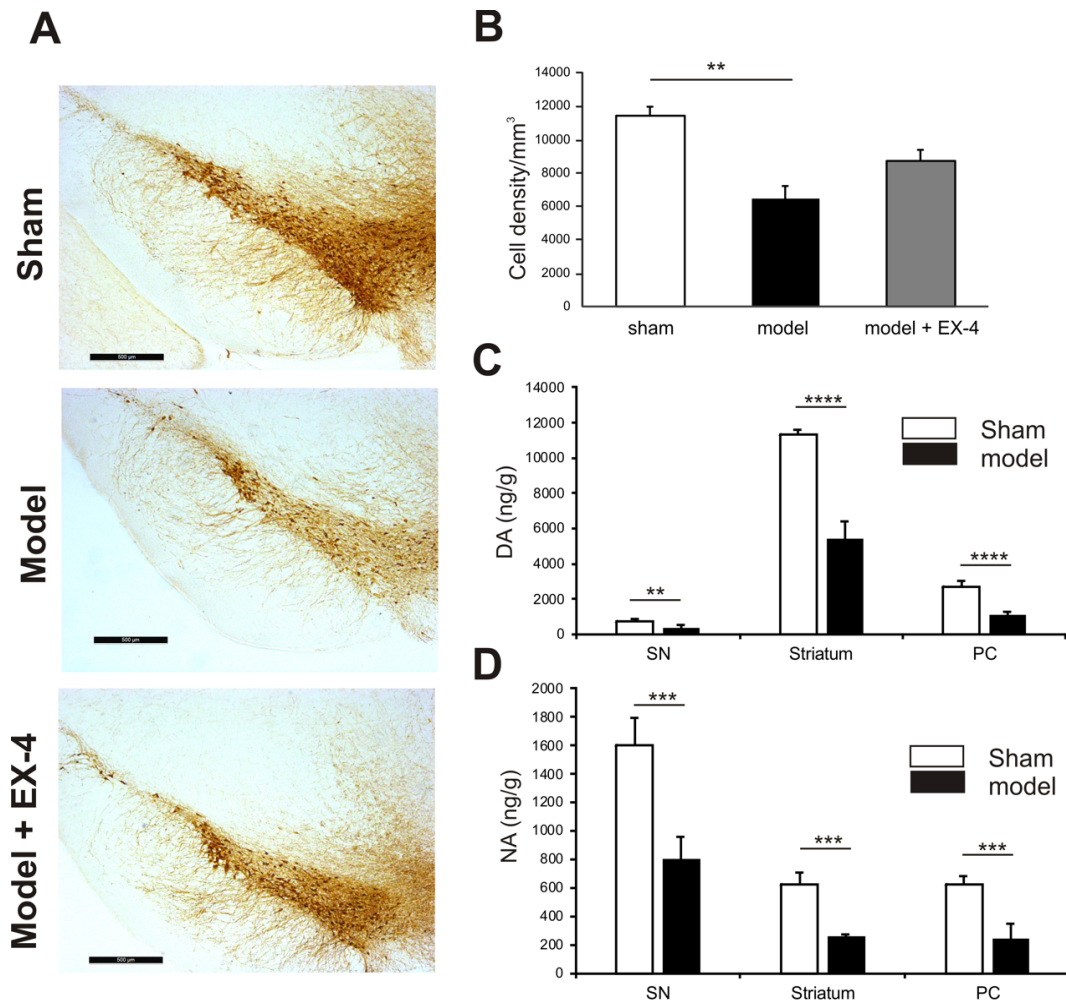


Figure 3.5 - Reduction of dopamine and noradrenergic levels in a model of early-stage PD. **A** Representative images of TH-staining in the Substantia Nigra pars compacta (SNpc) in the sham-operated animals (top panel), early-stage PD model (middle panel) and model treated with EX-4 (bottom panel). Scale bars represent 500 μm . **B** Number of TH-positive cells in the SN expressed as cell density per mm^3 ($n = 6$ animals per experimental group). A decrease in the number of TH-positive cells was observed in the early-stage PD model (unpaired t -test $** P < 0.01$). This decrease was partially prevented by treatment with EX-4 (unpaired t -test $P_{\text{shamvsmodel + EX-4}} > 0.05$; $P_{\text{modelvs model + EX-4}} > 0.05$). **C** HPLC measurements of tissue levels of dopamine (DA) in SN, striatum and piriform cortex (PC) expressed as ng/g wet weight. Levels of DA were significantly reduced in the three regions (unpaired t -test $n = 4-5$ animals per group $** P < 0.01$, $**** P < 0.0001$). **D** HPLC measurements of tissue levels of noradrenaline (NA) in SN, striatum and piriform cortex (PC) expressed as ng/g wet weight. Levels of NA were significantly reduced in the three regions (unpaired t -test $n = 4-5$ animals per group $*** P < 0.001$).

3.3.2 The early-stage PD model displayed hyposmia in the absence of motor symptoms

Motor skills, which were assessed using the rotarod test, were not affected in the model and model + EX-4 groups (One-way ANOVA, $P > 0.05$) (Figure 3.6A) and in sham animals (data not shown). General olfactory function was investigated using the hidden food test. The early-stage model displayed an increased latency to finding the treat compared with the sham animals (One-way ANOVA, $P < 0.05$) (Figure 3.6B). Treatment with EX-4 prevented this increase ($P_{\text{sham vs model +EX-4}} > 0.05$). Open food tests with the treat in view were conducted to rule out a lack of motivation to find the treat and latencies were similar in the three experimental groups (data not shown). The habituation/dishabituation test was used to assess general olfactory function (measure of the exploratory time for each odour during each trial), odour memory (habituation) and odour discrimination (dishabituation). Figure 3.6C shows that experimental groups differed in the progressive decline of the exploration times for social 1 and social 2 ($F_{\text{social1 (18,32)}}=3.115$, $P < 0.01$; $F_{\text{social2 (18,34)}}=3.087$, $P < 0.01$). Treatment with EX-4 increased the exploration time on the first trial for social 1 ($P < 0.05$). The ability to discriminate between odours was evaluated by the increase in exploration time when a new odour was presented. The early-stage model displayed reduced exploration time for the novel presentation of paprika and vanilla compared with Sham animals ($P_{\text{paprika}} < 0.05$; $P_{\text{vanilla}} < 0.05$).

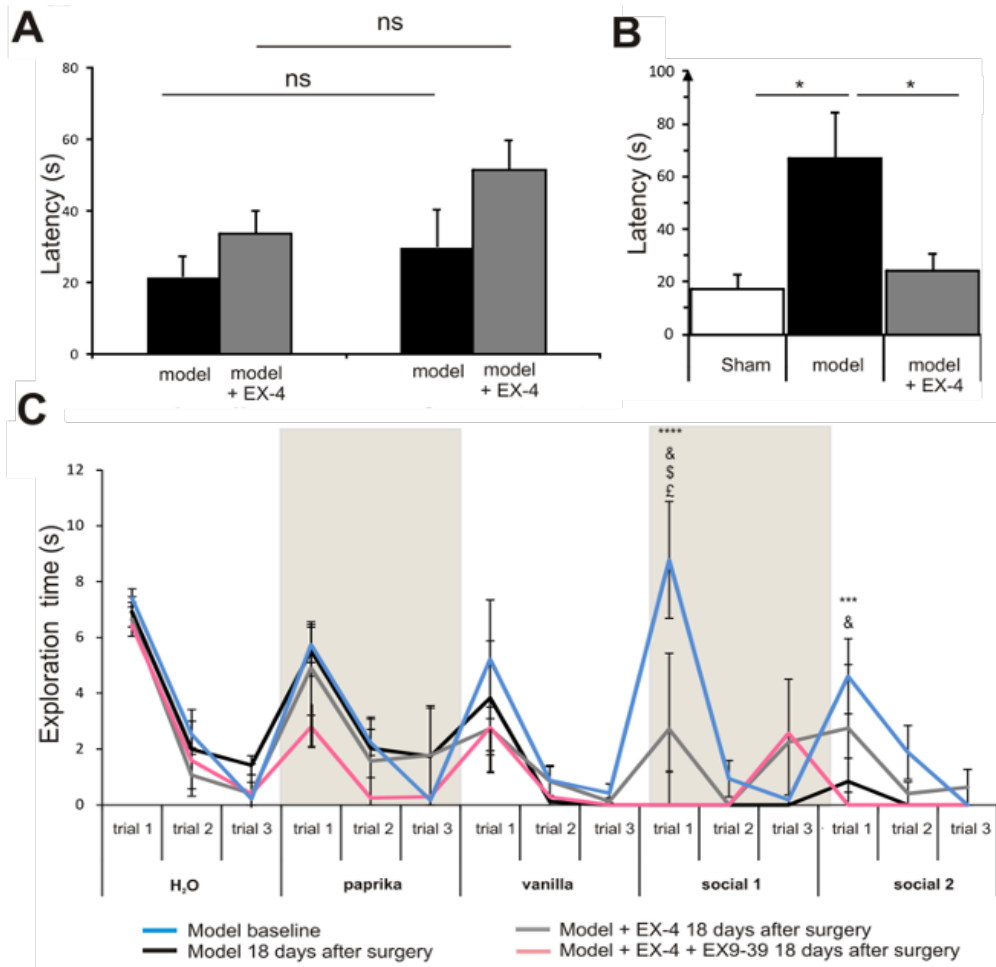


Figure 3.6⁴ – *The early-stage PD model displayed hyposmia in the absence of motor symptoms. A)* Locomotion in the early-stage model receiving either saline or EX-4 treatments was tested at baseline and after treatment) and no significance difference was found. Data are presented as mean \pm SEM. The latency at which the animals fell from the rotating rod was similar to that observed in sham animals (One-way ANOVA; $P > 0.05$). **B)** Hyposmia was tested first using the hidden food test. Data are represented as mean \pm SEM. The time taken by the early-stage model animals to find the hidden treat was increased compared with that by the sham animals (One-way ANOVA, $P < 0.05$). Hyposmia was prevented by treatment with EX-4. **C)** Olfactory deficits were also tested using the habituation/dishabituation test. The early-stage model did not explore the vanilla odour during the trials 2 and 3 or the two social odours presented. EX-4 prevented the non-response following the first presentation of the social 1 and 2 odours (two-way ANOVA with repeated measures- *** $P < 0.001$, **** $P < 0.0001$ for early-stage model at baseline compared with PD model at 18 days after surgery; & for PD model at 18 days after surgery compared with PD model + EX-4; \$ for PD model + EX-4 compared with PD model + EX-4 + EX9-39; £ $P < 0.05$ for early-stage model at baseline compared with PD model + EX-4).

⁴ The present image was adapted from Sancandi *et al.* (2018), thus, section C includes data on the use of EX-4 antagonist even though the latter was not used in the work presented in this thesis.

3.3.3 Neuroinflammation is present in the PC of the early-stage PD model.

The presence of neuroinflammation in the PC of the early-stage PD model was assessed with staining for the glial fibrillary acidic protein (GFAP) and the ionised calcium binding adaptor molecule 1 (Iba1). The former was used to detect activated astrocytes and the latter activated microglial cells (Figure 3.7A and 3.7B respectively). A stronger staining was observed for GFAP-immunopositive astrocytes in the PC of the early-stage PD model compared with that in the sham animals (Figure 3.7Ab $P < 0.0001$), with astrocytes of the PC of the model showing enlarged somata, extensive branching processes and overlapping domains (insert in Figure 3.7Aa). Treatment with EX-4 prevented the astrocytic activation in the PC of the animals injected with the toxins (Figure 3.7Ab). In contrast, the intensity of Iba1 staining in the PC of the early-stage PD model was significantly decreased compared with that in the sham animals (Figure 3.7Bb $P < 0.05$). Microglial cells in the PC of the model exhibited a decreased number of processes and less complex and shorter branches than in the sham animals, suggesting microglial activation ($P < 0.05$ - Figure 3.7Ca,b,c,d,e,f). The size of the somata in the model was, however, similar to that in the sham animals ($P > 0.05$ - Figure 3.7Cg). Interestingly, EX-4 treatment did not significantly prevent microglial activation in the model ($P > 0.05$ Figure 3.7Bb).

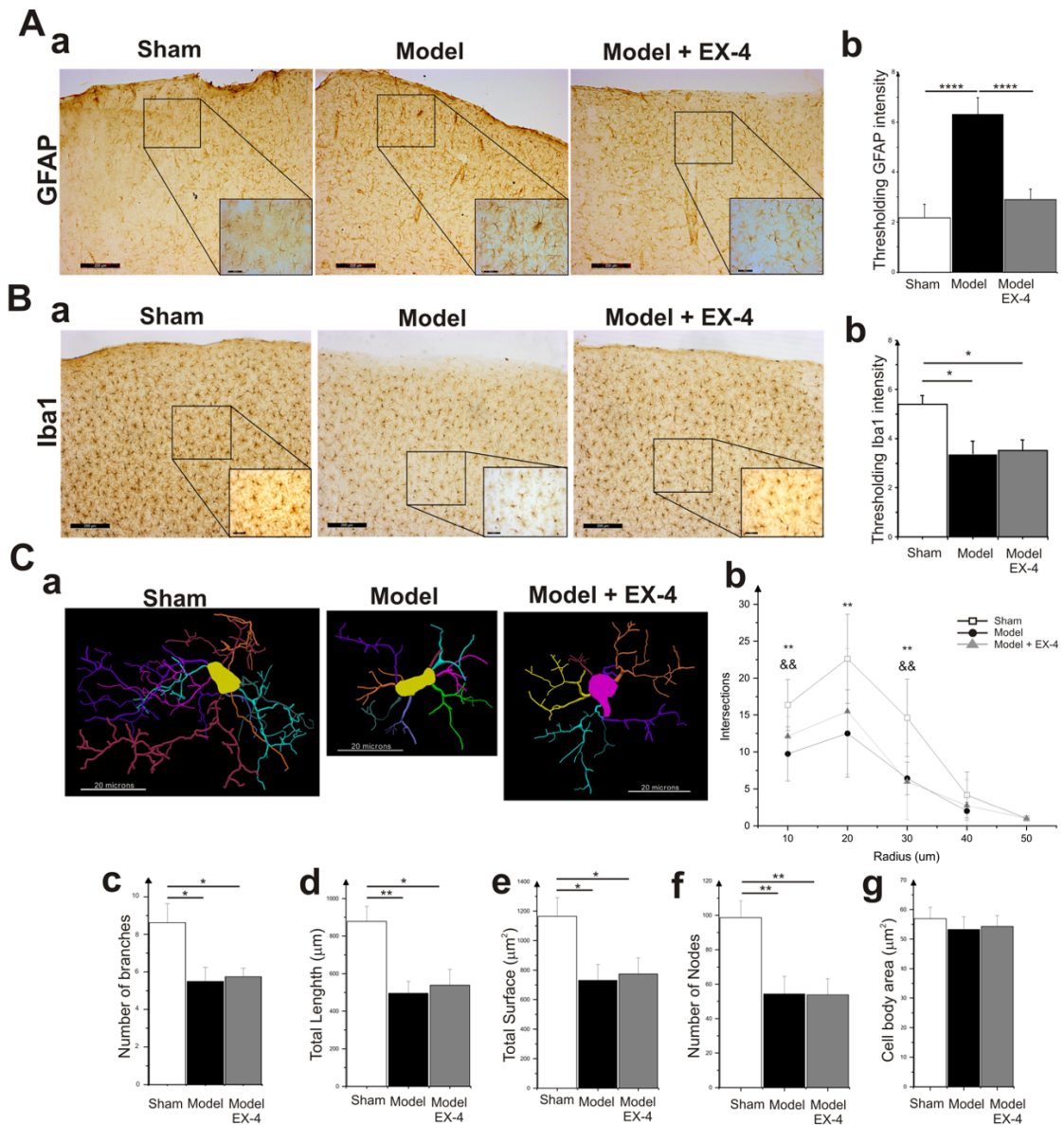


Figure 3.7 - Neuroinflammation in the PC of the early-stage PD model. **A** GFAP staining in the early-stage PD model. **Aa** Representative immunohistochemical staining of GFAP in each experimental group. Scale bars for overview and for inserts represent 200 μm and 50 μm respectively. **Ab** GFAP staining intensity was stronger in the early-stage model compared with that in sham animals indicating activation of astrocytes. This increase was prevented by treatment with EX-4 (One way ANOVA, **** $P < 0.0001$). Data are represented as mean ± SEM. **B** Iba1 staining in the early-stage PD model. **Ba** Representative immunohistochemical staining of Iba1 in each experimental group. Inserts show high magnification images of Iba1-positive cells. Scale bars for overview and for inserts represent 200 μm and 10 μm respectively. **Bb** Intensity of Iba1 staining in the PC of early-stage PD model was significantly decreased compared with that in the Sham animals, indicative of an activation of microglia. This decrease was not prevented by treatment with EX-4 One way ANOVA, * $P_{sham\ v\ smodel+EX-4} < 0.05$, $P_{model\ vs\ model+EX-4} > 0.05$). Data are represented as mean ± SEM. **C** Morphological properties of Iba1-immunopositive cells. **Ca** Examples of Neurolucida reconstructions of Iba1-positive cells. Scale bars represent 20 μm. **Cb** Sholl analysis of Iba1-positive cell. Data are represented as mean ± SD ($n = 8$ per experimental group- One way ANOVA - ** $P < 0.01$ for early-stage model compared with sham; && $P < 0.01$ for sham compared with early-stage PD model treated with EX-4.) **Cc, Cd, Ce, Cf, Cg** The number of branches (**Cc**), total length (**Cd**), total surface (**Ce**) and the number of nodes (**Cf**) of Iba1-positive cells were decreased in early-stage PD model compared with those in the sham animals. Treatment with EX-4 did not prevent this decrease. The size of cell somata was similar in the sham, model and model + EX-4 (**Cg**). Data are represented as mean ± SD [$n = 8$ per experimental group- One way ANOVA * $P < 0.05$, ** $P < 0.01$].

3.3.4 Down regulation of interneuronal calcium binding proteins is observed in the PC of the early-stage PD model.

Interneurones expressing calcium binding proteins (PV, CB, CR) were analysed in the PC of the early-stage PD model and compared with those in control animals. Cell densities in the PC of all experimental groups are presented in Table 3.1, whilst Figures 3.8A-3.8C show representative examples of the distributions of PV-, CB- and CR-immunopositive interneurones of all experimental groups. All CBP-containing interneurones in the PC of the early-stage model were significantly reduced compared with controls (Table 3.1, Figures 3.8A-3.8C Kruskal-Wallis test $P < 0.05$). Treatment with EX-4 prevented the observed loss of the PV, CB, CR-immunopositive cells (Kruskal-Wallis $P < 0.05$).

	SHAM + saline	Model + saline	Model + EX-4
GAD-67	2587.8 (2247.6 – 2927.9)	2610.7 (1908.9 – 3312.5)	2178.0 (1742.1 – 2613.9)
PV	1294.6 (576.5 - 2012.7)	278.7 **** (136.6 - 420.8)	749.1 ##### (581.7 - 916.6)
CB	843.7 (591.3 – 1096.1)	110.6 **** (26.1 – 195.1)	834.2 ##### (403.6 – 1264.8)
CR	736.6 (487.1 – 986.0)	171.8 **** (80.2 – 263.3)	772.2 ##### (473.8 – 1070.6)

Table 3.1 - Cellular densities of interneuronal CBPs in the PC of the sham animals, early-stage PD model and model treated with EX-4. Data are represented as the median and interquartile range of the number cells per mm^3 that are immunopositive for the indicated marker ($n=4-5$ animals/per experimental group). GAD-67, glutamic acid decarboxylase-67; PV, parvalbumin; CB, calbindin; CR, calretinin; [Kruskal-Wallis test was used, post hoc analysis for comparisons with Sham animals. * $P < 0.05$; ** $P < 0.01$; *** $P < 0.001$; **** $P < 0.0001$; post hoc analysis model compared with model treated with EX-4 ##### $P < 0.0001$].

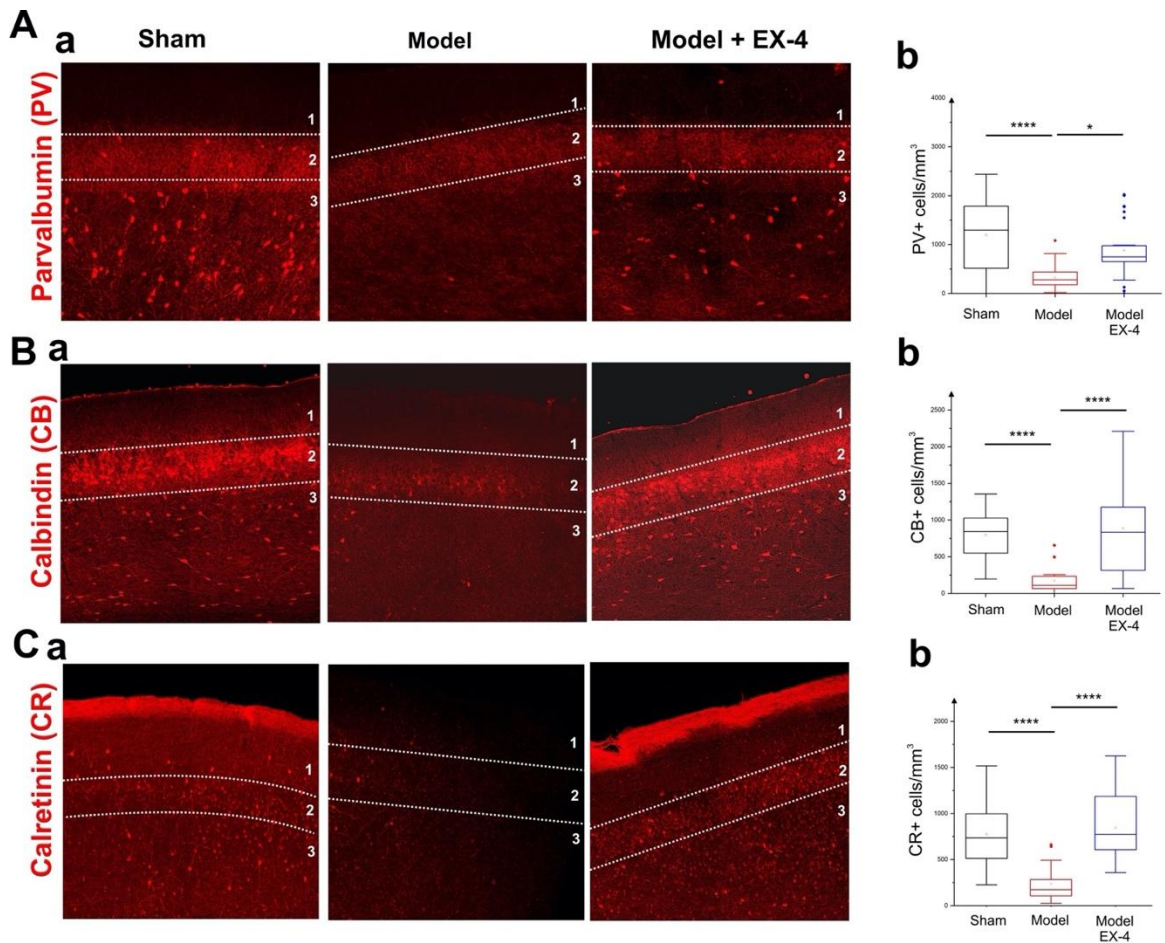


Figure 3.8 - Distribution of interneuronal CBPs in the early-stage PD model. **A** EX-4 prevented the loss of parvalbumin (PV)-immunopositive interneurons in the PC of the early-stage model. **Aa** Examples of PV-immunostaining in the anterior PC in each experimental group. **Ab** Cell densities in the PC of all experimental groups. The number of PV-positive interneurons was significantly decreased in the early-stage PD model compared with that in the sham animals. Treatment with EX-4 prevented this decrease. **B** EX-4 prevented the loss of Calbindin (CB)-immunopositive interneurons in the PC of the early-stage model. **Ba** Examples of CB-immunostaining in the anterior PC for all experimental groups. **Bb** Cell densities in the PC of all experimental groups. A significant decrease in the number of CB-positive interneurons was observed in the early-stage model compared with the sham animals. Treatment with EX-4 prevented this decrease. **C** EX-4 prevented the loss of calretinin (CR)-immunopositive interneurons in the PC of the early-stage model. **Ca** Examples of CR-immunostaining in the anterior PC for all experimental groups. **Cb** Cell densities in the PC of all experimental groups. A decrease in the number of CR-positive interneurons was observed in the early-stage model compared with the sham animals. Treatment with EX-4 prevented this decrease. [Kruskall Wallis test * $P < 0.05$, **** $P < 0.0001$]. All data are presented as mean \pm SEM.

3.3.5 Cellular densities of GAD- and NeuN-immunopositive cells in the PC of the early-stage PD model.

Since all the interneurons investigated express GABA as neurotransmitter, the number of GAD-67-immunopositive neurons was analysed to determine whether the decreased number of the CBP-containing interneurons in the PC of the model was due to a down-regulation of the CBPs or to a reduction in the number of interneurons. The density and distribution of GAD-67-positive cells did not differ among the experimental groups, suggesting a down regulation of the CBPs in the model rather than a cell loss (Table 3.1- Figures 3.9Aa and 3.9Ab). The overall number of neurons in the PC was also studied. Surprisingly, the number of NeuN-immunopositive cells was significantly increased in the model compared with controls (Figures 3.9Ba and 3.9Bb - $P_{\text{sham vs model}} < 0.0001$). This unexpected increase was not apparent after treatment with EX-4 (Figures 3.9Ba and 3.9Bb - $P_{\text{model vs model + EX-4}} < 0.0001$).

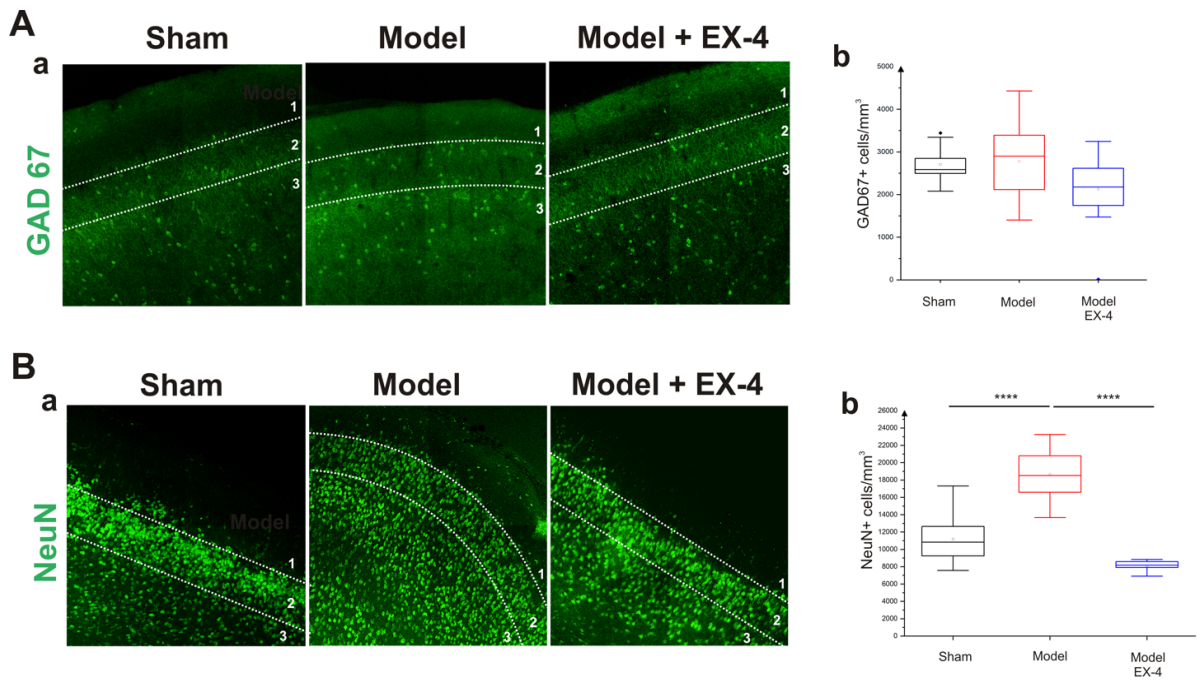


Figure 3.9 - Distribution of NeuN- and GAD-immunopositive neurones in the model of early-stage PD. **A** Distribution of GAD-67-immunopositive interneurons in the PC of the early-stage PD model. **Aa** Examples of GAD-67-immunostaining in the anterior PC of all experimental groups. **Ab** Cell densities in the PC. The distributions were similar in all experimental groups. **B** Distribution of NeuN-immunopositive interneurons in the PC of the early-stage model. **Ba** Examples of NeuN-immunostaining in the anterior PC of all experimental groups. **Bb** Cell densities in the PC. The density of NeuN-positive neurones in the early-stage PD model increased compared with that in the sham animals. This increase was prevented by treatment with EX-4. [Kruskall Wallis test, **** $P < 0.0001$]. All data are presented as mean \pm SEM.

3.3.6 Degradation of the perineuronal nets (PNNs) in the PC of the early-stage PD model

Lastly, given the reduction of PV-positive interneurons and the fact that they are commonly surrounded by PNNs (Beretta et al., 2015), the distribution and density of PNNs in the PC of the early-stage PD model were investigated using WFA, a lectin that labels residues of glycoproteins within the extracellular matrix of the neurones. Examples of the WFA+/PV+ staining of neurones in the anterior PC of the sham animals, early-stage PD model and model treated with EX-4 are displayed in the top panels in Figure 3.10A. The number of PV+/WFA+ neurones was observed to be decreased at 19 days after surgery ($P < 0.0001$) (Figure 3.10Ba). Treatment with EX-4 prevented the loss of both PV+ and WFA+ neurones in the early-stage model ($P < 0.05$) (Figure 3.10Ba). The PC also contained a small population of PV-immunonegative (PV-) cells that were also surrounded by PNNs. A decrease in PV-/WFA+ cells in the PC of the early-stage model was observed at 19 days after surgery (Figure 3.10Bb). Treatment with EX-4 prevented the loss of these PV-/WFA+ cells ($P < 0.0001$). The WFA-immunopositive neurones were shown to be either GABAergic (see GAD-67+/WFA+ staining in bottom panels in Figure 3.10A and Figure 3.10Bc) or GAD-67-immunonegative (Figure 3.10Bd). Treatment with EX-4 prevented the loss of GAD-67+/WFA+ cells only ($P < 0.001$) (Figure 3.9Bc).

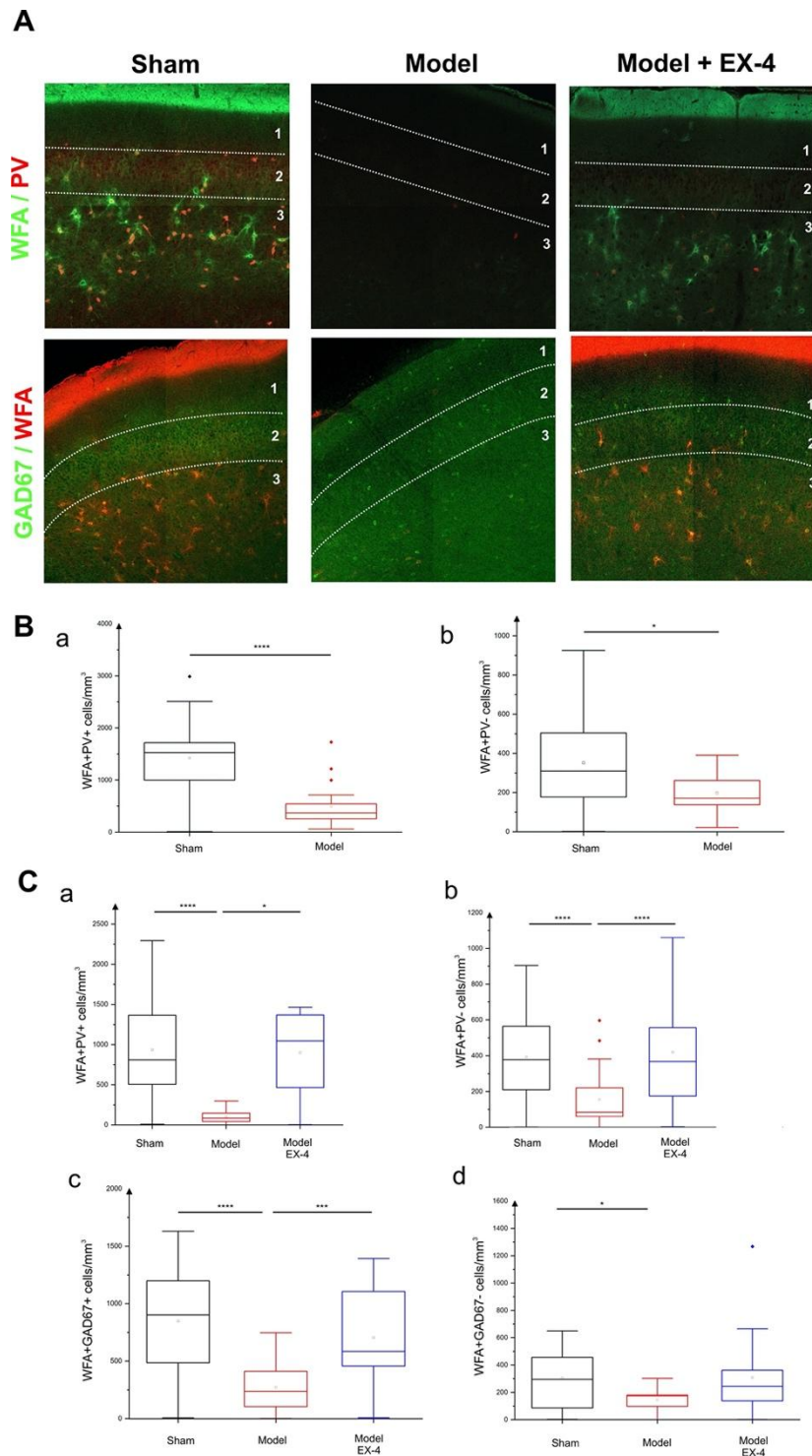


Figure 3.10 - Effect of EX-4 on the distribution of perineuronal nets (PNNs) in the PC of the early-stage model. **A** Slices of the anterior PC of sham animals, model treated either with saline or EX-4 were double stained for PNNs (WFA in green) and PV (in red) [top row] and for PNNs (WFA in red) and GAD-67 (in green) [bottom row]. **Ba** Densities of WFA+/PV+ neurons in the PC of the early-stage model were decreased with that in sham animals. **Bb** Densities of WFA+/PV- neurons in the PC of the model were also decreased compared with that in sham animals. EX-4 prevented the decrease in the number of WFA+/PV- cells. Densities of WFA+/GAD+ neurons (Bc) and WFA+/GAD- neurons (Bd) in the PC were decreased in the model compared with that in the sham animals. Treatment with EX-4 prevented the decrease of WFA+/GAD+ neurons only. [Kruskall Wallis test * $P < 0.05$, *** $P < 0.001$, **** $P < 0.0001$].

3.3.7 Increased number of dopaminergic interneurons in the OB GL of the early-stage PD model

Figure 3.11A shows representative examples of TH-immunopositive cells in the GL of the OB in each experimental group, sham, early-stage PD model, model + EX-4. Following the administration of the two toxins, unbiased stereology revealed that the average number of TH-immunopositive cells in the OB of the early-stage PD model was significantly *increased* by 41.1% compared with that in sham animals ($P < 0.01$, Figure 3.11B). Animals treated with EX-4 showed a smaller rise in TH-immunopositive cells (26.6%), and this was not significantly increased compared with the average number observed in sham animals ($P > 0.05$, Figure 3.11B), indicating a partial prevention of the toxins effect.

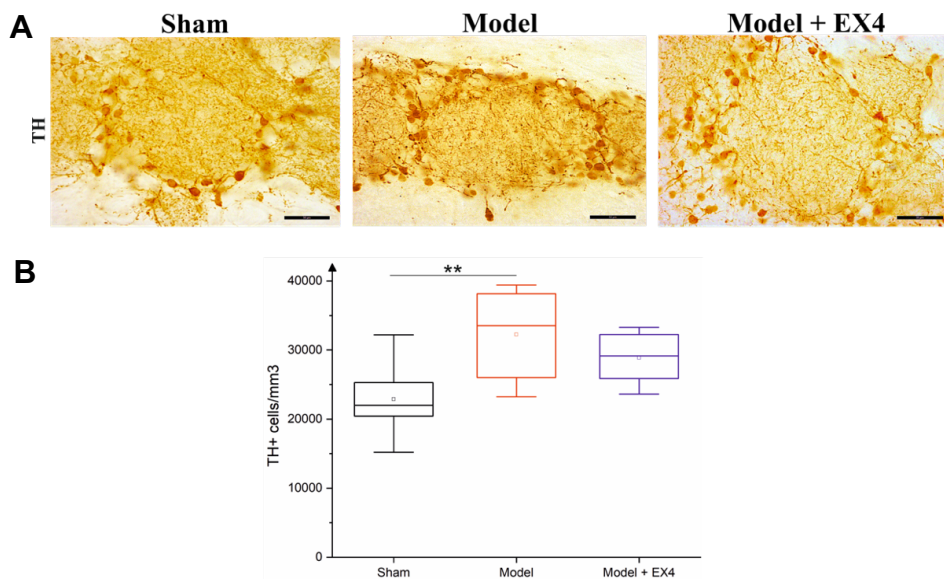


Figure 3.11 – Increase in TH-immunopositive cells in the glomerular layer (GL) of the olfactory bulb (OB) following 6-OHDA/DSP-4 administration. A Representative images of a TH -staining in GL in sham animals (left panel), early-stage PD model (middle panel) and model treated with EX-4 (right panel). Scale bars represent 50 μm . **B** Number of TH-positive cells in the SN expressed as cell density per mm^3 ($n=8$ animals per experimental group). An increase in the number of TH-positive cells was observed in the GL of the early-stage model compared with sham (One way ANOVA ** $P < 0.01$). Treatment with EX-4 prevented the observed increase.

3.3.8 Increased CBP interneurons in the OB of the early-stage PD model

Similarly to the PC, interneurons expressing CBP were analysed in the OB of the early-stage PD model and compared with those in the OB of sham animals. However, contrary to what was observed in the PC, expression of CBPs were significantly *increased* in the OB of the early-stage model compared with that in sham animals. Figures 3.12A-3.12C show representative examples of the distributions of PV-, CB- and CR-immunopositive interneurons of all experimental groups. CR- and PV-containing interneurons in the OB of the early-stage model were significantly increased compared with those in sham animals (Figures 3.12Bb-3.12Cb, One-way ANOVA, $P < 0.05$). While CR-expressing interneurons were found across all four layers, PV+ cells were mostly localised in EPL. Treatment with EX-4 prevented the observed increase (One-way ANOVA, $P > 0.05$). The average number of CB-expressing interneurons, which were located in the GL, did not significantly differ between groups (Figure 3.12Ab).

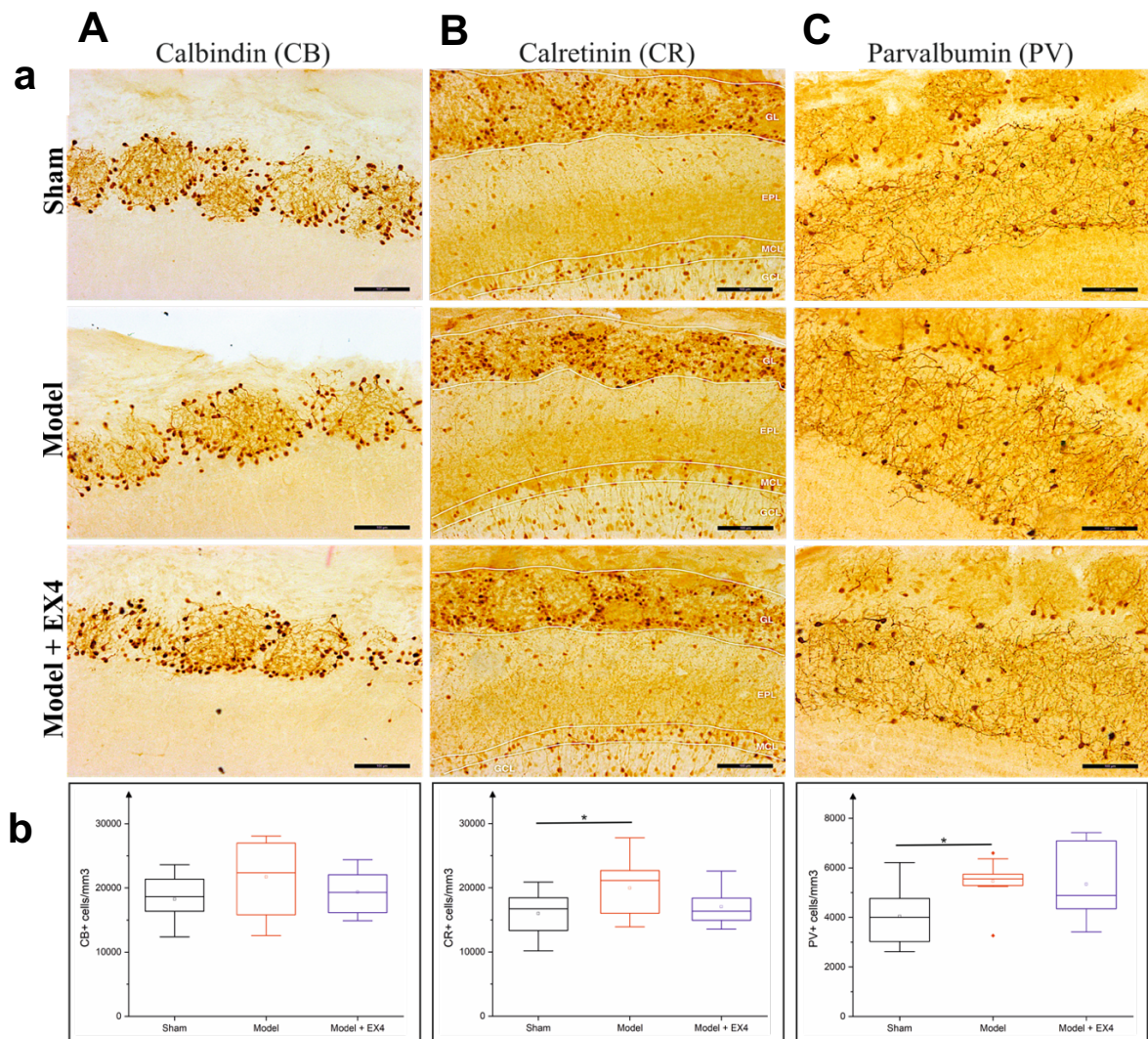


Figure 3.12 - Distribution of interneuronal CBPs in the early-stage PD model. A Distribution of CB⁺ interneurons in the GL of the OB. **Aa** Examples of CB-immunostaining in the GL of the OB in each experimental group. **Ab** Cell densities in the GL of all experimental groups. The number of CB-positive interneurons was not significantly different across experimental groups. **B** Distribution of CR⁺ interneurons in the OB. **Ba** Examples of CR-immunostaining in all four layers of the OB for all experimental groups. **Bb** Cell densities in the OB of all experimental groups. A significant increase in the number of CB-positive interneurons was observed in the early-stage model compared with the sham animals (One-way ANOVA, $P < 0.05$). Treatment with EX-4 prevented this increase. **C** Distribution of PV⁺ interneurons in the EPL of the OB. **Ca** Examples of PV-immunostaining in the EPL of the OB for all experimental groups. **Cb** Cell densities in the OB of all experimental groups. A significant increase in the number of PV-positive interneurons was observed in the early-stage model compared with the sham animals (One-way ANOVA, $P < 0.05$). Treatment with EX-4 prevented this increase. All data are presented as mean \pm SEM. Scale bars represent 100 μ m. * $P < 0.05$. GL=Glomeruli layer, EPL=External plexiform layer, MCL=Mitral cell layer, GCL=Granule cell layer. Sham N=10; Model N=10; Model + EX-4 N=10.

3.3.9 Cellular densities of GAD- and NeuN-immunopositive cells in the OB of the early-stage PD model.

As investigated in the PC, the number of GAD-67-immunopositive neurones was analysed to determine whether the results observed in the OB of the early-stage model was due to an up-regulation of the CBPs or to an increase in the number of neurones. Similarly to the PC, the density and distribution of GAD-67-positive cells did not differ among the experimental groups, suggesting an up-regulation of the expression of CBPs in the model rather than an increase in the number of cells (Figures 3.13Aa-Ab). The overall number of neurones in the OB was also studied, and the number of NeuN-immunopositive cells was found to be similar in the three experimental groups (Figures 3.13Ba-Bb).

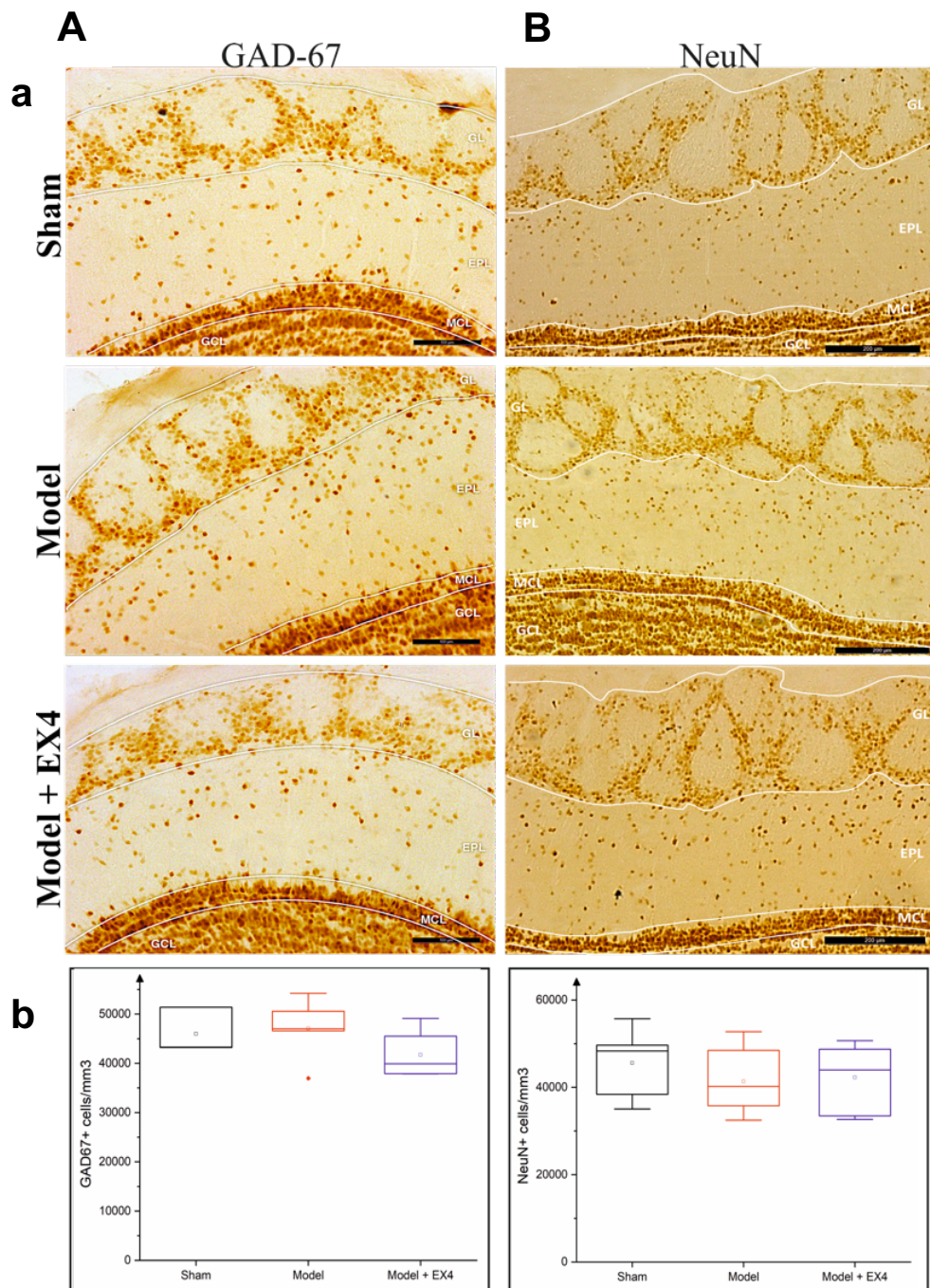


Figure 3.13 - Distribution of NeuN- and GAD-immunopositive neurones in the OB of all experimental groups. **A** Distribution of GAD-67-immunopositive interneurons in the OB of the early-stage PD model. **Aa** Examples of GAD-67-immunostaining in the OB of all experimental groups. **Ab** GAD-67+ cell densities in the OB. The distributions were similar in all experimental groups. **B** Distribution of NeuN-immunopositive interneurons in the OB of the early-stage model. **Ba** Examples of NeuN-immunostaining in the OB of all experimental groups. **Bb** NeuN+ cell densities in the OB. The distributions were similar in all experimental groups. All data are presented as mean \pm SEM. Scale bars represent 100 μ m. GL=Glomeruli layer, EPL=External plexiform layer, MCL=Mitral cell layer, GCL=Granule cell layer. . Sham N=10; Model N=10; Model + EX-4 N=10.

3.4 Discussion

The present study was aimed at validating and characterising an early-stage model of PD. Animals displayed hyposmia in absence of motor symptoms and a dopaminergic loss around 50% compared with sham animals (Sancandi *et al.*, 2018), validating the PD model as representative of the early-stage and allowing the study of the deficits that characterise this stage. Studying the aetiology of hyposmia is of a particular importance since it may facilitate the clinical diagnosis of PD years before the appearance of motor symptoms, allowing intervention from at a very early stage and possibly delay the onset of the more debilitating PD symptoms. Nevertheless, to date, the majority of the studies on the olfactory circuitry have been performed on either post-mortem tissues from PD patients or animals showing motor impairments. Thus, at present, the structural changes in the olfactory circuitry underlying hyposmia in the early stage of the disease are still largely uncovered (Doty, 2017). In this study, hyposmia in our early-stage PD model was shown to be associated with neuroinflammation, a decrease in interneuronal CBP and PNN expression in the PC, an *increase* in the overall number of neurones in the PC, and an *increase* in interneuronal CBP expression in the OB. Additionally, an *increase* in the number of dopaminergic interneurons in the OB GL was observed. Importantly, all these changes were prevented by EX-4 treatment (Sancandi *et al.*, 2018).

3.4.1 Monoaminergic loss in the midbrain results in dopaminergic and noradrenergic denervation in the PC

Dopaminergic and noradrenergic projections, starting from the SNpc and the LC respectively, innervate several areas of the forebrain including the PC, motor cortex, and other neocortical regions (Sara, 2009). A decrease in the number of cells producing either of the above neurotransmitters results in a perturbed innervation of such areas (Becker *et al.*, 2017), that has been linked to many psychiatric disorders, including schizophrenia (Krause, Márquez-Ruiz and Kadosh, 2013; Kesby *et al.*, 2018), ADHD (Engert and Pruessner, 2008; del Campo *et al.*, 2011), post-traumatic stress disorder and drug addiction (Arnsten *et al.*, 2015; Furini *et al.*, 2017; Le Dorze *et al.*, 2018), and neurodegeneration (Levite, Marino and Cosentino, 2017; Sitte *et al.*, 2017; D'Amelio, Puglisi-Allegra and Mercuri, 2018). In this study, neuronal loss in the SNpc and LC was also shown to be associated with decreased dopaminergic and noradrenergic levels in the PC of the early-stage PD model compared with those in the controls, as shown by unbiased stereology and HPLC quantification.

Dopaminergic and noradrenergic neurotransmission have been shown to modulate neuronal responses both in sensory and association areas (Jacob and Nienborg, 2018). For example, a study conducted by Bouret and Sara (2002) showed that stimulating the LC during odour tasks improved both the response engagement and the temporal organisation of the response to odour. Similarly, injections of dopaminergic agonists in the PC resulted in an increased *c-fos* expression (Steiner and Kitai, 2000), indicative of a greater neuronal activation (Bullitt, 1990). In addition, the PC has been found to

express a similar quantity of DA receptor mRNA as the prefrontal cortex (Santana, Mengod and Artigas, 2009), an area known for its dopaminergic modulation. Indeed, several studies have shown DA and NA involvement in the modulation of PC activity, with both neurotransmitters contributing to odour learning and perception through both suppression of excitatory synapses (DA: Malenka and Nicoll, 1986; NA: Hasselmo *et al.*, 1997) and enhancement of the activity of inhibitory interneurons by increasing their spontaneous inhibitory potentials (DA: Gellman and Aghajanian, 1993; NA: Kawaguchi and Shindou, 1998). These observations may explain the hyperactivation found by Moessnang and colleagues (2011) in the PC of hyposmic PD patients when subjected to an odour detection task. However, this dampening effect may not be cross-species, since a study conducted on the zebrafish found that bath-application of DA consistently reduced inhibitory post-synaptic currents in principal neurons of the homolog of mammalian olfactory cortex, therefore reducing inhibitory synaptic transmission (Schärer *et al.*, 2012).

In addition to these synaptic modulatory effects, growing evidence supports a neuroprotective role for these neurotransmitters in the brain with NA inhibiting microglial activation and suppressing pro-inflammatory mediator production (O'Neill and Harkin, 2018a) and DA counteracting the formation of α -synuclein aggregates (Luo *et al.*, 2016; Yedlapudi *et al.*, 2016). Taken together, evidence suggests that the changes observed in the early-stage PD model following the administration of the toxins may be the direct result of dopaminergic and noradrenergic denervation within the PC. Interestingly, single-toxin administrations failed to induce the same deficits (data not shown)

suggesting that a combination of toxins is required to induce hyposmia and the observed structural changes.

3.4.2 The model of early-stage PD displayed olfactory deficits in the absence of motor dysfunctions.

Hyposmia, defined as the inability to perceive, recognise, and discriminate or memorise odours, occurs in ~ 90% of PD patients (Berendse *et al.*, 2011; Roos *et al.*, 2019; Saiz-Sanchez *et al.*, 2020), and it is thought to be an early event occurring several years prior to clinical diagnosis, making it a good predictor of cognitive decline in neurodegenerative diseases and a reliable indicator for an early PD diagnosis (Poewe, 2008; Doty, 2012a, 2017; Sui *et al.*, 2019). The dual toxin-based model of early-stage PD was developed as a tool to mimic the deficits observed in PD patients in the early stages of the disease and, therefore, allow us to investigate the deficits underlying early onset of non-motor symptoms in the absence of motor signs. Behavioural assessments of the early-stage model revealed that significant olfactory deficits were displayed by the model without motor symptoms. This suggests that this model is indeed representative of an earlier stage of the disease than in previously described animal models in which NMSs, such as cognitive deficits or olfactory dysfunctions, were reported in the presence of motor dysfunctions (Tadaiesky *et al.*, 2008a; Santiago *et al.*, 2010; Carvalho *et al.*, 2013; Faggiani, Delaville and Benazzouz, 2015; Ledreux *et al.*, 2016; Nezhadi *et al.*, 2016). Notably, the animals were hyposmic, but not anosmic, as they found the treat in the hidden food test and displayed exploratory activity in the habituation/dishabituation test. The latter assesses whether an animal is able

to both smell and distinguish between same and different odours (Yang and Crawley, 2009). So far, animal models of PD have focussed mainly on the nigrostriatal dopaminergic system, providing important insight into the aetiology of MSs of PD for many decades; however, each model has its own strengths and limitations and none of them represents the disease in its entirety (Taylor, Greene and Miller, 2010; Jagmag *et al.*, 2016; Vingill, Connor-Robson and Wade-Martins, 2018). Indeed, while MSs can be achieved by depleting only dopaminergic neurones, NMSs cannot be accounted for by the DA depletion alone, suggesting an implication of other neurotransmitters, such as NA, in the aetiology of these deficits (Balestrino and Schapira, 2020). Despite the evidence of a co-degeneration of the dopaminergic and noradrenergic systems in PD patients (Buddhala *et al.*, 2015; Nahimi *et al.*, 2018; Peterson and Li, 2018), the role of NA depletion has often been overlooked, with most studies treating the animals with addition of uptake inhibitors to prevent the effect of 6-OHDA on NAergic cells (Schober, 2004; Blesa *et al.*, 2012a). Here, the combination of partial depletion of both DA and NA neurones resulted in the appearance of hyposmia in the absence of motor dysfunctions. Additionally, the combination of the depletions was essential for the appearance of olfactory deficits in the early-stage PD model, as depletion of either DA alone or NA alone was not sufficient to elicit hyposmia in either of the tests used to assess animals smell (data not shown). Lastly, the early-stage PD model displayed also cognitive deficits, suggesting a correlation between the loss of sense of smell and memory impairment.

3.4.3 Neuroinflammation was observed in the PC of the early-stage PD model.

Although the aetiology of hyposmia has yet to be elucidated, evidence has suggested that it is sustained by the presence of neuroinflammation (Doty, 2012a, 2017; Roos *et al.*, 2019; Song *et al.*, 2019), which is also considered to be one of the major components of PD pathogenesis (McGeer *et al.*, 1988). Microglial and astrocytic activations in the SNpc and striatum are a well-established response following injection of 6-OHDA (Gelders, Baekelandt and Van der Perren, 2018). Consequently, microglia cells take a M1 phenotype that is characterised by secretion of pro-inflammatory cytokines, such as TNF- α , IL-1 β , IL-6, IL-12, and other cytotoxic molecules such as superoxide, nitric oxide (NO) and reactive oxygen species (ROS), enhancing pro-inflammatory responses during injuries and infections (Wang, Liu and Zhou, 2015). Specifically, these pro-inflammatory cytokines are released following the binding of ATP to the P2Y receptors (P2YRs), which are mainly expressed by microglia (Davalos *et al.*, 2005). PD patients were found to express higher levels of P2Y6Rs, a P2YR subtype linked to enhanced pro-inflammatory responses in macrophages (Garcia *et al.*, 2014), when compared with healthy subjects (Yang *et al.*, 2017). In healthy brains, microglial cells are characterised by thin, ramified processes and a relatively small cell body, features that mutate into shorter and less complex processes upon activation (Becker *et al.*, 2017). In this study, microglial activation was observed for the first time in the PC of an early-stage model of PD. Changes in cell morphology, including a decreased number of protruding branches and shorter processes,

resulted in a reduction of the overall intensity of the staining (Sancandi *et al.*, 2018).

Several studies have suggested that astrocytes also play a key role in the neuroinflammation observed in PD patients as well as animal models (Cicchetti *et al.*, 2002; Whitton, 2007; Wang, Liu and Zhou, 2015b; Gelders, Baekelandt and Van der Perren, 2018b). Astrocytes are generally slower in responding than microglial cells, probably due to the fact that part of the astrocytic response is elicited by pro-inflammatory mediators released from activated microglia, which are then further amplified by astrocytes (Saijo *et al.*, 2009). In addition, activation of microglia has been shown to induce activation of a subclass of astrocytes that are highly neurotoxic (Liddelow *et al.*, 2017). The activation of astrocytes is characterised by increased expression of glial fibrillary acidic protein (GFAP), hypertrophy of cell bodies and, in contrast to microglial cells, ramified processes (Wang, Liu and Zhou, 2015). Activated astrocytes were observed in the PC of the model of early-stage PD. Activation of astrocytes was progressive in nature and followed a rostro-caudal gradient (Suppl. Sancandi *et al.*, 2018) suggesting that glial cells in the anterior PC may therefore activate neighbouring cells possibly via gap junctions, with the release of toxic pro-inflammatory factors as previously suggested (Lucin *et al.*, 2009) leading to the progression of neuroinflammation across the PC region.

3.4.4 Reduced expression of CBPs in the PC following dual-toxin treatment

Alongside with neuroinflammation, hyposmia in PD was also shown to be sustained by GABAergic deficits (Doty, 2012a, 2017). Recently, a “GABA-

collapse hypothesis” has been proposed due to the regulatory role of a Ca^{2+} /GABA mechanism that stabilises neuronal activity both at cellular and systemic levels (Błaszczyk, 2016). Briefly, this hypothesis suggests that a decline in the Ca^{2+} /GABA control leads to both weakened protective barriers, such as the BBB, and accumulations of intracellular deposits of calcium and α -synuclein, resulting in neuronal death (Błaszczyk, 2016). The presence of GABAergic deficits in PD patients and animal models is now well established (Abbott, Pye and Nahorski, 1982; Ubeda-Bañon *et al.*, 2010; Doty, 2012a; Hurley *et al.*, 2013; Surmeier and Schumacker, 2013). In addition, CBP-expressing interneurons, have been found to be affected in PD (Ubeda-Bañon *et al.*, 2017; Cave *et al.*, 2016; Petryszyn *et al.*, 2016; Hurley *et al.*, 2013). In agreement with these studies, a decrease in the density of CBP-expressing interneurons in the PC of the early-stage model was observed compared with that in sham animals.

CBPs, such as calretinin, calbindin, and parvalbumin, are buffer proteins that bind intracellular Ca^{2+} as its concentration increases within the cell and modulate the cytosolic calcium level, resulting in the control of neuronal firing (Bischoff *et al.*, 2012). CBPs have been shown to regulate Ca^{2+} signals in neurons based on their Ca^{2+} affinity, cytosolic concentrations, their kinetics for Ca^{2+} binding and release, and their mobility inside the neurons (Schwaller, 2010). Owing to their Ca^{2+} regulatory properties, CBPs are thought to play a neuroprotective role as they are able to buffer potentially toxic fluctuations in intracellular Ca^{2+} concentrations, protecting neurons against cell death (Van Den Bosch *et al.*, 2002; Zündorf and Reiser, 2011; Nikolettou and Tavernarakis, 2012). Thus, it was reasonable to assume that the decrease in

CBPs observed in this study was correlated with a decrease in the number of GABAergic interneurons in the PC of the model. In order to test this hypothesis, the density of GAD-67-immunopositive cells in the PC of each experimental group was quantified. Interestingly, the total number of GAD-67-positive cells was unaltered in the early-stage model compared with that in sham animals, suggesting that the observed reduction of CBPs was caused by a *downregulation* of CBPs rather than interneuronal death. Although the cause of this decrease in the expression of CBPs remains unknown, CBPs in GABAergic neurons can play the role of endogenous neuroprotectors, which prevent Ca^{2+} overload and subsequent neuronal death. Indeed, it was recently shown that PV and CB reduced the rate of Ca^{2+} increase, preventing the death of GABAergic neurons under ischemia-like conditions (Turovsky *et al.*, 2018). Another possible explanation may involve compensatory mechanisms in response to the cortical hyperactive state induced by monoaminergic loss. Indeed, PV deficiency has been shown to boost GABAergic release (Vreugdenhil *et al.*, 2003), and dysfunctions in glutamatergic transmission were found to alter PV expression (van Lier, Hierlemann and Knoflach, 2018), suggesting that the decrease in interneuronal CBP expression may be a consequence of the altered excitatory/inhibitory balance due to PC monoaminergic denervation. The cell bodies and proximal dendrites of most PV+ GABAergic interneurons are surrounded by condensed extracellular matrix aggregates, aka PNNs (Bozzelli *et al.*, 2018). The latter are mainly involved in the control of CNS plasticity and they have been observed to be coupled to highly active neurons suggesting a supporting role to the neural function (Sorg *et al.*, 2016). Moreover, experimental evidence suggests that

PNNs are linked to synapse formation (Pyka *et al.*, 2011; Yamada and Jinno, 2013; Xue *et al.*, 2014; Berretta *et al.*, 2015b) and they are thought to exert a neuroprotective role from oxidative stress by forming a protective shield around PV-positive interneurons (Cabungcal *et al.*, 2013; Suttkus *et al.*, 2014; Morishita *et al.*, 2015; Wen *et al.*, 2018). PNN reorganisation has been shown to result in abnormal CNS development and altered neural excitability (Liu *et al.*, 2013; Balmer, 2016; Lensjø *et al.*, 2017), whilst PNN degradation has been linked to several diseases, such as schizophrenia (Berretta, 2012; Berretta *et al.*, 2015b), epilepsy (Pollock *et al.*, 2014), and Alzheimer's disease (Baig, Wilcock and Love, 2005b; Lendvai *et al.*, 2013). Similarly, in this study, a decrease in the density of PNNs surrounding PV-positive cells as well as PNNs *per se* was observed in the PC of the early-stage PD model compared with sham animals. Although the cause of the PNN loss has yet to be established, it could be speculated that neuroinflammation plays a vital role as previously shown in epileptic (Kim *et al.*, 2017) and cerebral ischemic (Dzyubenko *et al.*, 2018) models. Additionally, it was recently reported that microglia activation is associated with PNN loss in an AD mouse model (Crapser *et al.*, 2020). Relatedly, using a mouse model of schizophrenia, oxidative stress-induced microglia activation was shown to trigger a cascade of events culminating in nuclear factor- κ B (NF- κ B) activation and secretion of various cytokines, which then resulted in PV and PNNs loss (Dwir *et al.*, 2020). Lastly, the overall density of neurons in the PC was investigated using the Neu-N marker. Remarkably, the number of Neu-N-positive cells was found to be *increased* in the PC of the early-stage PD model compared with that in the PC of sham. The cause behind this increase is unknown, however, it may be

associated with neurogenesis that occurs within the PC (Yuan, Liang and So, 2015). There is experimental evidence that the PC contains neurones expressing immature neuronal markers, such as doublecortin (Nacher, Crespo and McEwen, 2001), that have the potential to become mature neurones later in life (Pekcec, Löscher and Potschka, 2006). The fate of these newly generated neurones has yet to be elucidated, however, some doublecortin-positive cells have been found to co-express CBPs (Bédard and Parent, 2004; Klempin *et al.*, 2011), suggesting that the increased in Neu-N⁺ cells detected in our early-stage model might be a compensatory mechanism for the downregulation of CBPs. However, further experiments are needed to validate this hypothesis. In addition, a disruption of PNNs has been shown to be associated with increased plasticity (Pizzorusso *et al.*, 2002; Nowicka *et al.*, 2009) and synaptogenesis (Wen *et al.*, 2018). Thus, the observed increase in Neu-N-positive cells may also be a consequence of the reduction in the density of PNNs.

3.4.5 Dual-toxin treatment upregulates dopaminergic and CBPs expression in the OB

The olfactory system is one of the oldest sensory modalities in the phylogenetic history of mammals, and it comprises the synergy of several brain regions, such as the OB. Therefore, the present study examined also the fate of dopaminergic and GABAergic interneurones in the OB following DA and NA insults to determine if a similar pattern of deficits as the one observed in the PC could also be established in the OB. Despite the fact that OBs present the most abundant and varied interneuronal populations in the brain,

with higher proportion of interneurons to excitatory neurons (100:1 ratio) than in other brain regions (1:5 ratio), they have received significantly less attention in normal and pathophysiological conditions than cortical interneurons (Kim, Choe and Moon, 2020).

Interestingly, the density of TH-immunopositive interneurons in the GL of the early-stage model was found to be increased compared with that in sham animals. Dopaminergic neurons in the olfactory bulbs were discovered more than 30 years ago (Halász *et al.*, 1981) and have been shown to co-release GABA and DA (Gall *et al.*, 1987). While GABA has been observed following a classical fast release pattern, DA release has been shown to increase gradually for many seconds following stimulation, suggesting that these cells may control synaptic timing in both intraglomerular and interglomerular circuits (Borisovska *et al.*, 2013). Indeed, these interneurons presynaptically inhibit glutamate release from olfactory nerve terminals by activating presynaptic GABA_B receptors (Aroniadou-Anderjaska *et al.*, 2000; Murphy, Darcy and Isaacson, 2005). Similarly, activation of dopaminergic D2 receptors was found to inhibit transmission at the olfactory nerve-mitral cell synapse, whilst pre-treatment with a D2 antagonist completely prevented this effect (Hsia, Vincent and Lledo, 1999), suggesting that DA may play a role in controlling the inputs to the main olfactory bulb (Berkowicz and Trombley, 2000). OB involvement in the pathophysiology of PD is thought to start from the very early stage (Braak *et al.*, 2003; Altinayar *et al.*, 2014; Del Tredici and Braak, 2016; Engelender and Isaacson, 2017; Gardner *et al.*, 2017; Rey *et al.*, 2018) with a key role in the aetiology of hyposmia (Doty, 2012; 2017; Niu *et al.*, 2018). Several PD studies showed an increase in the number of dopaminergic-

GABAergic interneurons in the OB of PD animal models (Yamada *et al.*, 2004; Winner *et al.*, 2006; Chiu *et al.*, 2014), primates (Belzunegui *et al.*, 2007; Pifl *et al.*, 2017), and humans (Huisman, Uylings and Hoogland, 2004; Mundiñano *et al.*, 2011). The observed increase in TH-positive cells in the OB of the early-stage model may therefore be a key pathophysiological change underlying hyposmia. In support of this hypothesis, Ilkiw and colleagues (2018) recently showed that injecting 6-OHDA directly in the OB of a rat PD model and therefore damaging the DA neurons in this region, prevents the occurrence of hyposmia.

Surprisingly, and in contrast to what was observed in the PC, CBPs expression in the OB was also found to be upregulated, despite an unchanged overall number of GABAergic interneurons. Whilst CB and PV expressions were restricted to a single layer, PG and EPL respectively, CR+ interneurons were found across all four layers. Although CB expression was not significantly different, a trend in upregulation was observed, suggesting that an increase in the number of animals may be needed to reach statistical significance. CBP-expressing interneurons have received markedly less attention than the dopaminergic class, however, an increase in CBPs was found in different areas of the anterior olfactory nucleus, which also correlated with α -synuclein co-localization (Ubeda-Bañon *et al.*, 2017). Although the significance of this interneuronal increase is yet to be understood, some authors have suggested a possible compensatory mechanism in response to neurodegenerative processes (Winner *et al.*, 2006; Paß *et al.*, 2020). Indeed, neurogenesis in the OB has been shown to occur during adulthood (Pignatelli and Belluzzi, 2017). Progenitors of OB interneurons were shown to arise from neural stem cells

in the subventricular zone (SVZ) (Lledo and Valley, 2016; Malvaut and Saghatelian, 2016), specifically from the dorsolateral region (Fiorelli *et al.*, 2015), with the rate of bulbar dopaminergic interneurons reported to increase in adulthood (De Marchis *et al.*, 2007). Recently, in *MitoPark* mice, a genetic model for PD with severe mitochondrial dysfunctions and a severely impaired odour detection, an enhanced mobilisation of progenitor cells was found in the SVZ, supporting the theory of a compensatory response (Paß *et al.*, 2020). The observed increase may therefore be ascribed to the presence of newly generated interneurons. The SVZ projects also to the SNpc (He and Nakayama, 2009), however, data regarding newly born neurons in the latter is contradictory. Zhao *et al.* (2003) observed that new neurons travel from the SVZ to the SNpc and that, assuming a constant rate of neuronal turnover, it would take the lifespan of a mouse to replace the entire population of dopaminergic neurons in this area. In contrast, Frielingsdorf *et al.* (2004) reported that among the new neurons observed in the SNpc, none of them expressed a dopaminergic phenotype. The disruption of the system's homeostasis occurring during PD, together with the body's innate tendency to compensate for loss, may lead the SVZ to produce new dopaminergic cells that are then directed to the OB rather than to the SNpc, contributing to an enhanced local dopaminergic inhibition, which in turn sustains hyposmia. Nevertheless, this theory has yet to be fully investigated.

3.4.6 The changes observed in the olfactory system of the early-stage PD model are partially prevented by EX-4

EX-4 is a GLP-1 analogue that was shown to improve motor functions, sleep quality, and cognition, while reducing depression in several clinical trials on PD patients (Aviles-Olmos *et al.*, 2013, 2014; Athauda *et al.*, 2018). However, the effects of EX-4 on the underlying pathophysiology of PD are yet to be fully elucidated. GLP-1R activation in the brain is thought to trigger neurotrophic effects, neuroprotection, synaptic plasticity and to reduce neuroinflammation (Kim *et al.*, 2017; Grieco *et al.*, 2019). Relatedly, EX-4 has been shown to influence several cellular pathways, such as neuroinflammation, mitochondrial function, and cellular proliferation, within the CNS (Athauda and Foltynie, 2018). Indeed, GLP-1Rs, that are expressed by astrocytes and glial cells, were shown to be upregulated in response to inflammatory stimuli as a physiological response to harmful stimuli (Chowen *et al.*, 1999). However, GLP-1Rs are not only involved in physiological regulatory mechanisms, but also in energy balance control (Reiner *et al.*, 2016, 2018), counteracting drug addiction (Schmidt *et al.*, 2016; Hernandez *et al.*, 2017, 2018), and preventing neuronal death (Xie *et al.*, 2018). EX-4 was found to restore DA imbalance, resulting in significant improvements in behaviour and motor function in PD animal models (Harkavyi *et al.*, 2008; Kim, Moon and Park, 2009; Li *et al.*, 2009). In this study, treatment with EX-4 prevented both dopaminergic and noradrenergic loss. HPLC quantification of both monoamines in SNpc, striatum and PC showed that animals treated with EX-4 had comparable levels of neurotransmitters compared with those in sham animals. This neuroprotective effect may be ascribed to the ability of EX-4 to preserve mitochondrial function in

dopaminergic neurones by increasing expression of complex I, the main target of 6-OHDA, and anti-apoptotic proteins (Chen *et al.*, 2015; Nassar *et al.*, 2015). Alongside, GLP-1R stimulation has been known to increase intracellular cAMP (Drucker *et al.*, 1987), that in turn has been shown to upregulate both expression and activity of the TH enzyme (Kim *et al.*, 1993), possibly providing an additional compensatory mechanism for the dopaminergic loss (Athauda and Foltynie, 2018). EX-4 also prevented astrocyte activation within the PC of the early-stage model, however, it did not halt Iba1-immunopositive cell activation. Additionally, EX-4 was also able to partially prevent the downregulation of CBPs and PNNs loss as well as the increase in NeuN-immunopositive neurones. Lastly, EX-4 partially prevented the increase of GABAergic interneurones in the OB of the early-stage model. EX-4 beneficial effects were exerted by activating GLP1-Rs, as shown by the complete blockage of neuroprotective effects in the presence of the GLP1-R antagonist EX-39 (Sancandi *et al.*, 2018). The fact that EX-4 in our experiments, only partially prevented the observed changes following dual toxin treatment, allows us to speculate that a longer EX-4 treatment, or a change in the dose, may be needed to reveal a larger effect of the drug. Nevertheless, further experiments are required to test this hypothesis.

Although the mechanisms behind these effects remain unknown and require further investigation, increasing evidence suggests that anti-inflammatory treatments may be used as new strategies to counteract and slow down PD progression and eliminate L-DOPA side effects (Hirsch and Hunot, 2009; Rees *et al.*, 2011; Wang, Liu and Zhou, 2015b; Flood, Arbabzada and Sharma, 2016; Mehta and Tanner, 2016; Gelders, Baekelandt and Van der Perren,

2018b; Hassanzadeh and Rahimmi, 2019). Based on the present findings, the use of EX-4 may therefore be listed alongside with this alternative treatment line, with the potential to improve the long-term prognosis for millions of PD patients world-wide. Relatedly, other GLP1-R agonists are currently under investigation as potential treatments for PD (ClinicalTrials.gov Identifier: NCT03659682, ClinicalTrials.gov Identifier: NCT03439943), highlighting the potential therapeutic applications for GLP1 agonists in PD treatment.

3.4.7 Summary and future directions

To our knowledge, this is the first study showing significant cellular and structural changes in the PC of a early-stage model of PD. Hyposmia exhibited by the early-stage PD model (Sancandi *et al.*, 2018) was associated with a loss of monoaminergic transmission in the PC, a downregulation of CBPs and loss of PNNs, alongside a presence of ongoing neuroinflammation and a possible compensatory increase in expression of dopamine and CBPs in interneurons in the OB. Overall, the increased dopaminergic synthesis in the OB coupled with a downregulation of CBP in the PC are the most likely major changes driving hyposmia, with the former inhibiting the whole olfactory pathway whilst the latter disrupts the electrophysiological properties of the cortex. Additionally, all the observed deficits, but microglia activation, were partially prevented by EX-4 treatment (at the tested dose), suggesting that the observed changes may be initiated by a common denominator targeted by the drug or that EX-4 acts on multiple sites/levels. Nevertheless, additional experiments on the cellular mechanisms of action of EX-4 and other GLP-1 agonists are urgently required. Similarly, further experiments should be aimed

at determining whether other deficits and changes occur in the PC, such as a modification of the electrophysiological properties of pyramidal cells and interneurons in the PC and LOT neurotransmission *per se*, following the decrease in dopaminergic and noradrenergic inputs. Moreover, the bulbar increase of dopaminergic-GABAergic interneurons (and its significance) has yet to be explored extensively. For example, the increase in inhibitory transmission within the OB may be responsible for a reduced information processing; however, there is currently limited experimental evidence to confirm this theory. Lastly, other brain regions receiving inputs from the PC and involved in PD pathophysiology, such as the neocortex and hippocampus, will be investigated to determine whether they display the same deficits as the PC following dual toxin treatment in the next Chapter.

Chapter 4 – Along the olfactory pathway: PFC and Hippocampus

4.1 Introduction

The olfactory pathway comprises several other regions in addition to the previously studied olfactory bulbs (OB) and the piriform cortex (PC), including neocortical areas and the hippocampus (Franks *et al.*, 2015). Among various neocortical areas, the prefrontal cortex (PFC), in particular, has been reported to have functional and structural connectivity with the olfactory pathway (Salimi *et al.*, 2019), with inputs directly from the PC (Pitkänen *et al.*, 2000; Kadohisa, 2013). The PFC associates olfactory inputs with taste, oral texture, and visual inputs, creating a multimodal representation of reward value and economic value of goods, such as the reward value of food (Padoa-Schioppa, 2011; Rolls, 2012). Similarly, the PC is also connected with the hippocampus, where olfactory inputs can be coded into episodic long-term memory (Rolls, 2010; Kadohisa, 2013). Indeed, damage to the hippocampus was shown to impair odour-place associative learning and temporal order memory for odour information (Kesner, Gilbert and Barua, 2002; Rolls and Kesner, 2006). Additionally, specific hippocampal neurones were found to encode the place of odour-related rewards (Kadohisa, 2013). Overall, both the PFC and the hippocampus have a role in the process of odour-elicited emotions and odour-associated emotional memory. Indeed, human imaging studies have observed that the PFC is activated by both unpleasant or pleasant odours, depending on the subjective value ascribed to the odours by participants (Anderson *et al.*, 2003; Grabenhorst *et al.*, 2007). Lastly, when subjects with post-traumatic stress disorder are exposed to the odour related to the traumatic memory, their PFC was shown to be active (Vermetten *et al.*, 2007). The hippocampus and

PFC have also been shown to be activated by odour cues during the autobiographical memory retrieval process (Larsson and Willander, 2009).

4.1.1 Cognitive decline in PD

Cognitive dysfunction is one of the NMSs of PD with the highest morbidity and mortality (Poewe, 2008; Narayanan, Rodnitzky and Uc, 2013; Radhakrishnan and Goyal, 2018; Seppi *et al.*, 2019), which is usually present in around 20% of patients at the time of PD diagnosis (Watson and Leverenz, 2010). Additionally, cognitive impairments were shown to correlate with hyposmia, with the latter being a good predictor of the former (Roberts *et al.*, 2016; Kotecha *et al.*, 2018; Yahiaoui-Doktor *et al.*, 2019). Cognitive decline varies in its severity across PD patients, from subtle or mild cognitive impairment that does not significantly disrupt daily living, to dementia and rate of progression, with longitudinal studies observing dementia onset in around 80% of patients after 20 years (Goldman *et al.*, 2018). To date, the mechanisms and processes underlying cognitive dysfunction in PD are poorly understood, and only few effective treatments are available to manage these debilitating symptoms (Balestrino and Schapira, 2020). For example, levodopa was found to inconsistently improve cognitive impairments in PD, depending on disease state and the integrity of striatal dopamine signalling (Pascual-Sedano *et al.*, 2008). Indeed, it is thought that the mesocortical dopaminergic projections to the prefrontal cortex may be involved in the aetiology of these symptoms (Narayanan, Rodnitzky and Uc, 2013). However, Vaillancourt and colleagues (2013) described the “dopamine overdose hypothesis” in which therapies that aimed at replenishing dopamine in the brain have the dual effect of: 1)

increasing performances on tasks related to the nigrostriatal-pathway, such as motor skills, whilst concomitantly 2) decreasing efficacy on tasks associated with the mesocorticolimbic-pathway, such as executive functions. Additionally, cholinergic, serotonergic, and noradrenergic neurodegeneration, in association with the lack of dopamine, have been shown to be involved in cognitive dysfunctions (Goldman *et al.*, 2018). Lastly, Brück *et al.* (2004) showed that the PFC and the hippocampus of non-demented patients in the early stage of the disease begin to atrophy.

4.1.2 Executive functions, PFC, and PD

Cognitive impairments in PD usually include deficits with working memory, planning, attention, and impulse control disorder, which are all cognitive processes associated with PFC activation (Schapira, Ray Chaudhuri and Jenner, 2017). Indeed, the PFC regulates the focus of the attention on one event or phenomenon to the exclusion of others as well as switching between them, allowing the individual to act automatically or even override automatic actions, a set of abilities frequently referred to as executive functions (Watson and Leverenz, 2010). Neuropsychological and imaging studies conducted on PD patients found that poor performances in all tests related to executive functions, including the Wisconsin Card-Sorting Task, attentional set shifting, and spatial working memory, correlated with a reduced metabolic activity in the medial frontal network (Cools *et al.*, 2001; Zgaljardic *et al.*, 2006; Huang *et al.*, 2007). Indeed, imaging studies have consistently demonstrated hypoactivation of prefrontal areas in combination with a marked decrease in lateral and medial prefrontal dopamine in late stage PD patients (Narayanan,

Rodnitzky and Uc, 2013). Nevertheless, there are instances during which the PFC of PD patients has been found to be hyperactive instead. Specifically, some studies have shown that PFC activation is higher among patients with PD than in healthy controls during walking, suggesting that motor control may become cortically mediated by executive-attentional network activation to compensate for deficits in the subcortical automatic locomotor control (Stuart *et al.*, 2018, 2019). In support of this idea, behavioural therapies designed to improve gait and enhance automaticity in patients with PD, have shown that PFC activation reduces following the intervention, further strengthening the above theory (Maidan *et al.*, 2018; Thumm *et al.*, 2018). However, the exact role of PFC dysfunctions in PD progression and manifestation has yet to be fully understood.

4.1.3 Explicit memory, hippocampus, and PD

The hippocampus is the key structure responsible for the spatial representation of environments as well as for “explicit” memory (Lisman *et al.*, 2017). The latter can be subdivided into episodic and semantic memories, that are the conscious recollection of an episode or concepts/meanings respectively (Jawabri and Cascella, 2020). Explicit memory, both in its verbal and non-verbal forms, is known to be affected in PD patients without dementia (Watson and Leverenz, 2010). Additionally, some evidence suggests that early changes in episodic memory may precede further cognitive decline in PD patients (Hoogland *et al.*, 2017; Perello and Andres, 2020). Deficits in both immediate and delayed story recall were reported in patients with PD (Fama *et al.*, 2000; Muslimović *et al.*, 2007), as well as impairments in recognition,

figure copy, and visual retention (Janvin *et al.*, 2006; Uc *et al.*, 2006; Pereira *et al.*, 2009), suggesting that PD patients without dementia have an increased risk for memory impairments. However, when the learning skills level of PD patients was compared with controls, there was no difference in their performance in delayed free recall and recognition tasks, indicating that it might be the encoding process that is impaired in PD (Chiaravalloti *et al.*, 2014). Human imaging studies on PD patients observed morphological and functional changes in the entorhinal cortex, hippocampus, and surrounding temporal areas, with some of them starting in the early stages (Pirogovsky-Turk *et al.*, 2015; Tanner *et al.*, 2015; Biundo, Weis and Antonini, 2016). For example, hippocampal atrophy was shown to function as a biomarker of initial cognitive decline in PD, leading to impaired memory encoding and storage (Weintraub *et al.*, 2011). Accordingly, during the initial stages of cognitive decline in PD, especially when impairments in memory encoding and storage arise, an ongoing hippocampal neurodegeneration, mainly involving the Cornu Ammonis (CA) 2-3 subfields was observed (Foo *et al.*, 2016; Novellino *et al.*, 2018). Similarly, a recent study reported that the thickness of the cell body layer of hippocampal CA1 is the most reliable predictor of episodic memory impairment (La *et al.*, 2019). Additionally, memory deficits in PD patients were recently shown to be related to a reduced connectivity between the hippocampus and the precuneus and superior parietal cortex that are regions related to associative memory and attentional control respectively (Bezdicsek *et al.*, 2019). Overall, memory deficits in PD appear to be sustained by both encoding and retrieval deficits. Lastly, a human imaging study using DAT

binding found that selective hyposmia in PD correlated with reduced hippocampal striatal dopamine innervation (Nicolaas I Bohnen *et al.*, 2008).

4.1.4 Aims of the present chapter

Given the established roles of the PFC and hippocampus in PD progression, this chapter follows up on the deficits observed in the PC and OB of the early-stage PD model, such as altered expression of calcium binding proteins (CBPs) and increased neuronal density in the PC. Specifically, we hypothesised that these regions would show similar deficits to the ones observed elsewhere. Therefore, CBP-expressing interneurons in both PFC and hippocampus were analysed and quantified through unbiased stereology together with the overall number of both GABAergic interneurons and neurons. The PFC was analysed as a whole, whilst the hippocampus was subdivided in the subfields CA1-2-3 and each region was analysed separately. Lastly, as in the previous chapter, EX-4's effectiveness in preventing or inhibiting the deficits in the early-stage PD model was also investigated.

4.2 Materials and Methods

4.2.1 Experimental Groups

Animals were divided into three groups: sham, DSP-4 + 6-OHDA (early-stage model), and DSP-4 + 6-OHDA + EX-4. Figure 4.1 shows the experimental timeline. On day 1, animals were injected intraperitoneally either with saline (sham) or DSP-4 (model). Three days later, they underwent surgeries during which either saline (sham) or 6-OHDA (model) were delivered directly into the striatum (bilaterally). Two weeks following the surgeries, animals were injected intraperitoneally twice daily with either EX-4 (Sigma Aldrich) or saline for 7 days (Figure 4.1). Finally, three weeks after the surgeries, animals were culled and the brains were collected.

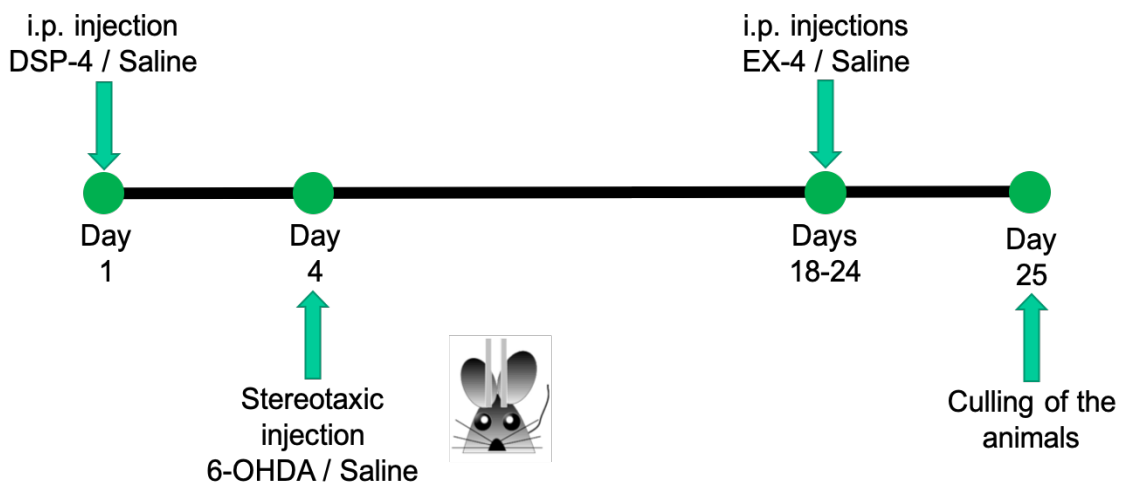


Figure 4.1 – Experimental timeline. On day 1, animals received the injection of either DSP-4 (early-stage model, 25 mg/Kg) or saline (sham). 3 days later, stereotaxic surgeries were performed to bilaterally deliver in the striatum either 6-OHDA (early-stage model, 15 μ g) or saline (sham). Next, from day 18, animals were treated daily for a week with either EX-4 (early-stage model) or saline (sham and early-stage model). On day 25, animals were culled and the brains collected for further analyses.

4.2.2 Drugs

N-(2-Chloroethyl)-N-ethyl-2-bromobenzylamine hydrochloride (DSP-4), a selective noradrenaline neurotoxin, and 6-hydroxydopamine (6-OHDA), a neurotoxin used to deplete both noradrenergic and dopaminergic neurones respectively, were purchased from Sigma (Sigma Aldrich, Gillingham, UK). DSP-4 was delivered at a concentration of 25 mg/kg in saline solution and injected intraperitoneally (i.p.) 4 days prior to the 6-OHDA injection, while 6-OHDA was dissolved at a concentration of 5 mg/ml in saline solution containing 0.9% ascorbic acid and delivered bilaterally in the striatum. The optimum doses for DSP-4 and 6-OHDA were chosen to induce *partial* reduction of NA and DA levels based on previous studies (Jonsson et al., 1981; Prezedborski et al., 1995), mimicking the early stage of the disease. EX-4 (Sigma Aldrich) was administered twice daily via intraperitoneal injection 12 days after surgery (with saline as a vehicle) at a dose of 0.5 µg/kg for a period of 7 days.

4.2.3 Immunohistochemistry

Briefly, 50 µm coronal sections containing either the PFC or the hippocampus were cut, one slice in every 12 was collected and 4-5 slices per animal were used for analysis. Sections were incubated first in 1% H₂O₂ for 30 minutes and then in 1% sodium borohydride (NaBH₄) for 30 minutes to decrease background staining and then in 10% normal goat serum (NGS) for all antibodies for another 60 min to block non-specific antibody binding. Sections were incubated overnight at 4°C in a mixture of primary antibodies and triton X-100 (Sigma Aldrich) [1% Triton for GAD-67 - 0.1% for all other antibodies]

made up in phosphate buffer solution (Primary antibodies are listed in Chapter 2). CBP, GAD-67, and NeuN immunostainings were carried out on coronal sections containing either the PFC or the hippocampus according to the immunoperoxidase protocol described in Chapter 2. Sections were dehydrated and mounted using DPX. The optical fractionator probe was used to determine the number of immunopositive neurones in both regions (Stereoinvestigator software, MicroBrightField) using a Nikon microscope coupled to a computer-controlled x-y-z motorized stage and an MBF video camera system. Unbiased stereology was carried out on 4-5 slices per animal ($n = 5$ per experimental group) with the following parameters: counting frame $60\ \mu\text{m} \times 60\ \mu\text{m}$; grid size $200\ \mu\text{m} \times 200\ \mu\text{m}$; section thickness $50\ \mu\text{m}$, dissector height $12\ \mu\text{m}$. Only neurones with visible nuclei and dendrites were counted. Lastly, the neuronal quantification in both brain areas was performed including all layers.

4.2.4 Determination of the CA1-2-3 borders

The borders between the different hippocampal CA regions were defined using α -actinin-2, which is expressed solely in CA2, staining as previously described (Mercer et al., 2007; Botcher et al., 2014). 1 in 12 slices per animal were collected and processed for α -actinin-2 staining (4 slices per animal for all three experimental groups) and images of the staining were taken with the DMR microscope and Leica Application Suite V4 (Leica Microsystems) at 2.5x and 5x magnification, with constant video camera settings, light intensity, and microscope calibration. An example of the staining in the three experimental groups is shown in Figure 4.2a. Images of GAD-67 and CBPs staining were

then superimposed on the digital images of the α -actinin-2 staining in a section from the same frontocaudal depth using Corel Photo Paint X6 software to clearly define the borders of the CA2 region in each slice. Examples of this superimposition are illustrated in Figure 4.2b,c,d,e.

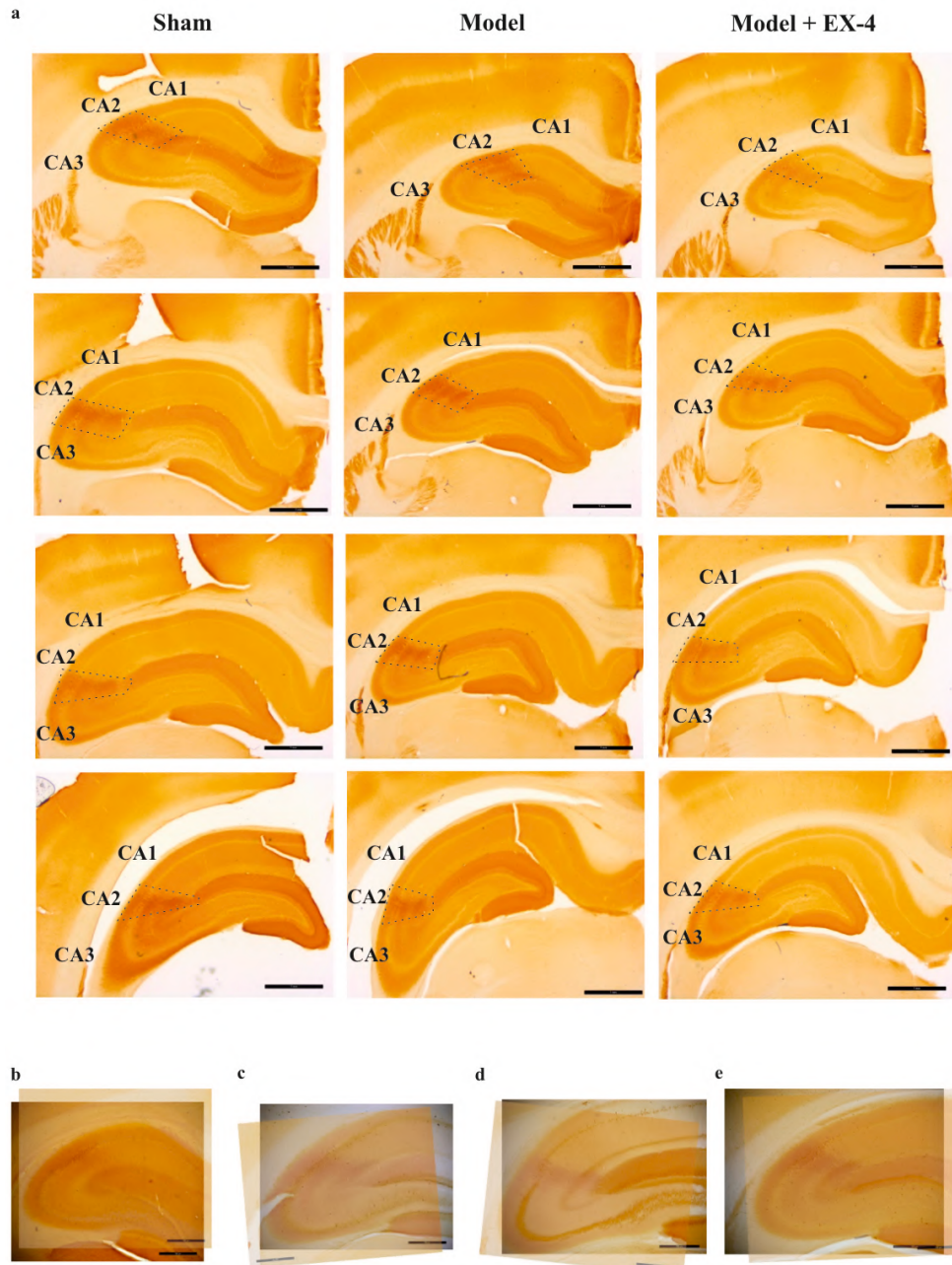


Figure 4.2. Characterisation of the hippocampal CA2 borders. a) Example of α -actinin-2 staining in each experimental group (1 in 12 slices - 4 slices per animal). The black dotted lines represent the CA2 region. Scale bars represent 1 mm. b,c,d,e) Examples of GAD-67 (b), PV (c), CB (d), and CR (e)-stained rat brain slices superimposed with corresponding α -actinin-2 stained rat brain slices, allowing to determine the borders of the CA2 area. Scale bars represent 500 μ m.

4.2.5 Statistical analysis

All data are presented as mean \pm SEM. Results were analysed using One-way ANOVA and the Tukey post-hoc test was applied. Significance was set at $P < 0.05$.

4.3 Results

4.3.1 Decreased CBP interneurons in the PFC of the early-stage PD model.

Interneurons expressing the CBPs CB, CR, and PV were analysed in the PFC of the early-stage PD model and compared with those in control animals. Figures 4.3Aa-Ca show representative examples of the distributions of CBP-immunopositive interneurons for all experimental groups. The average numbers of both CB- and PV-positive interneurons in the PFC of the early-stage model were significantly decreased compared with controls (Figures 4.3Ab-Cb, One-way ANOVA $P < 0.05$). Treatment with EX-4 partially prevented the observed decreases compared with controls (One-way ANOVA, $P > 0.05$). In contrast, the average number of CR-expressing interneurons did not significantly differ between groups (Figure 4.3Bb).

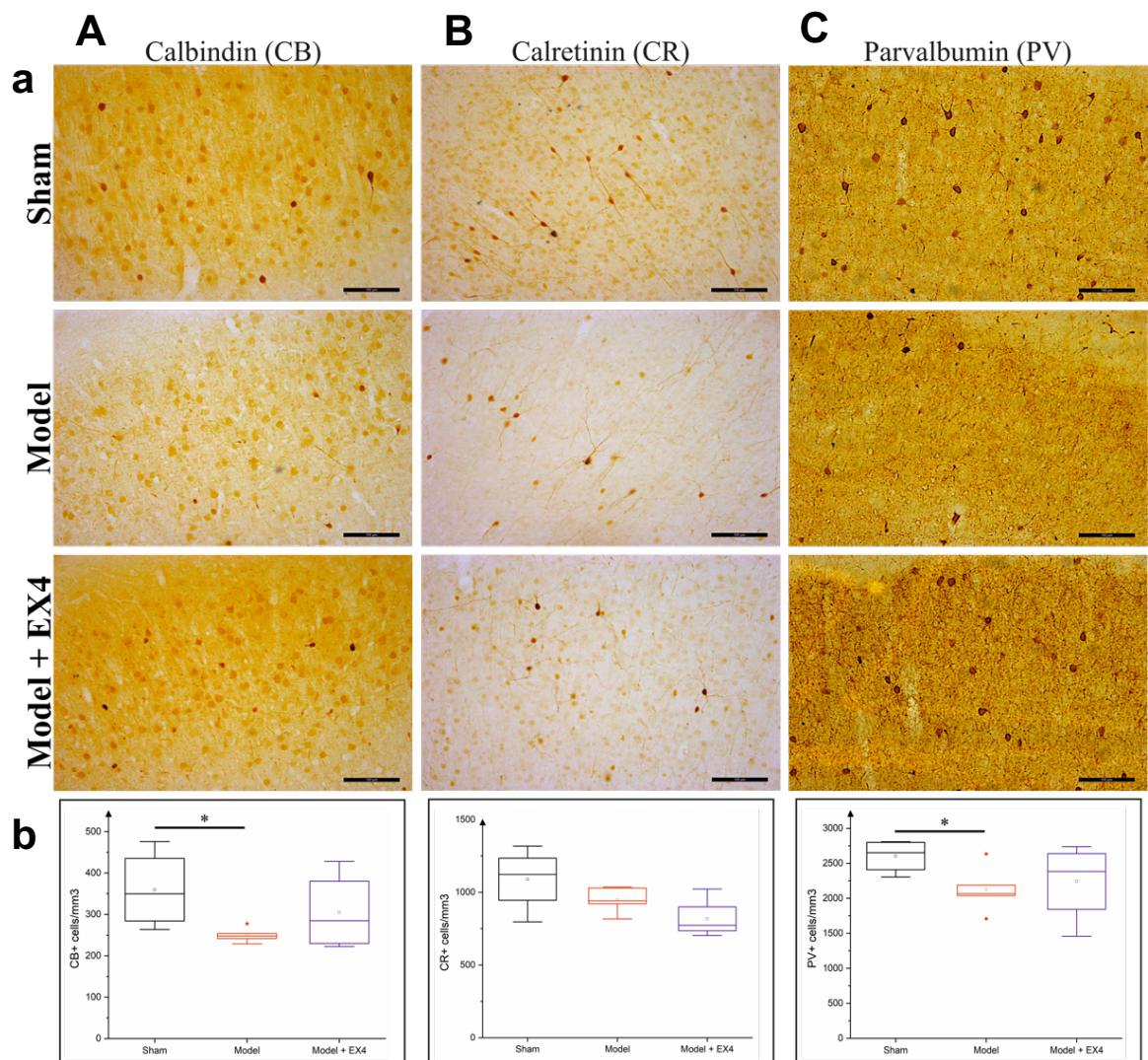


Figure 4.3 - Distribution of CBP-containing interneurons in the PFC. **A** Distribution of calbindin-positive (CB+) interneurons, including examples of CB+ cells (**a**) and cell densities (**b**), in the PFC of all experimental groups. The number of CB-positive interneurons was significantly decreased in the early-stage model compared with sham animals. **B** Distribution of calretinin-positive (CR+) interneurons, including examples of CR+ cells (**a**) and cell densities (**b**), in the PFC of all experimental groups. The distributions were similar in all experimental groups. **C** Distribution of parvalbumin-positive (PV+) interneurons, including examples of PV+ cells (**a**) and cell densities (**b**), in the PFC of all experimental groups. A significant decrease in the number of PV-positive interneurons was observed in the early-stage model compared with sham animals. Treatment with EX-4 prevented both observed decreases. [One-way ANOVA, * $P < 0.05$]. All data are presented as mean \pm SEM. Scale bars represent 100 μ m. Sham $n = 5$, Model $n = 5$, Model + EX-4 $n = 5$.

4.3.2 Cellular densities of GAD- and NeuN-immunopositive cells in the PFC of the early-stage PD model are unaltered.

The number of GAD-67-immunopositive interneurons was also analysed to determine whether the decrease in the number of CBP-containing interneurons in the PFC of the model was due to a down-regulation of the CBPs or to interneuronal death. The density and distribution of GAD-67-positive cells did not differ among the experimental groups, suggesting a down regulation of the CBPs in the model rather than a cellular loss (Figure 4.4Ab). The overall number of neurons in the PFC was also studied. The number of NeuN-immunopositive cells was not significantly affected in the model compared with controls (Figure 4.4Bb).

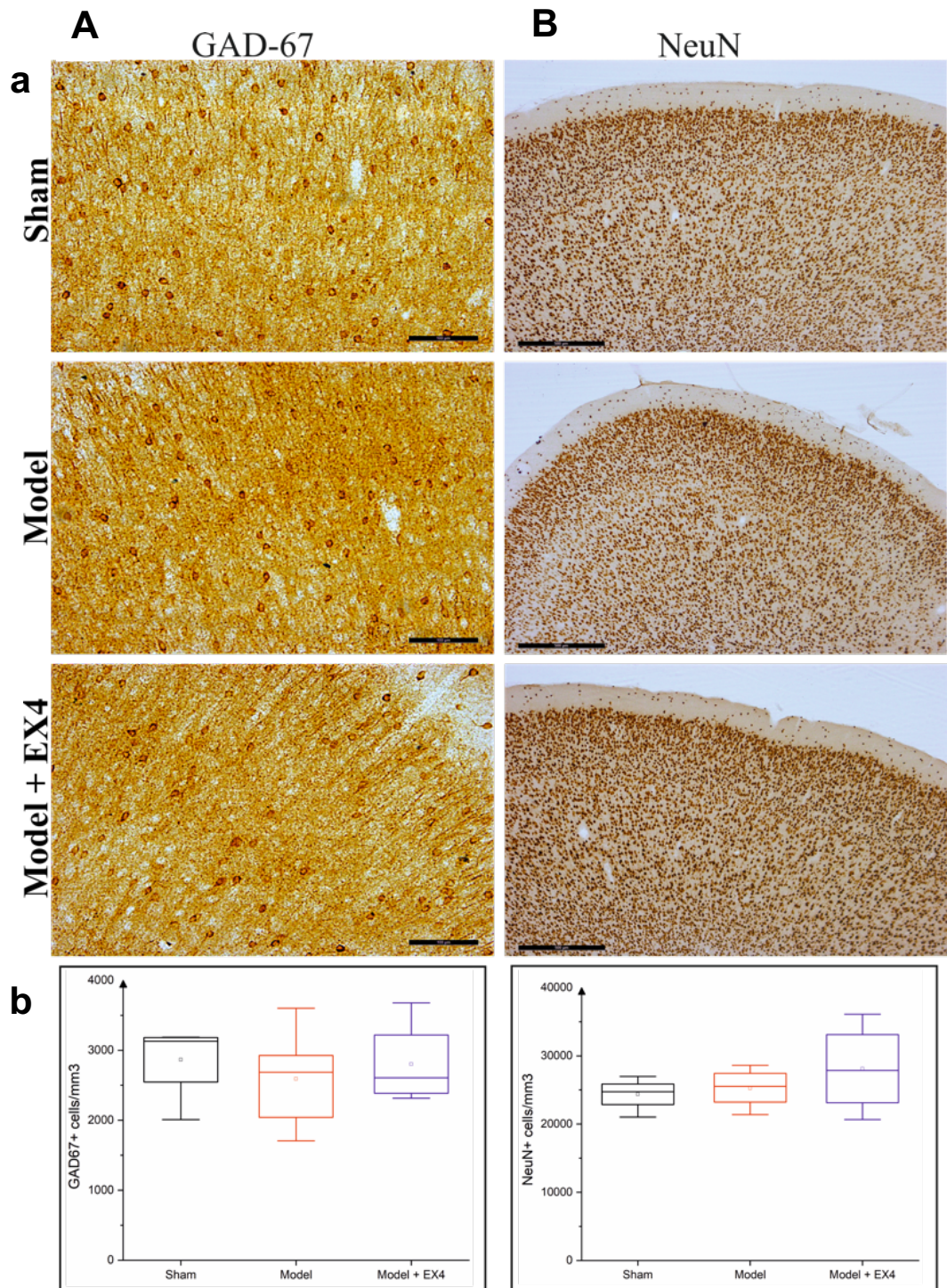


Figure 4.4 - Distribution of NeuN- and GAD67-immunopositive neurons in the PFC. A Distribution of GAD-67-immunopositive interneurons in the PFC of the early-stage PD model. **Aa** Examples of GAD-67-immunostaining in the PFC of all experimental groups. Scale bars represent 50 μ m. **Ab** Cell densities in the PFC. The distributions were similar in all experimental groups. **B** Distribution of NeuN-immunopositive interneurons in the PFC of the early-stage model. **Ba** Examples of NeuN-immunostaining in the PFC of all experimental groups. Scale bars represent 100 μ m. **Bb** Cell densities in the PFC. The distributions were similar in all experimental groups. All data are presented as mean \pm SEM. Sham $n=5$, Model $n=5$, Model + EX-4 $n=5$.

4.3.3 Dual-toxin treatment led to an increase in CB-positive interneurons in CA1 of the early-stage PD model.

Interneurons expressing CBPs were analysed in each hippocampal CA region of the early-stage PD model and compared with those in control animals. Figures 4.5-7Aa-Ca show representative examples of the distributions of PV-, CB- and CR-immunopositive interneurons of all experimental groups in CA1, CA2, and CA3 respectively. Out of the three CBPs analysed, CB-positive interneurons in CA1 of the early-stage model were the only CBP-positive interneurons in the CA1 region that showed a significant *increase* in number compared with shams (One-way $P < 0.05$, Figure 4.5Ab). Treatment with EX-4 partially prevented this increase (One-way ANOVA $P > 0.05$). Interneuronal densities in the CA2 region of the early-stage PD model were similar to those observed in sham animals (One-Way ANOVA $P > 0.05$, Figure 4.6Ab). However, treatment with EX-4 significantly *increased* the density of CR+ interneurons compared with the model (One-Way ANOVA $P < 0.01$) as well as of CB+ interneurons compared with both the model (One-Way ANOVA $P < 0.01$) and controls (One-Way ANOVA $P < 0.05$) (Figure 4.6Ab). Lastly, the distributions of CBP-expressing interneurons were similar in the CA3 region of the three experimental groups (Figure 4.7Ab).

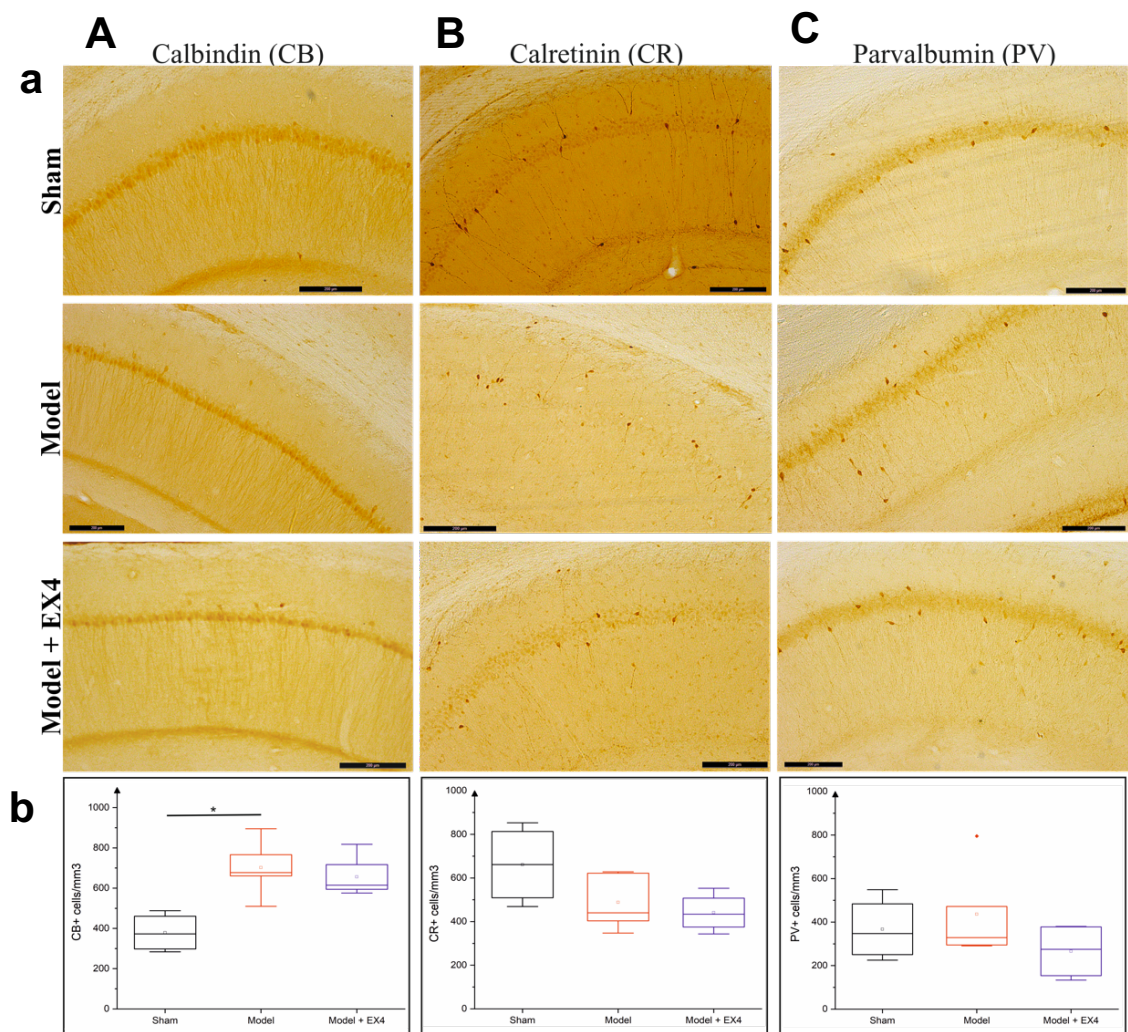


Figure 4.5 - Distribution of interneuronal CBPs in hippocampal CA1. **A** Distribution of CB+ interneurones, including examples of CB+ cells (**a**) and cell densities (**b**), in CA1 of all experimental groups. The number of CB-positive interneurones was significantly increased in the early-stage model compared with sham animals. Treatment with EX-4 prevented the observed increase. **B** Distribution of CR+ interneurones, including examples of CR+ cells (**a**) and cell densities (**b**), in the CA1 of all experimental groups. The distributions were similar in all experimental groups. **C** Distribution of PV+ interneurones, including examples of PV+ cells (**a**) and cell densities (**b**), in CA1 of all experimental groups. * $P < 0.05$. All data are presented as mean \pm SEM. Scale bars represent 200 μ m. Sham $n=5$, Model $n=5$, Model + EX-4 $n=5$.

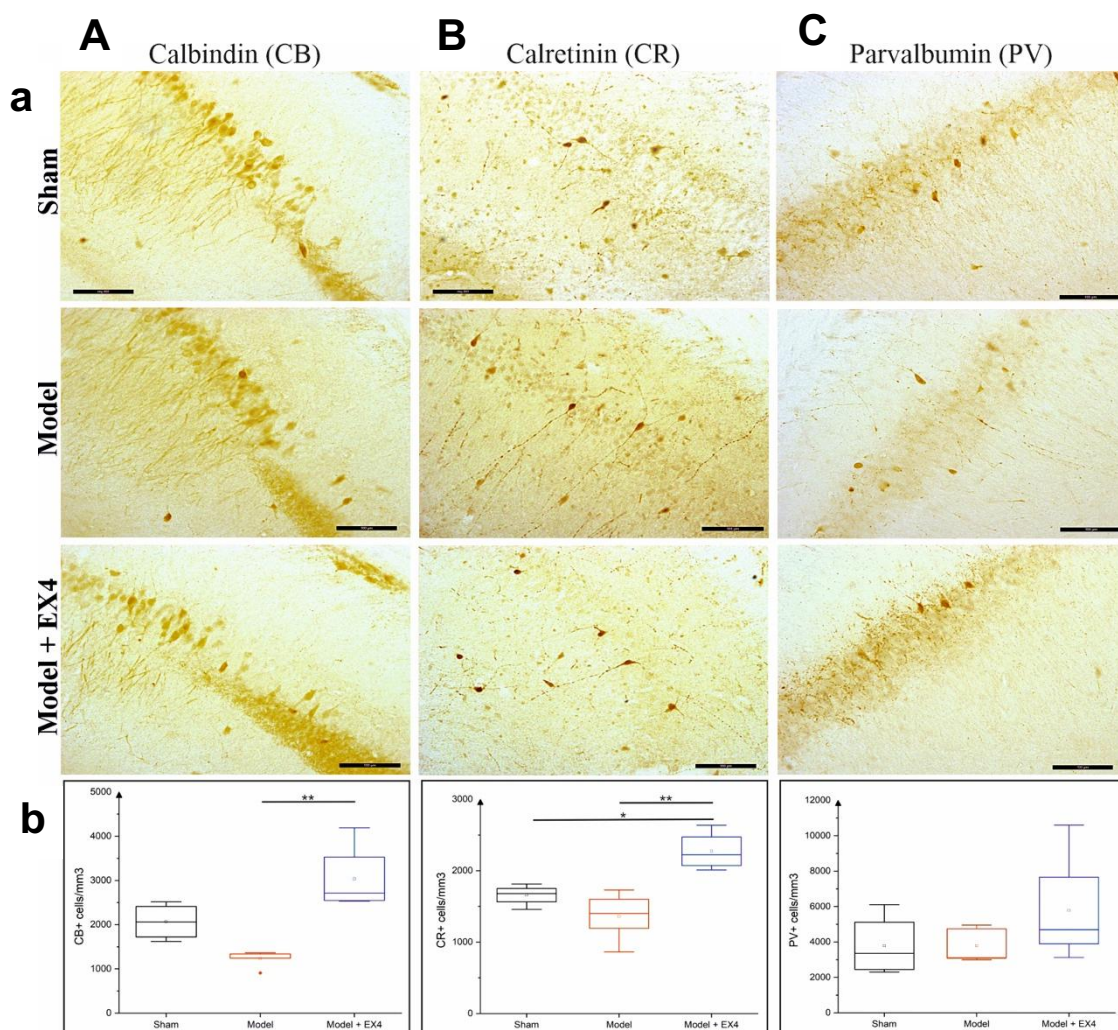


Figure 4.6 - Distribution of interneuronal CBPs in hippocampal CA2. **A** Distribution of CB+ interneurons, including examples of CB+ cells (**a**) and cell densities (**b**), in CA2 of all experimental groups. An increase was observed in the model + EX-4 group compared with shams (One-Way ANOVA $P < 0.01$). **B** Distribution of CR+ interneurons, including examples of CR+ cells (**a**) and cell densities (**b**), in CA2 of all experimental groups. Treatment with EX-4 led to an increased density compared with both the model (One-Way ANOVA $P < 0.01$) and controls (One-Way ANOVA $P < 0.05$). **C** Distribution of PV+ interneurons, including examples of PV+ cells (**a**) and cell densities (**b**), in CA2 of all experimental groups. The distributions were similar in all experimental groups. All data are presented as mean \pm SEM. Scale bars represent 100 μ m. Sham $n=5$, Model $n=5$, Model + EX-4 $n=5$.

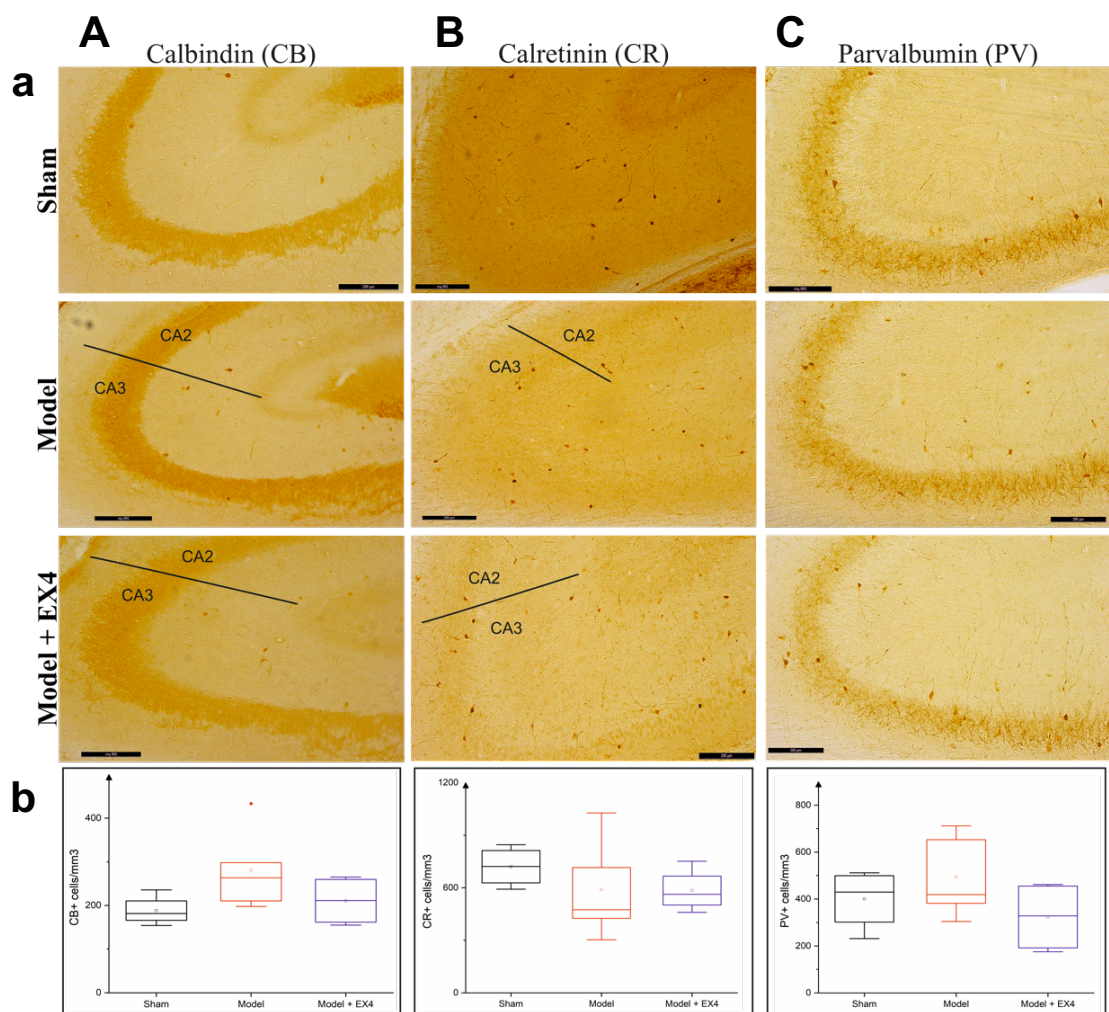


Figure 4.7 - Distribution of interneuronal CBPs in hippocampal CA3. **A** Distribution of CB+ interneurons, including examples of CB+ cells (**a**) and cell densities (**b**), in CA3 of all experimental groups. No significant difference was observed between groups. **B** Distribution of CR+ interneurons, including examples of CR+ cells (**a**) and cell densities (**b**), in the CA3 of all experimental groups. Interneuronal cell densities were similar for the three groups. **C** Distribution of PV+ interneurons, including examples of PV+ cells (**a**) and cell densities (**b**), in CA3 of all experimental groups. The distributions were similar in all experimental groups. All data are presented as mean \pm SEM. Scale bars represent 200 μ m. Pictures in which borders are not highlighted show only the region of interest. Sham $n=5$, Model $n=5$, Model + EX-4 $n=5$.

4.3.4 Reduced density of GABAergic interneurons in CA2 of the early-stage model.

Representative examples of GAD67-positive interneurons are shown in Figures 4.8-10Aa. The density and distribution of GAD-67-positive cells in both CA1 and CA3 did not differ among the experimental groups (Figures 4.8Ab and 4.10Ab). Surprisingly, CA2 was the only hippocampal region of the early-stage PD model in which GABAergic interneurons were significantly decreased compared with shams (One-Way ANOVA $P < 0.05$, Figure 4.9b). Treatment with EX-4 not only prevented the observed decrease in the model (One-Way ANOVA $P < 0.001$) but it induced a significant *increase* of GABAergic interneuronal density compared with sham animals (One-Way ANOVA $P < 0.05$, Figure 4.9b).

Similarly to the PFC, the overall number of neurons in CA1 and CA3 hippocampal regions was similar in the three experimental groups (Figures 4.8Bb and 4.10Bb). Figures 4.8Ba and 4.10Ba display NeuN+ neurons in both CA1 and CA3 of all experimental groups.

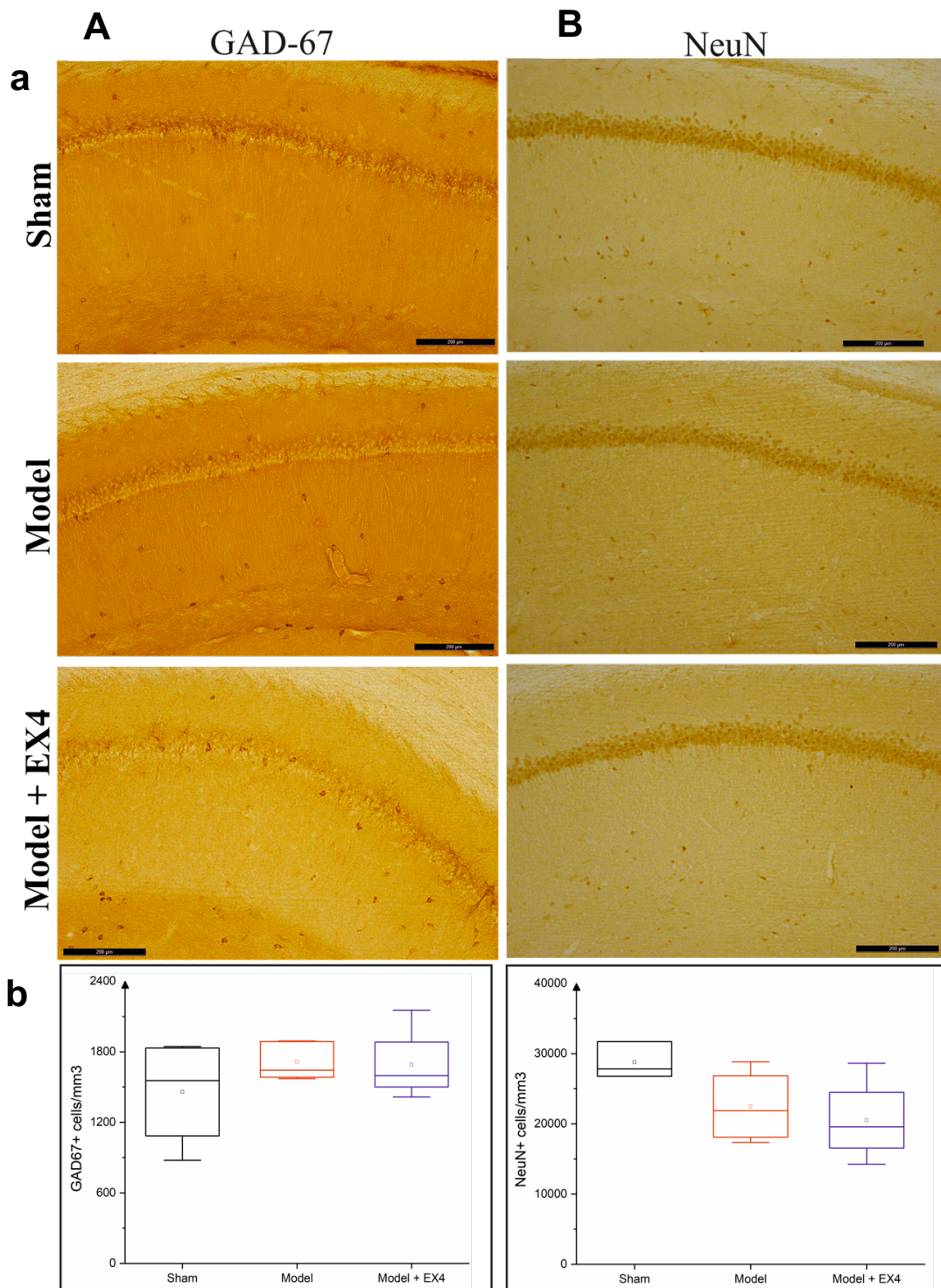


Figure 4.8 - Distribution of NeuN- and GAD-immunopositive neurons in hippocampal CA1. **A** Distribution of GAD-67-immunopositive interneurons in CA1 of all experimental groups. **Aa** Examples of GAD-67-immunostaining. **Ab** Cell densities in CA1. The distributions were similar in all experimental groups. **B** Distribution of NeuN-immunopositive interneurons in CA1 all groups. **Ba** Examples of NeuN-immunostaining. **Bb** Cell densities in CA1. The density of NeuN-positive neurons in the early-stage PD model was similar compared with that in the sham animals. Scale bars represent 200 μm . Sham $n=5$, Model $n=5$, Model + EX-4 $n=5$.

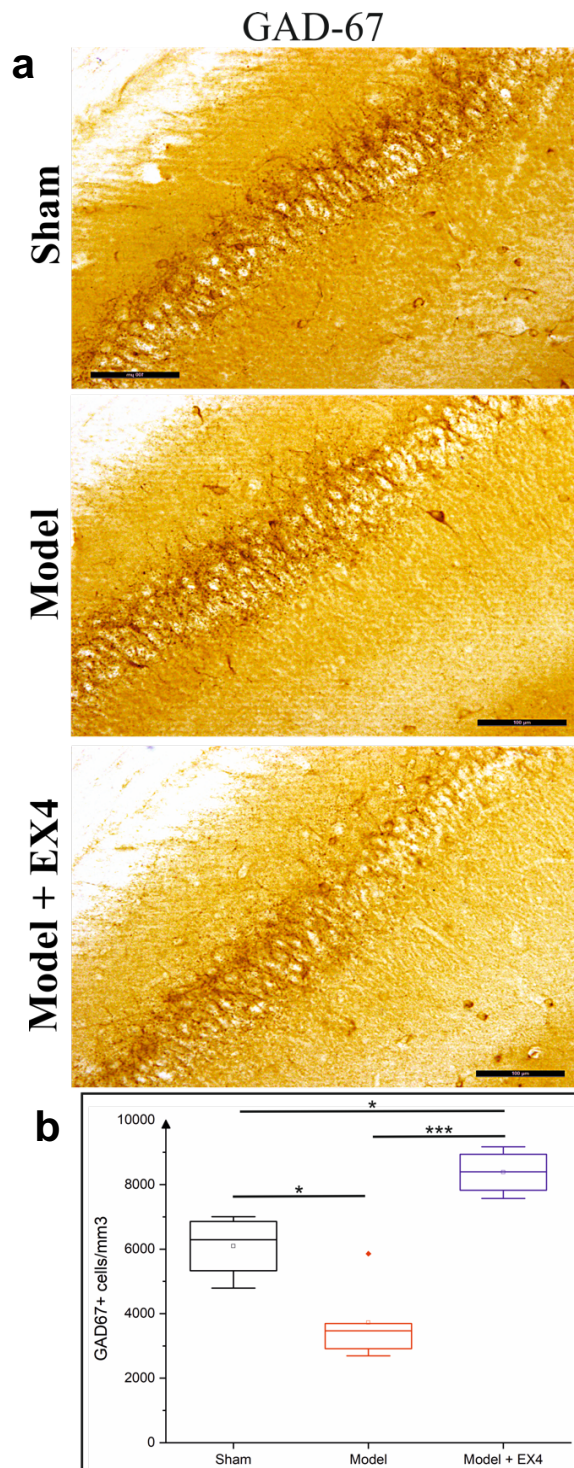


Figure 4.9 - Distribution of GAD-immunopositive neurones in hippocampal CA2 of all experimental groups. a Examples of GAD-67-immunostaining. **b** Stereological quantification of GABAergic interneurons in CA2. A significant decrease in the early-stage PD model compared with controls was observed (One-Way ANOVA $P < 0.05$). The latter was prevented by treatment with EX-4 (One-Way ANOVA $P_{\text{model vs model + EX-4}} < 0.001$), which also produced a significant increase of GABAergic interneurons compared with shams (One-Way ANOVA $P < 0.05$). Scale bars represent $100 \mu\text{m}$. Sham $n=5$, Model $n=5$, Model + EX-4 $n=5$.

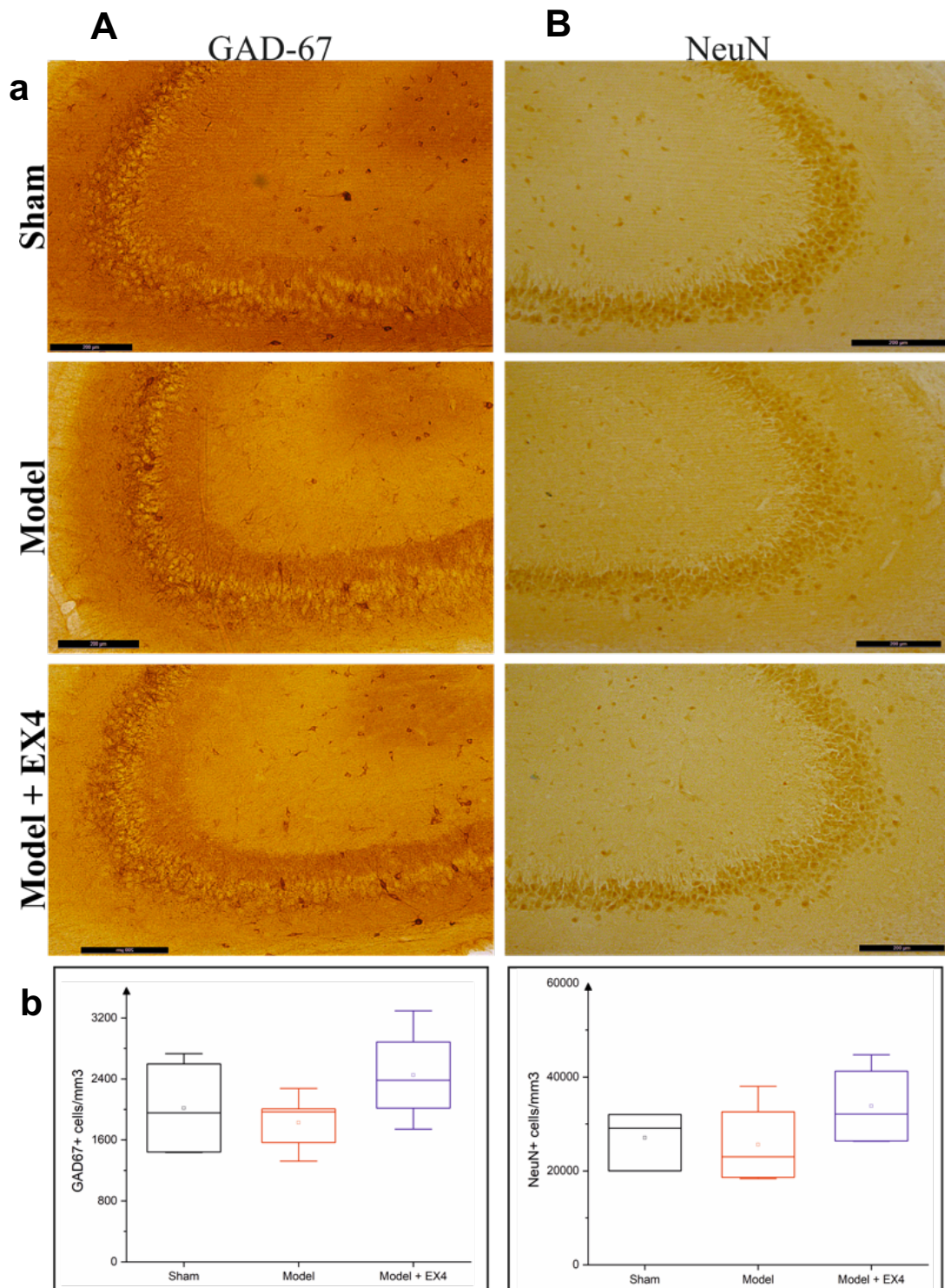


Figure 4.10 - Distribution of NeuN- and GAD-immunopositive neurones in hippocampal CA3. **A** Distribution of GAD-67-immunopositive interneurons in CA3 of all experimental groups. **Aa** Examples of GAD-67-immunostaining. **Ab** Cell densities in CA3. The distributions were similar in all experimental groups. **B** Distribution of NeuN-immunopositive interneurons in CA3 all groups. **Ba** Examples of NeuN-immunostaining. **Bb** Cell densities in CA3. The density of NeuN-positive neurones in the early-stage PD model was similar compared with that in the sham animals. Scale bars represent 200 μ m. Sham $n=5$, Model $n=5$, Model + EX-4 $n=5$.

4.4 Discussion

The PFC and the hippocampus are key brain regions related to several higher cognitive functions as well as part of the extended olfactory circuitry. Given the deficits reported in the previous chapter in the PC and OB, and given the important roles these structures play in PD aetiology and progression, we investigated in this study whether both regions presented structural changes in the early-stage model. Similarly to the findings in the PC, we reported for the first time that the PFC of the early-stage PD model showed a significant decreased expression of CBPs despite an unchanged overall number of both GABAergic interneurons and neurons. These changes were partially prevented by treatment with EX-4. Additionally, a significant loss of GABAergic interneuronal population in the CA2 hippocampal region of the model was observed, whilst CBP expression was found to be unaffected by the dual-toxin treatment. EX-4 was able not only to prevent this loss in the early-stage model, but it led to a significant increase of GAD-67+ cells compared with shams.

4.4.1 Expression of CBPs is decreased in the PFC of the early-stage PD model.

The PFC is tightly linked to the olfactory pathway, receiving direct inputs from the primary olfactory cortex (Pitkänen *et al.*, 2000; Kadohisa, 2013). Similarly to the changes observed in the PC, a significant reduction in the expression of CBPs was reported in the PFC of the early-stage PD model for the first time. This result is in line with previous studies that investigated CBP-expressing interneuronal populations in neurodegenerative diseases (Sato *et al.*, 1991; Lanoue, Blatt and Soghomonian, 2013). Specifically, PV mRNA expression

was shown to reduce without evidence of cell loss in the dorsolateral prefrontal cortex of PD patients, suggesting the downregulation of inhibitory neurotransmission in the frontal cortex (Lanoue, Blatt and Soghomonian, 2013). Similarly, Satoh *et al.* (1991) reported a significant decrease in both the number and size of PV-immunoreactive neurones in the CNS of Alzheimer's disease patients.

Despite the evidence of neuropathological abnormalities in frontal brain areas in PD, their molecular and cellular alterations are poorly understood (Muruet-Goyena *et al.*, 2019). As the PFC is responsible for higher cognitive functions, deficits in this region have been shown to lead to cognition impairments (Zgaljardic *et al.*, 2006), which are a predominant symptom of neuropsychiatric disorders. Hence, most of the pathogenetic mechanisms occurring in the PFC that may lead to cognitive dysfunctions, such as a decreased expression of CBPs, have been studied within the neuropsychiatric field, associating these deficits with disorders such as depression (Rajkowska *et al.*, 2007; Zadrozna *et al.*, 2011) and schizophrenia and bipolar disorder (Beasley *et al.*, 2002; Tooney and Chahl, 2004; Sakai *et al.*, 2008). Nevertheless, it was recently shown that cognitive dysfunctions in PD may be associated with a reduction in both expression and metabolism of dopamine D2 receptors (Christopher *et al.*, 2014; Li *et al.*, 2019; Fang *et al.*, 2020).

Although the reduction of CBPs expression in PFC and its functional implication has yet to be further investigated, some speculations may be proposed. For example, preliminary experiments showed that the reduction of CBP expression in the PC reported in the previous chapter is associated with neuronal hyperexcitability recorded in pyramidal neurones (data not shown).

Therefore, it is reasonable to assume that a similar disruption in neuronal excitability could characterise the PFC of our early-stage PD model. In agreement with this assumption, an enhanced GABAergic neurotransmission through zolpidem administration was observed following modulation of aberrant beta-frequency oscillations in early stage PD patients (Hall *et al.*, 2014), which is then thought to lead to the restoration of cognitive functions (Hall *et al.*, 2010). Additionally, PARK7 knockout mice, a genetic model of PD, displayed substantially higher PFC circuit activity recorded as spontaneous Ca^{2+} signals (Li *et al.*, 2019). In contrast, previous imaging studies conducted on late stage PD patients showed a hypoactivation of the PFC that was associated with poor performance on cognitive tests compared with controls (Cools *et al.*, 2002; Dirnberger, Frith and Jahanshahi, 2005; Jahanshahi *et al.*, 2010; Harrington *et al.*, 2011), highlighting the need for further research on potential alterations of the excitation/inhibition balance. Indeed, while these findings suggest a decreased GABAergic activity in PFC in early stage PD (Muruet-Goyena *et al.*, 2019), the presence of an abnormal GABAergic neurotransmission and its contribution to cognitive dysfunction in the early-stage stage has yet to be established.

4.4.2 CA2 of the early-stage PD model is the first hippocampal region to display structural deficits.

This chapter also focusses on another key brain structure involved in the cognitive aspect of smell processing: the hippocampus. This region was therefore analysed to investigate for similar deficits as in the PFC. In contrast to the data in the PC and PFC, injections of the toxins did not have any effect

on the distributions of PV- and CR-containing interneurons in CA1, CA2 and CA3. The number of CB+ interneurons in CA1 however, appeared to be increased compared with sham animals. Although the overall number of GAD67+ neurons in CA1 and CA3 was similar in the three experimental groups, a significant decrease in the number of interneurons in CA2 of the early-stage PD model was observed compared with shams. To our knowledge, this is the first study that investigated potential deficits associated with hyposmia in the hippocampus of an early-stage PD model.

Similarly to the PFC, experimental evidence on cellular and molecular deficits occurring in the hippocampus in early stage PD is elusive due to the key role played by this structure in both cognitive functions and spatial cognition and memory (Lisman *et al.*, 2017). Indeed, the majority of PD studies were performed on more advanced PD patients, evaluating these cognitive skills in a clinical setting, aiming to find a correlation between the disease stage and progression (Jordan, 2020). Nevertheless, studies conducted on PD animal models have reported an impaired hippocampal neurogenesis associated with both the presence of α -Synuclein aggregates (Desplats *et al.*, 2012) and an early serotonergic deficit (Kohl *et al.*, 2016). This reduction in neurogenesis is in turn thought to contribute to the pathogenesis of depression and cognitive decline in PD (Regensburger, Prots and Winner, 2014). However, it was recently observed that pharmacological agonism of D1 receptors exerted anxiolytic and antidepressant-like effects as well as enhanced neural-stem cell proliferation in a 6-OHDA PD animal model (Mishra *et al.*, 2019), suggesting that the impaired neurogenesis may also be a consequence of the dysfunctional dopaminergic transmission.

The finding that GABAergic cells in the early-stage PD model are affected only in CA2 is in agreement with the knowledge that CA2 is thought to be the first hippocampal area to be structurally affected in PD (Györfi *et al.*, 2017). Additionally, the CBPs analysed here were not significantly downregulated, suggesting that other GABAergic cells may be affected, such as somatostatin+ interneurons. Indeed, the mRNA level of somatostatin in GABAergic interneurons derived from iPSCs of PD patients were recently found to be significantly decreased (Iwasawa *et al.*, 2019). Nevertheless, more experiments are needed to explore the implications of this GABAergic loss and its implication in potential cognitive deficits in the early stage of PD.

4.4.3 Treatment with EX-4 partially prevents the observed deficits in the PFC and hippocampus

Similarly to the data reported in the previous Chapter, treatment with EX-4 was able to partially prevent the detected deficits in both the PFC and hippocampal regions. Specifically, treatment with the GLP1-R agonist resulted in a partial prevention of the CBP downregulation in the PFC and GABAergic loss in the CA2 hippocampal region. Although the mechanisms behind these protective effects remain unknown, the anti-inflammatory properties exerted by EX-4 are currently regarded as the primary mechanism of action for the observed beneficial effects on different diseases (Li *et al.*, 2015; Zhang *et al.*, 2016; Rocha-Ferreira *et al.*, 2018).

Interestingly, the density of GAD-67+ interneurons in CA2 of the early-stage PD model treated with EX-4 was significantly increased compared with controls. The treatment with EX-4, therefore, not only prevented neuronal loss,

but it also caused a significant increase in their number in this hippocampal region. This increase may be ascribed to the known effects of the GLP-1R agonist on neurogenesis in the adult brain (Hunter and Hölscher, 2012). Indeed, GLP-1R agonists are thought to activate the differentiation of neural stem cells into neurones (Kim, Kim and Song, 2020). EX-4, in particular, was shown to promote adult neurogenesis both *in vitro* and *in vivo*, while also normalizing dopamine imbalance in PD models (Bertilsson *et al.*, 2008). Additionally, a two-week treatment with EX-4 led to an increase in doublecortin, a key marker of hippocampal neurogenesis, in adult rodents (Isacson *et al.*, 2011). Lastly, the observed increase of GABAergic cells following EX-4 treatment is in line with the finding of an increased density of NeuN+ cells in the PC of the early-stage PD model treated with EX-4 reported in Chapter 3. However, further experiments are required to determine the full extent of potential effects exerted by EX-4 on neurogenesis in this PD model.

4.4.4 Summary and future directions

Continuing along the olfactory pathway, the present chapter investigated for potential deficits underlying hyposmia in two key regions involved in the cognitive aspect of smell processing: the PFC and the hippocampus. As these two regions receive inputs from the PC, focus was given to determine any potential changes in the early-stage model following toxin injections. We reported a decrease in the expression of CBPs in the PFC and a decrease in the density of GABAergic cells in the CA2 hippocampal region of an early-stage PD model for the first time. Treatment with EX-4 was not only able to prevent the observed deficits in both regions, in line with the results reported

in the previous Chapter, but it also led to a significant increase in GABAergic interneurons in CA2. The functional significance as well as the implications of these deficits/changes remain to be explored. Similarly, the potential mechanism underlying these changes, such as neuroinflammation, has yet to be investigated.

Chapter 5 - Gene therapy: a new potential treatment for PD

5.1 Introduction

Gene therapy is a modern technique that aims at treating or preventing serious diseases by inserting genes into patient's cells instead of using drugs or surgery (Deverman et al., 2018). This can be achieved in different ways. Firstly, a mutated gene that causes a disease may be replaced with a healthy copy of the interested gene. Secondly, a dysfunctional mutated gene may be inactivated or "knocked out". Lastly, a completely new gene may be introduced into the body to help fight a disease (Gonçalves and Paiva, 2017). Recently, gene therapy has been receiving growing interest since it aims to allow for durable clinical benefits with a single treatment compared with conventional drugs that may require repeated administrations (Kumar et al., 2016). Although the first clinical trials using gene therapy started in the early 1990s, it was not until the early 2010s that these trials resulted in substantial clinical progresses. This is due to maturation of the science behind gene therapy and a better understanding of target cells, alongside with development of new vectors, safety modifications, and improvements in gene transfer efficiency and delivery (Dunbar et al., 2018). Currently, retroviruses and adeno-associated viruses (AAVs) are the ones showing the greatest clinical success. The former was first used in clinical trials aimed at delivering a normal copy of a specific defective gene into the genome of T cells or hematopoietic stem cells of patients with immunodeficiencies or cancer (Dunbar, 1996). Indeed, retroviral vectors have the ability to integrate into the genome of the host cell making permanent genetic modification and long-term expression of the transgene (Matuskova and Durinikov, 2016). AAVs, on the other hand, are engineered from a non-pathogenic, non-enveloped parvovirus that does not

replicate, requiring the association with either an adenovirus or a herpesvirus in order to be able to replicate (Asokan et al., 2012). In addition, AAVs can be loaded with no more than ~5.0 kb of DNA, whilst retroviral vectors can carry up to 8 kb of DNA, allowing the insertion of larger molecules (Dunbar et al., 2018). Lastly, most of these vectors do not integrate with the DNA, however they become stable episomes that have the advantage of decreasing the risks associated with genetic integration and limiting long-term expression from AAV vectors to long-lived postmitotic cells at the same time (Deverman et al., 2018). Although gene therapy has vastly improved in safety and effectiveness over the past 10 years, and is currently a promising treatment option for a number of diseases, such as inherited disorders, cancer, and certain viral infections (Gonçalves and Paiva, 2017), the efficacy and potential long term side effects for a wider range of disease remains to be investigated. Thus, clinical trials based on novel gene therapy are currently run only for diseases with no effective cure (Kumar et al., 2016).

5.1.1 Gene therapy for PD

PD is a progressive, long-lasting neurodegenerative disease that has currently no cure, making it an ideal target for gene therapy. In addition, the representative symptoms of PD, like motor impairments, have been well characterised and linked to dysfunctions in brain areas that can be effectively targeted with viral vectors for gene transfer to brain cells (Coune, Schneider and Aebischer, 2012; Deverman *et al.*, 2018). Thus, part of the gene therapy strategy aims at increasing the efficacy and at reducing the side effects of the current pharmacological and surgical treatments (Jarraya *et al.*, 2009; Chen,

Lü and Li, 2014; Axelsen and Woldbye, 2018; Chakraborty and Diwan, 2020). However, one of the major challenges is designing an effective system that can deliver molecules to the brain and modify the disease by altering gene expression for prolonged periods, in such a way that the vectors are not impeded by the immune response (Izco *et al.*, 2019).

Recently, our knowledge of the genetics behind PD pathophysiology has greatly improved over the past years with the identification of familial forms of PD, identification of gene mutations responsible for these familial forms, and the mapping of risk variants for the disease (Poewe *et al.*, 2017). For example, five different missense mutations in the SNCA α -synuclein gene have been identified as potential causes of PD, which are associated with severe Parkinsonism at an early age and a rapid progression of the disease together with dementia, cognitive deficits, hallucinations and fluctuations of consciousness as common features (Ferreira and Massano, 2017). In addition, also duplications and triplications of the SNCA locus, which are more frequent than point mutations, have been linked to PD genesis (Nishioka *et al.*, 2006). Mutations of the gene LRRK2, which produces the protein dardarin, have also been associated with PD pathogenesis (Zimprich *et al.*, 2004), with an estimated frequency of LRRK2 mutations in hereditary PD of around 4% (Healy *et al.*, 2008). Lastly, 79 different PRKN parkin mutations have been reported so far, which are not only involved in familial forms of PD, but also in sporadic cases (Ferreira and Massano, 2017). The clinical subtype associated with mutations of this gene ranges from early to late-onset, and dominant to sporadic, depending on the mutation point (Lohmann *et al.*, 2003; Kay *et al.*, 2007). Nevertheless, alterations of parkin are the most common cause of

autosomal-recessive early-onset parkinsonism, accounting for more than 60% of autosomal-recessive juvenile Parkinsonism (Ferreira and Massano, 2017). During the past few years, the field of gene therapies for PD has grown exponentially, with some therapies entering clinical trials (Jamebozorgi *et al.*, 2018; Merola *et al.*, 2020). Gene therapies for PD are classified according to their roles in targeting the disease progression or in treating symptoms. The former category aims at slowing down PD progression by targeting neurotrophic components such as neurturin, glial cell line-derived neurotrophic factor (GDNF), and brain-derived neurotrophic factor (BDNF) (Cabezas *et al.*, 2014, 2016, 2018), whilst the latter category focuses on restoring DA or GABA synthesis (Axelsen and Woldbye, 2018). Currently, there are four main types of gene therapy for PD that are being investigated and tested: AADC-TH-GCH gene therapy, RNA interference-based therapy, CRISPR-Cas9 gene editing system, and viral vectors-mediated gene delivery (Maiti, Manna and Dunbar, 2017; Axelsen and Woldbye, 2018). The AADC-TH-GCH gene therapy is based on the notion that in order to convert L-DOPA into DA, a three-enzyme system is required, involving aromatic amino acid decarboxylase (AADC), tyrosine hydroxylase (TH), and guanosine triphosphate cyclohydrolase (GCH). Specifically, TH and GCH catalyse tyrosine, converting it into L-DOPA, whilst AADC converts the L-DOPA into DA, allowing it to increase basal DA levels in advanced PD (Jarraya *et al.*, 2009). In contrast, RNA interference is a physiological process responsible for the regulation of gene expressions that prevents viruses and other transposable elements to enter the genome (Agrawal *et al.*, 2003). Therefore, gene therapies based on RNA interference operate by silencing defective genes through administration of small

interfering RNAs, preventing the expression of genes related to PD such as SNCA and parkin (Jamebozorgi et al., 2018). CRISPR-Cas9 is a gene editing system that is able to add, modify or degrade certain sequences of the nucleic acids at the genome level, making it a powerful tool to counteract PD pathogenesis and progression (Sander and Joung, 2014; Kolli et al., 2018). It was also recently employed to show that downregulation of PKC δ expression in DA neurones remarkably reduces apoptosis (Song et al., 2019). Lastly, viral vector-mediated gene delivery is based on the observation that several viral vectors, such as lentivirus, non-lentivirus, adeno-virus, and recombinant adeno-associated virus, can integrate within the host cell and induce specific gene expressions, promoting dopaminergic cell survival; hence, preventing degeneration of the dopaminergic system (Maiti et al., 2017; Jamebozorgi et al., 2018). Indeed, improvements in motor functions as well as increased dopaminergic terminals in the putamen were observed in a MPTP animal model following AAV2-GDNF vector injections (Eberling et al., 2009). Similarly, a phase I clinical trial on 12 PD patients demonstrated that AAV2-NRTN, an homologue to GDNF expressed in the substantia nigra and striatum, is safe and well-tolerated at 12 months (Marks Jr et al., 2008). Moreover, the delivery of AAV-GAD (glutamic acid decarboxylase) vector in subthalamic nuclei was shown to increase GABA synthesis and restore balance of neuronal firing, resulting in a normalization of inhibitory signalling in PD patients (LeWitt et al., 2011). Additionally, the gene therapies reported above led to neuroprotection, suggesting they may be effective in halting or slowing down neurodegeneration in PD.

5.1.2 Background and aims of this chapter

PD is a progressive and debilitating neurological disease with no present cure, and, over the past years, several compounds have been suggested as potential new treatments, such as EX-4 which has been extensively discussed in the previous chapters. One disadvantage of the conventional EX-4 treatment is that EX-4 half-life is short, thus, in order to benefit from its neuroprotective effects, patients are required to undergo multiple injections throughout the treatment period. In order to overcome this issue, we hypothesised that a one-time delivery of a viral vector carrying the EX-4 gene would result in neuroprotective effects similar to what was observed following i.p. administration of EX-4. Therefore, by combining the known neuroprotective properties of this drug with long-term benefits of gene therapy, the present project aims at evaluating whether the injection of a novel AAV vector, that carries the gene for EX-4, can prevent neuronal loss following 6-OHDA administration. In contrast to the previous chapter, here only the 6-OHDA, and at a higher concentration, was used to induce neuronal loss. This is because the novel AAV vector has never been tested on an animal PD model before, hence, we first investigated its effects on the SNpc in a later stage of the disease than in the early-stage investigated previously. A GFP-tagged empty AAV vector was first injected stereotaxically in the striatum to visualise how the virus spread within the brain. Two routes of administration of the EX-4 gene loaded AAV vector were then tested: intravenously (i.v.) and stereotaxically in the brain. Additionally, in the former set of experiments, the viral vector was delivered two weeks prior 6-OHDA, to account for the time required by the viral vector to reach the brain and for neurones to start

expressing EX-4. In contrast, when delivered stereotaxically, the viral vector was co-injected with the 6-OHDA due to animal licence requirements. Both the effectiveness and the tolerability of the virus were investigated following both procedures via weight monitoring and quantification of the density of TH-positive cells in the SNpc through unbiased stereology.

5.2 Materials and Methods

5.2.1 Animals

Because the i.v. injection was performed two weeks prior to the stereotaxic surgery, two batches of Male albino Wistar rats, 100 g and 200 g respectively, were purchased from either Harlan Laboratories, Inc., UK or Charles River Laboratories, UK. Animals were housed in groups of 4 in the Biological Service Unit (BSU) of the UCL School of Pharmacy. Animals had *ad libitum* access to food (standard rodent diet) and water. Conditions of humidity (40-60%), temperature (18-22°C) and a 12 hr light-dark cycle (light phase from 7 am to 7 pm daily) were kept constant in the BSU in line with the Home Office regulations. All experiments were approved by the Bloomsbury AWERB and carried out in accordance with UK Home Office [and European Communities Council Directive of 24 November 1986 (86/609/EEC)] guidelines (PPL No. 70/8199 and PP3144142). Animals from the first batch were divided into 4 experimental groups: i.v. saline + saline (sham + i.v. sal; n=3), i.v. virus + saline (sham + i.v. virus; n=3), i.v. virus + 6-OHDA (model + i.v. virus; n=3), and i.v. saline + 6-OHDA (model; n=5) (Figure 5.1A). The latter group was used to investigate the effects of 6-OHDA alone and will therefore be used as standard to compare the two routes of administration of the AAV vector. Animals from the second batch were divided into 3 groups: stereotaxic saline (sham; n=5), stereotaxic virus (sham + stereo virus; n=5), and stereotaxic 6-OHDA + virus (model + stereo virus; n=5) (Figure 5.1B). Also, two animals (200 g) were purchased and an empty GFP tagged viral vector was injected unilaterally in the striatum to note the spread of the virus. Only a small number of animals was used in this study due to the high costs of vector production as

well as because this study was intended to be a pilot study to assess the potential of the project.

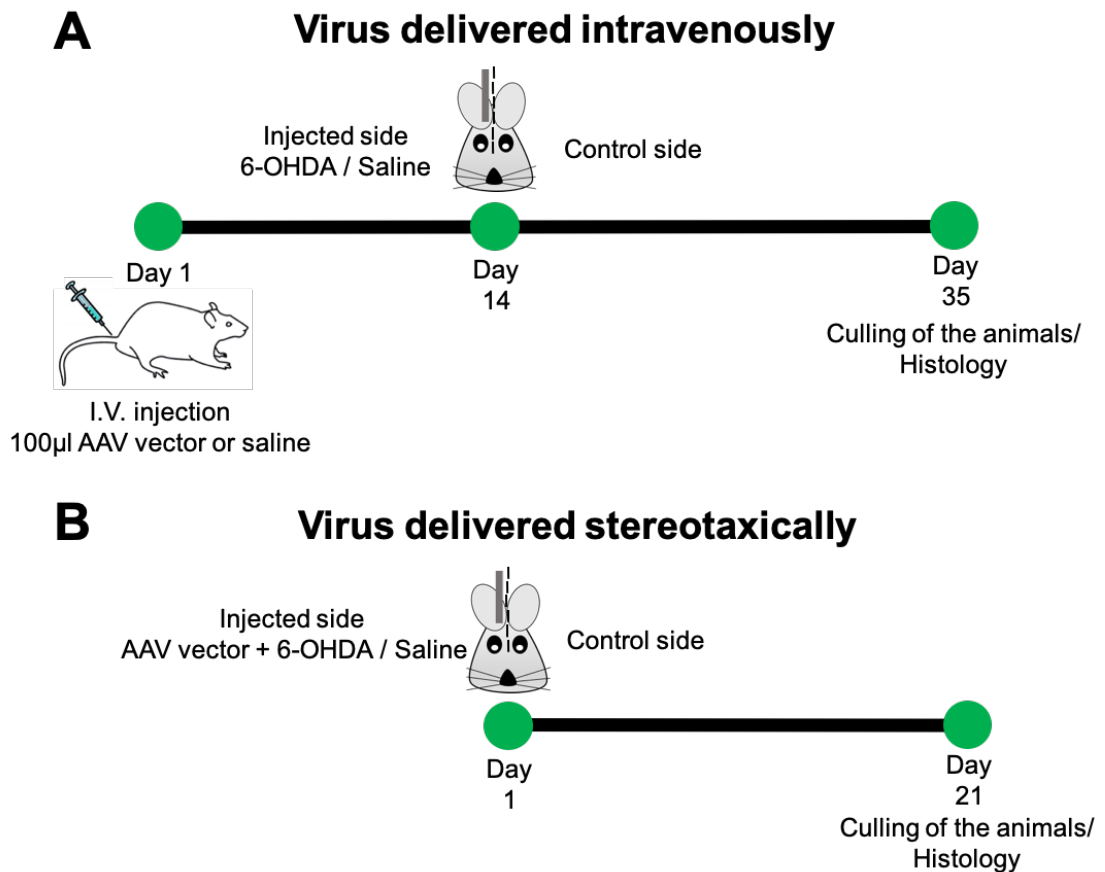


Figure 5.1 – Experimental timelines. A) The virus was delivered intravenously on day 1. After two weeks, animals underwent stereotaxic surgery to unilaterally receive either saline (Sham) or 6-OHDA (Model). Animals were culled 3 weeks following the surgeries. **B)** The viral vector was co-delivered unilaterally in the brain with either saline (Sham) or 6-OHDA (model) on day 1. Animals were culled 3 weeks later.

5.2.2 Compounds

The EX-4 viral vector was produced by Charité Universitätsmedizin Berlin and the structure was cloned at the UCL School of Pharmacy by Prof. Ahmad Rahim. Based on previous studies (Tordo et al., 2018), 100 µl of the virus was administered intravenously, whilst 3 µl was injected into the striatum during

the stereotaxic surgery. 6-hydroxydopamine (6-OHDA) was purchased from Sigma (Sigma Aldrich, Gillingham, UK) and dissolved at a concentration of 10 mg/ml in saline solution containing 0.9% ascorbic acid and delivered unilaterally in the striatum. The optimum dose for 6-OHDA was chosen to induce partial reduction of DA levels based on previous studies (Sauer and Oertel, 1994).

5.2.3 Surgeries and drug administration

On day 1, animals from the first batch were anaesthetised with isoflurane (5% v/v in O₂ for induction and 2% v/v in O₂ for maintenance delivered through a fitted anaesthetic nose mask) and then injected intravenously with either saline or the viral vector. After 14 days, rodents were anaesthetised once again following the above-described procedure and were then placed in a stereotaxic frame to restrain the head and kept warm using a heating blanket. Note that Day 14 for this batch corresponds to Day 1 for the second batch of animals that received the virus stereotaxically. At this point, all animals received a subcutaneous injection of 0.2 ml of both non-steroidal anti-inflammatory drug Rimadyl (Zoetis) and the local anaesthetic bupivacaine hydrochloride (Marcain). The head was then shaved and the skull exposed to reveal the bregma, which is defined as the point of intersection of the sagittal suture with the curve of best fit along the coronal suture (Paxinos et al., 1985). One hole was then pierced on top of the striatum using the following coordinates: anterior-posterior (AP) +1.0 and medio-lateral (ML) + 3.0 from bregma; dorso-ventral (DV) -6.5), according to the atlas of Paxinos and Watson (Paxinos and Watson, 1982). The viral vector (3 µl) and either saline

solution or 6-OHDA-ascorbic acid solution (2 μ l) were delivered in a total volume of 5 μ l at a flow rate of 1 μ l/min using a Hamilton 10 μ l syringe which was slowly lowered to the correct depth with a micromanipulator. The needle was kept in place for a further 5 minutes to allow infusion and prevent efflux of the toxin. Additionally, 3 μ l of the GFP-tagged empty viral vector were delivered using the same coordinates in two separate animals. The skin over the wound was then closed with sutures and 1 ml of saline solution was injected subcutaneously to compensate for potential fluid loss. The behaviour and weight of the animals were then monitored daily. Sutures were removed 7-10 days after surgery. Animals were culled 21 days after surgery and brains were harvested for further analysis.

5.2.4 GFP-tagged empty viral vector

Rats were anaesthetised by inhalation of isoflurane and intraperitoneal injection of Euthatal (Merial, Harlow, UK) (60 mg/kg) and then, as described previously in Chapter 2, perfused transcardially with ice-cold oxygenated artificial cerebrospinal fluid (ACSF) containing in mM: 124 NaCl, 25.5 NaHCO₃, 3.3 KCl, 1.2 KH₂PO₄, 1 MgSO₄, 2.5 CaCl₂, 15 mM D-Glucose equilibrated with 95% O₂/5% CO₂. Brains were then removed and fixed overnight (4% paraformaldehyde, 0.2% saturated picric acid solution, 0.025% glutaraldehyde solution in 0.1 M phosphate buffer). 50 μ m coronal sections of different brain regions were cut. Slices containing the olfactory bulb, prefrontal cortex, striatum, motor and piriform cortices as well as SNpc were treated as described above and incubated overnight at 4°C in a mixture of rabbit anti-GFP antibody (1:2000, Sigma) and 0.1% triton X-100 (Sigma Aldrich) made

up in phosphate buffer solution. Next, sections were incubated overnight in an alexa-488 conjugated anti-rabbit secondary antibody (1:400). All fluorescently-labelled sections were then mounted on slides in Vectashield (Vector Laboratories) and studied using a DMR microscope and Leica Application Suite V4 (Leica Microsystems) at 20x magnification with constant light intensity, microscope calibration and video camera settings.

5.2.5 TH-immunohistochemistry and unbiased stereology

Briefly, animals were culled and brains were obtained as described above. 50 µm coronal sections containing the SNpc were cut from both hemispheres. One in every 6 sections was collected and 4-5 slices per animal were used per staining. Sections were incubated first in 1% H₂O₂ for 30 minutes and then in 1% sodium borohydride (NaBH₄) for 30 minutes to decrease background staining and then in 10% normal goat serum (NGS) for another 60 min to block nonspecific antibody binding. Sections were incubated overnight at 4°C in rabbit anti-TH antibody (1:7500, Sigma) and 0.1% triton X-100 (Sigma Aldrich) made up in phosphate buffer solution. Following incubation in primary antibody, sections were incubated overnight in secondary antibody, biotinylated goat anti-rabbit antibody (1:500, Vector Laboratories) made up in PBS. To visualise the stained neurones, sections were washed in 0.1M PB and PBS, incubated in ABC (Vector Laboratories) for at least 2 hours, washed in TRIS buffer, and then in 3, 3' diaminobenzidine (DAB, Sigma Aldrich). The stained neurones were then revealed using H₂O₂. Sections from the different experimental groups were processed together using the same immunoreagents and the DAB reaction was stopped at the same time to allow

comparison between groups. Sections were then placed onto Superfrost slides, dehydrated, cleared with HistoClear and mounted using DPX (Sigma Aldrich). The optical fractionator probe was used to determine the number of TH-immunopositive neurones in both regions (Stereoinvestigator software, MicroBrightField) using a Nikon microscope coupled to a computer-controlled x-y-z motorized stage and an MBF video camera system. Unbiased stereology was carried out on 5 slices per animal (n = 6 per experimental group) with the following parameters: counting frame 60 μm x 60 μm ; grid size 200 μm x 200 μm ; section thickness 50 μm , dissector height 12 μm . Only neurones with visible nuclei and dendrites were counted. Data are displayed as cell density per $\text{mm}^3 \pm \text{SEM}$.

5.2.6 Statistical analysis

All data are presented as mean \pm SEM. Results were analysed using One-way ANOVA and the Tukey post-hoc test was applied. Significance was set at $P < 0.05$.

5.3 Results

5.3.1 Tolerability of the viral vector

Animals injected with the viral vector, both intravenously and stereotactically, showed a weight gain comparable to the sham group and animals injected with empty vector (Figure 5.2). Animals injected i.v. with the viral vector started and ended at lower weights; however, the weight curve had a steepness comparable with the other experimental groups. Similarly, the steepness of the weight curve of the sham + stereo virus group was not significantly different (One-way ANOVA $P > 0.05$) from the other experimental groups. Nevertheless, this group started as the heaviest and ended with an average weight lighter than sham.

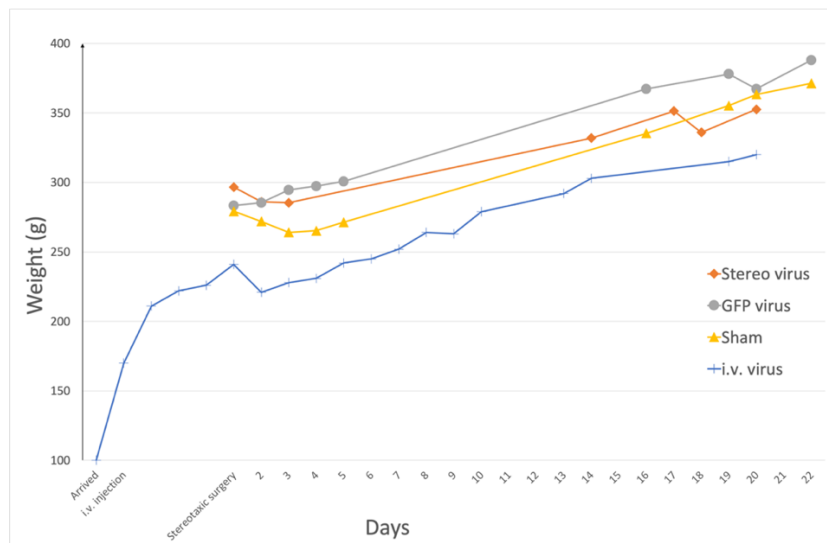


Figure 5.2 - Animal weight curves. Animals injected with the EX-4 loaded virus, both intravenously or stereotactically, did not show any significant difference in weight gain over time compared with the other experimental groups. The i.v. virus group arrived in advance compared with the others due to the two weeks needed for the neurones to start producing EX-4 following the virus injection. A dip in weight can be noticed in the days following surgeries, this is normal and observed across all groups independently of the treatment received. Orange rhombuses: Sham + stereotactic virus; Grey circles: Sham + GFP-tagged empty virus; Yellow triangles: Sham; Blue crosses: Sham + intravenous virus.

5.3.2 Virus spread following specific pathways

Figure 5.3 displays how the GFP-tagged empty viral vector spread within the brain following the unilateral stereotaxic injection in the striatum. The virus was found to be expressed in several regions of the injected hemisphere. Predictably, the striatum was the area with the highest concentration of the vector as shown by the high green fluorescence intensity. Interestingly, the vector travelled back from the striatum to the SNpc along the dopaminergic axons. In addition, the prefrontal cortex and the piriform cortex, which are areas rich in dopaminergic projections from the SNpc, were found to express the virus. Lastly, expression of the viral vector was also observed in the olfactory bulb, a region that is both anatomically and functionally connected to the piriform cortex. The virus was also expressed in the prefrontal cortex of the contralateral side suggesting that the viral vector was able to cross the corpus callosum.

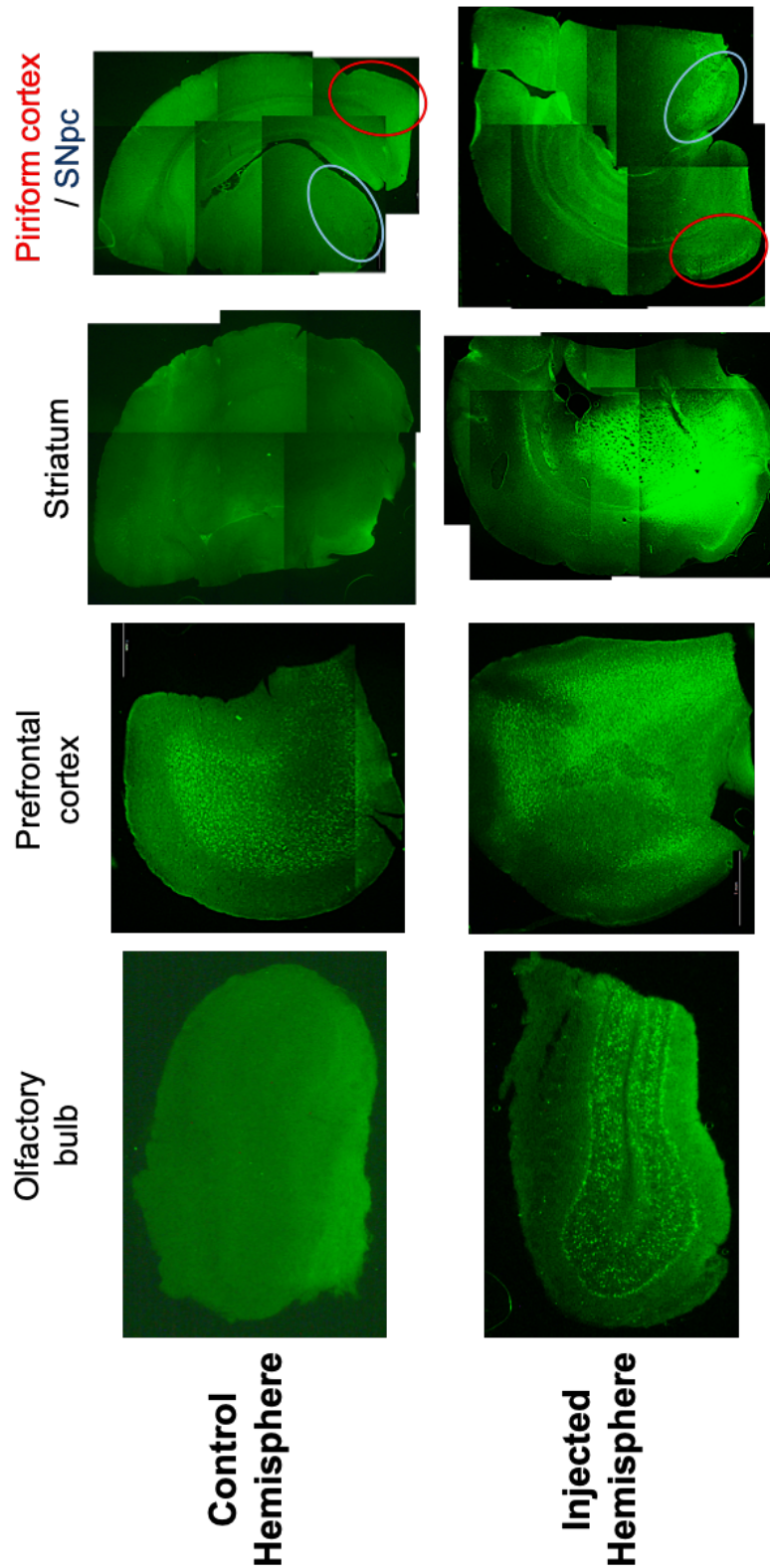


Figure 5.3 – GFP-tagged empty AAV vector spreading within the brain. In the control hemisphere, the virus is only expressed in the prefrontal cortex (Top panels). In contrast, in the injected hemisphere, expression of the virus was observed in the olfactory bulb, prefrontal cortex, striatum, piriform cortex (highlighted in red), and SNpc (highlighted in blue) (Bottom panels).

5.3.3 EX-4 viral vector delivered stereotaxically does not prevent dopaminergic loss in the SNpc

Figure 5.4A shows representative images of the TH-positive staining in the SNpc of the different experimental groups. Specifically, the top panels depict the control hemisphere, while the bottom panels represent the injected hemisphere. Unbiased stereology (Figure 5.4B) revealed that the density of dopaminergic cells in the SNpc of the injected side of the model was significantly reduced compared with controls ($P_{\text{model vs sham + i.v. sal}} < 0.01$; $P_{\text{model vs sham}} < 0.01$). Similarly, the density of TH-positive cells in the SNpc of animals that received both 6-OHDA and the virus stereotaxically (model + stereo virus) was significantly decreased in the injected hemisphere compared with that in the control groups ($P_{\text{model + stereo virus vs sham + i.v. sal}} < 0.01$; $P_{\text{model + stereo virus vs sham}} < 0.01$), and in both ipsi and contralateral sides of the animals that received saline and the virus stereotaxically (sham + stereo virus- $P < 0.01$).

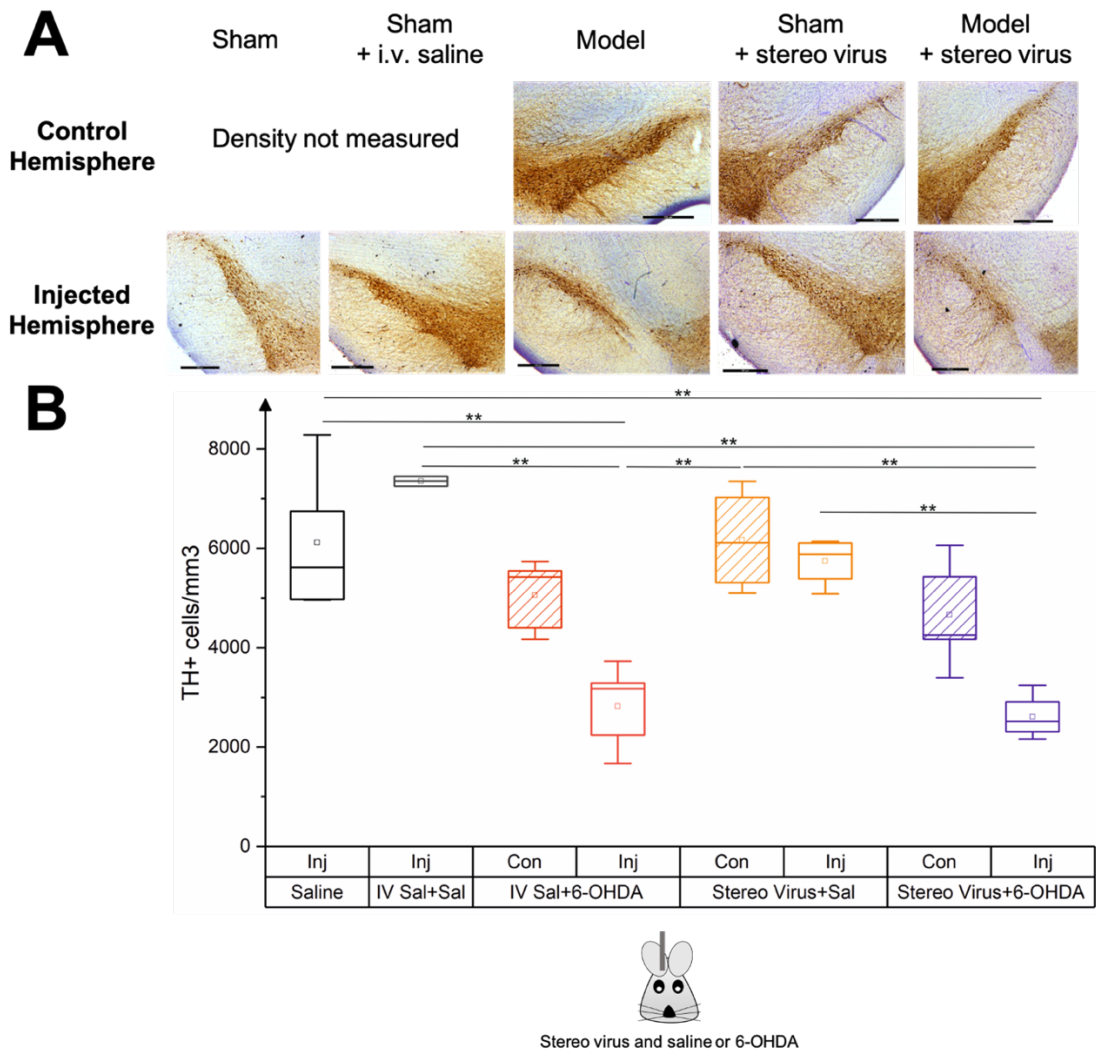


Figure 5.4 – EX-4 viral vector delivered stereotaxically does not prevent dopaminergic loss in the SNpc. **A** Representative images of TH staining in the SNpc of both the control hemisphere (top panels) and the injected hemisphere (bottom panels). Scale bars represent 500 μm . **B** Number of TH-positive cells in the SNpc expressed as cell density per mm^3 ($n=3$ or 5 animals per experimental group). All data are presented as mean \pm S.E.M. A decrease in the number of TH-positive cells was observed in the injected side of the model compared with controls (One-way ANOVA, $**P_{\text{model vs sham + i.v. sal}} < 0.01$; $**P_{\text{model vs sham}} < 0.01$). Similarly, the density of TH+ cells in the SNpc of the injected side of the model + stereo virus was significantly decreased compared with controls (One-way ANOVA, $*P_{\text{model + stereo virus vs sham + i.v. sal}} < 0.05$; $**P_{\text{model + stereo virus vs sham}} < 0.01$) and the injected side of the sham + stereo virus (One-way ANOVA, $**P < 0.01$), suggesting that the virus injected stereotaxically did not prevent neuronal loss.

5.3.4 EX-4 viral vector delivered intravenously prevents dopaminergic loss in the SNpc

Representative images of TH-immunopositive cells in the SNpc of the different experimental groups are shown in Figure 5.5A, with the top panels representing the control hemisphere and the bottom panels representing the injected hemisphere. The density of TH-immunopositive cells in the SNpc of the injected hemisphere of the model + i.v. virus was similar to that in the control groups ($P_{\text{model + i.v. virus vs sham + i.v. sal}} > 0.05$; $P_{\text{model + i.v. virus vs sham}} > 0.05$), whilst showing a significant *increase* compared with the injected side of the model ($P_{\text{model + i.v. virus vs model}} < 0.01$) (Figure 5.5B). Lastly, an unexpected significant *increase* in the density of TH-immunopositive cells in the SNpc was also observed in the injected side of the sham + i.v. virus compared with both hemispheres of the model ($P < 0.01$) but not with controls (Figure 5.5B).

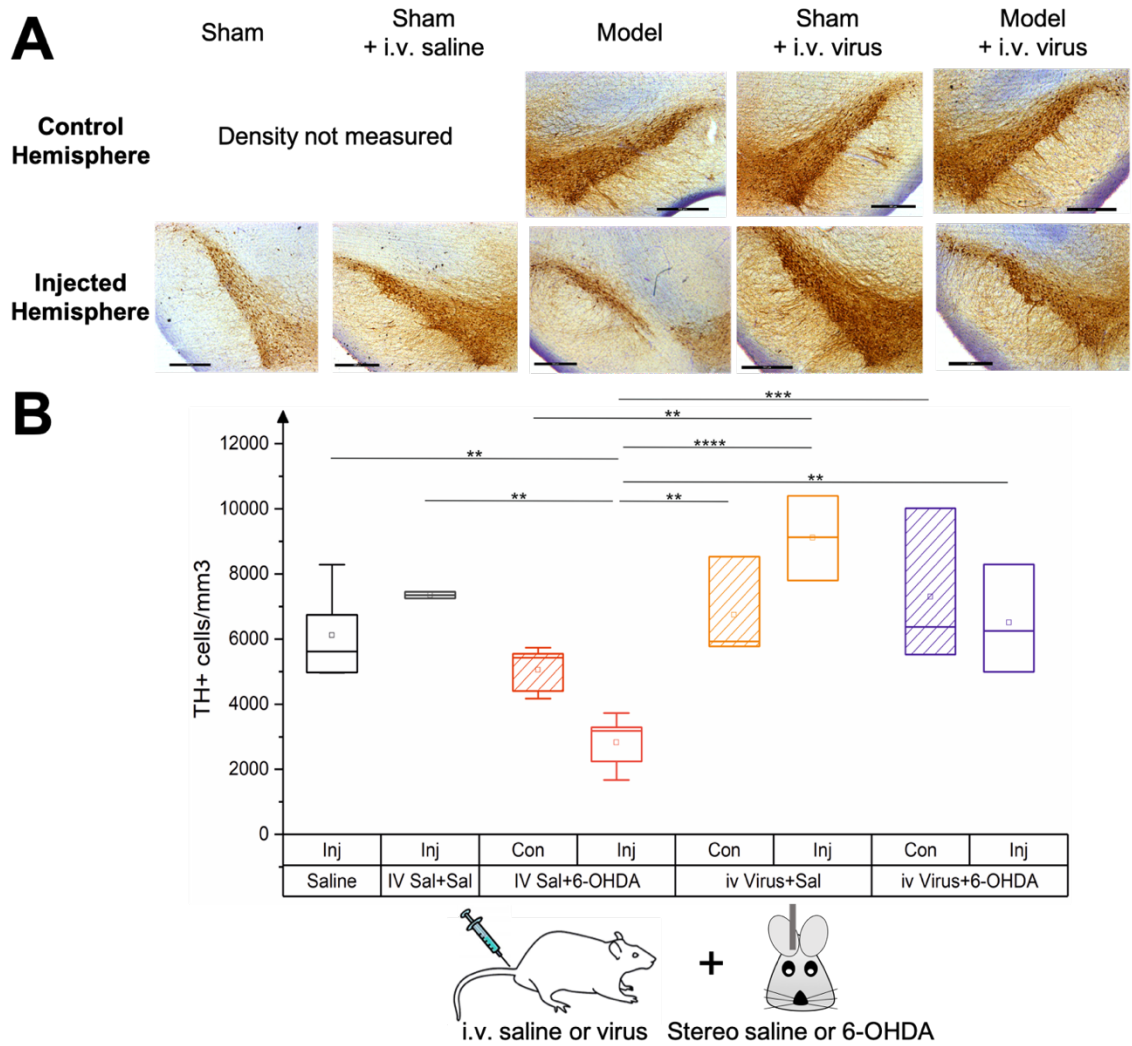


Figure 5.5 - EX-4 viral vector delivered intravenously does prevent dopaminergic loss in the SNpc. **A** Representative images of TH staining in the SNpc of both the control hemisphere (top panels) and the injected hemisphere (bottom panels). Scale bars represent 500 μm . **B** Number of TH-positive cells in the SNpc expressed as cell density per mm^3 ($n = 3$ or 5 animals per experimental group). All data are presented as mean \pm S.E.M. Unlike stereotaxic treatment, intravenous treatment with the loaded virus prevented the dopaminergic loss in the SNpc of the model (One-way ANOVA, $P_{\text{model + i.v. virus vs sham + i.v. sal}} > 0.05$; $P_{\text{model + i.v. virus vs sham}} > 0.05$). Also, the SNpc of the injected hemisphere of animals that received the virus i.v. and stereotaxic saline showed a significant increase in the density of TH-positive cells compared with the model (One-way ANOVA, $P < 0.01$). ** $P < 0.01$, *** $P < 0.001$, **** $P < 0.0001$.

5.4 Discussion

The present chapter evaluated the effectiveness and tolerability of a novel AAV vector carrying the gene for EX-4, on an animal model of PD for the first time. Two different routes of AAV vector administration, intravenously and stereotaxically, were tested and compared to determine different therapeutics avenues. The virus was well-tolerated across animals, regardless of the route of administration. Lastly, the spread of the virus in several brain regions was determined by injection of the empty GFP-tagged viral vector. While the i.v. injection of the EX-4 virus effectively prevented dopaminergic neuronal loss in the SNpc observed in the PD model, the decrease in the number of TH+ cells was not prevented by stereotaxic injection of the loaded viral vector.

5.4.1 The virus travelled from the striatum to several other brain regions while being well-tolerated by the animals

In order to visualise in which areas the virus spread following injection, a GFP-tagged empty AAV vector was unilaterally injected into the striatum. Predictably, the area with the highest concentration of the virus was the striatum of the injected side. The virus then spread in the injected side to connected regions including the SNpc (Matsuda et al., 2009), the piriform cortex, the OB and the prefrontal cortex. The virus was also shown to be expressed in the prefrontal cortex in the non-injected side, suggesting that the vector can cross the corpus callosum. Similarly, Hutson and colleagues (2012) reported an AAV vector expression in the contralateral side after unilateral injection in the sensorimotor cortex of rats. The virus was therefore found to

be expressed, in addition to the injection site and its most prominent innervation site, mostly in regions known to be affected at the very early stage of the disease, specifically the olfactory bulb and the piriform cortex (Braak et al., 2003; Del Tredici and Braak, 2016; Engelender and Isacson, 2017; Perez-Pardo et al., 2017). Additionally, the fact that the virus was found to be expressed in the SNpc suggests that it may exert neuroprotective effects directly in this region rather than by triggering processes in other brain regions that then will result in preventing nigral cell loss although the mechanism of action remains to be further studied. The spread of the virus following intravenous injection also remains to be determined. Nevertheless, studies have shown that AAVs have the ability to cross the blood brain barrier when delivered i.v. (Gessler *et al.*, 2019).

The tolerability of the virus was assessed by comparing the animals' weight curves. This is due to the fact that GLP-1 has been shown to alter gastrointestinal function and decrease food intake (Gülpinar et al., 2000; Enç et al., 2001), while protracted treatment with EX-4 has been linked to substantial weight loss in human studies (Astrup et al., 2012). This is because EX-4 is a drug that was first developed for treating type II diabetes due to its functions in mediating glucose homeostasis through the stimulation of glucose-induced insulin secretion, insulin biosynthesis, and inhibition of glucagon secretion. Although the weight of animals injected i.v. with the viral vector was overall lower than the other experimental groups due to the 10 days gap between the start of the experiments, the steepness of the curve was comparable with controls, indicating that the animals did not suffer from weight loss following the gene therapy. Similarly, the steepness of the weight curve

of animals injected stereotaxically with the loaded virus was not significantly different from the other experimental groups. Nevertheless, this group were shown to be the heaviest at the beginning of the study and lighter than the sham animals at the end of the study, suggesting that the direct delivery of virus in the brain may exert different effects on glucose homeostasis. Lastly, also the GFP-tagged empty vector was well tolerated by the animals, which gained weight at the same pace as controls.

5.4.2 Intravenous injection of EX-4 viral vector prevented cell loss in the SNpc.

Interestingly, injecting the animals intravenously with the loaded virus resulted in a prevention of dopaminergic neuronal loss in the SNpc of the injected side. The exact mechanism of action by which the virus was able to prevent the damage induced by 6-OHDA has yet to be elucidated and was beyond the scope of this study. However, some speculations may be made. For instance, as mentioned in the previous chapters, systemic administered EX-4 was repeatedly found to restore DA imbalance, resulting in significant improvements in behaviour (Sancandi et al., 2018) and motor function in different PD animal models (Harkavyi et al., 2008; Kim, Moon and Park, 2009; Li et al., 2009). This effect has been ascribed to EX-4's ability, among many, to preserve mitochondrial function in dopaminergic neurones by increasing expression of complex I, the main target of 6-OHDA (Chen et al., 2015; Nassar et al., 2015). Additionally, EX-4 is also thought to indirectly upregulate both expression and activity of the TH enzyme (Kim et al., 1993), possibly providing an additional compensatory mechanism for the dopaminergic loss (Athauda

and Foltynie, 2018). Moreover, PD pathogenesis is thought to involve the gut-brain axis (Braak et al., 2003; Del Tredici and Braak, 2016; Engellender and Isacson, 2017; Perez-Pardo et al., 2017). Experimental evidence suggests that the enteric nervous system (ENS) is involved in PD genesis and progression towards the CNS, with different gut components playing a key role in the bidirectional gut-brain axis (Cryan and Dinan, 2012). Specifically, neurones of the ENS, together with those in the OB, are among the first ones to display Lewy bodies (LBs) (Del Tredici and Braak, 2016). Thus, it has been suggested that, after the immune system has been triggered, the detrimental process spreads via the vagal nerve and then olfactory tract, reaching the SNpc and other brain regions (Hawkes et al., 2009, 2010; Klingelhoefner and Reichmann, 2015). When the virus is injected intravenously, about 80% is taken up by the liver (personal communication by Professor Ahad Rahim), possibly resulting in EX-4 being produced by the peripheral nervous system as well as the CNS, which could then modulate insulin signalling both at the peripheral and central level. However, at the current stage of the project, it is not possible to determine if one effect exerts a stronger modulation than the other. Overall, It can therefore be speculated that both peripheral and central EX-4 might play a role in counteracting the genesis of the disease. This hypothesis could also explain the fact that stereotaxic injection of the AAV vector did not lead to the same effectiveness as intravenous injection of the virus. Indeed, the SNpc of the animals injected with 6-OHDA and virus showed a TH-positive density similar to the SNpc of animals treated with 6-OHDA only, implying that the virus did not prevent dopaminergic loss. However, this lack of effect of stereotaxic injection may also be due to other factors, such as the

volume injected or the time given to the virus to work, both of which could not have been enough, therefore, further studies are needed to confirm these results. Interestingly, i.v. injection of the loaded virus in sham animals led to a significant *increase* in TH-positive cells in the SNpc. Although the cause behind this increase remains unknown, other studies have reported similar results after injecting EX-4 systemically (Bertilsson et al., 2008; Harkavyi et al., 2008), and GLP-1R stimulation has been shown to indirectly upregulate both expression and activity of the TH enzyme (Kim et al., 1993), suggesting that treatment with EX-4 may result in an increased cellular density. Nevertheless, the investigation of the EX-4-induced increased TH expression was beyond the scope of this study.

5.4.3 Gene therapy limitations

Although gene therapies for neurodegenerative diseases are a promising tool, there are some general concerns, such as that the therapy is irreversible, and, in most cases, uncontrollable, whilst opto- and chemo-genetics, in contrast, can be applied when required and side effects may therefore be reduced (Chakraborty and Diwan, 2020). Firstly, the route of delivery represents a key factor for the success of any gene therapy clinical trials, considering the need to overcome the blood-brain barrier. One solution is to use vectors with inherent ability to cross the blood-brain barrier, such as AAV9, allowing for i.v. injections. However, this option requires high titers of more efficient vectors to achieve sufficient CNS distribution, which in turn increases the possibility of immune reaction and hepatotoxicity (Hinderer *et al.*, 2018). An alternative route of administration is intranasal, an attractive non-invasive delivery route

for vectors, oligonucleotides, and other biomolecules in a variety of neurologic disorders, including PD (Aly *et al.*, 2019). Nevertheless, intranasally delivered viral vectors demonstrated limited brain distribution, which is of concern for treating deeper brain structures typically targeted in PD (Merola *et al.*, 2020). Currently, several new approaches are being developed, such as nanoparticles and nanocarriers, to improve brain dispersal and to make gene therapy a more viable treatment option. The interplay between volume, optimal dosing and target coverage once the viral vector is efficiently and effectively delivered in the brain will then become the next obstacle to surmount. Some PD gene therapy clinical trials have highlighted the importance of delivering larger volumes to improve vector coverage of targeted brain regions (Christine *et al.*, 2019; Heiss *et al.*, 2019). Indeed, initial phase I studies infused between 40 and 450 μL , however, because the average putaminal volume is over 4000 μL , such small infusions only covered 5-25% of the target area (Merola *et al.*, 2020). Currently, gene therapy clinical trials opt for an average volume of administration of around 1800 μL per hemisphere in order to yield 50-80% putaminal coverage (Christine *et al.*, 2019).

5.4.4 Limitations of the study

The experiments presented in this study are the first step in evaluating the effectiveness of the AAV-EX-4 vector. These promising results however present several limitations. Firstly, the choice of intravenous and stereotaxic doses were based on previous studies that were carried out on mice. The dose used in stereotaxic experiments in rats may therefore not be sufficient enough to lead to neuroprotection in the SNpc. Secondly, the virus is expected to be

fully operative after around two weeks (personal communication by Prof Ahad Rahim, UCL - SoP) and this may explain the lack of efficacy from the stereotaxic injections as the virus was injected at the same time as the toxin and the positive results that were observed in animals that received i.v. injections. Additionally, as previously explained, the reason behind the neuroprotective effects observed with the i.v. delivery may be the result of the virus acting in the central as well as in the peripheral nervous system. Lastly, it should be noticed that these are preliminary experiments aimed at understanding if this new AAV-EX4 viral vector has the potential to help in PD progression. Therefore, the initial number of animals used is very low, with the i.v. group comprising just three animals. Hence, a larger sample size may lead to different results, especially regarding the virus injected stereotaxically.

5.4.5 Summary and future directions

The present study revealed for the first time, that i.v. injection of an AAV vector carrying the gene for EX-4 two weeks prior to 6-OHDA insult resulted in neuroprotection of dopaminergic cells in the SNpc of rats. However, this effect was not observed when the virus was given stereotaxically. This is of a particular interest, since treatment with the AAV vector may potentially allow PD patients to avoid the distressing injections required during conventional treatment with EX-4. In addition, it is also important to note that the easier i.v. administration route, clinically speaking, was also the most effective and well tolerated in these experiments.

The tolerability and shown effectiveness of the viral vector represent a promising outcome, however, further studies are required to further assess the

safety and the mechanism of action of this treatment. Indeed, although animals did not suffer from weight loss, further studies on the presence of neuroinflammation following AAV treatment are necessary. Additional experiments will also be required to study the effect of the stereotaxic delivery further. It would be of interest to determine whether a higher AAV dose may prevent neuronal loss, or whether any neuroprotective effects may be observed by extending the study and allowing the virus to have an effect for a longer period of time prior to culling the animals. Furthermore, the actual amount of EX-4 produced in the brain and the type of cells expressing the virus are currently unknown and this information will be required to determine the long-term prognosis and safety. Lastly, investigation of the spread of the virus following i.v. injection and the effect of this treatment on the liver will also be needed.

Chapter 6 - From the gut to the brain: Effects of Probiotics on early stage PD

6.1 Introduction

For several decades since its discovery, Parkinson's disease (PD) was thought to be a brain disorder mainly characterised by loss of dopaminergic (DA) neurones in the Substantia Nigra pars compacta (SNpc) (Borghammer and Van Den Berge, 2019). Recently, however, new experimental evidence emerged suggesting that PD is a multifactorial disease, involving not only the central nervous system (CNS) but also the peripheral nervous system (PNS) (Parashar and Udayabanu, 2017; Tan, Hor, *et al.*, 2020). Additionally, interest in the role of non-neurological factors in PD pathogenesis has recently increased as only around 10% of PD cases are due to genetic causes (Dutta *et al.*, 2019). Epidemiological evidence observed that Lewy bodies (LBs), which are pathological α -synuclein aggregates, were found in the enteric nervous system (ENS) of PD patients up to 20 years before the diagnosis (Svensson *et al.*, 2015; Liu *et al.*, 2017). Moreover, animal studies have shown that LBs can efficiently travel through the vagus nerve (Ulusoy *et al.*, 2013, 2017; Holmqvist *et al.*, 2014). Therefore, an increasing number of studies in recent years have taken interest in the role that the gut may play in PD pathogenesis, suggesting that the maintenance of a healthy gut may lead to potential treatments of the disease (Kim *et al.*, 2017; Parashar and Udayabanu, 2017; Dutta *et al.*, 2019; Gazerani, 2019; Castelli *et al.*, 2021).

6.1.1 The gut-brain axis

The close proximity between the gastrointestinal (GI) tract, which is the largest body surface area exposed to antigens coming from the external environment

and harbours the greatest microbial density in the human body, and enteric nerve terminal endings may explain why LBs can be found both in the gut and in the CNS in PD patients (Tan, Hor, *et al.*, 2020). Indeed, α -synuclein fibril injections performed intra-peritoneally, intra-muscularly, or intravenously were shown to lead to the formation of LBs in the brain of transgenic mice with A53T gene mutations (Breid *et al.*, 2016; Ayers *et al.*, 2017; Lohmann *et al.*, 2019). Additionally, it was recently demonstrated that α -synuclein fibrils injected into the duodenum of a transgenic PD rat model led to α -synuclein pathology in the locus coeruleus and SNpc within 4 months from the insult (Van Den Berge *et al.*, 2019). Interestingly, it was also shown that the same injection in wild-type animals led to progressive dopaminergic loss and the appearance of motor dysfunctions (Kim *et al.*, 2019), both hallmarks of PD.

LBs enter the CNS travelling through to the gut-brain axis, which links the GI tract to the CNS through biochemical signalling (Gómez-Pinilla, 2008). Disruption of the gut epithelium, which serves as a barrier for the GI, is known to lead to intestinal inflammation with elevated levels of pro-inflammatory cytokines such as tumor necrosis factor-alpha, interferon gamma, interleukin-6, and interleukin-1 beta, and glial markers such as glial fibrillary acidic protein (GFAP), Sox-10, and S100-beta (Tan, Hor, *et al.*, 2020). Clinical and preclinical studies have demonstrated both increased intestinal permeability and the presence of inflammation in the gut of PD patients (Devos *et al.*, 2013; Houser *et al.*, 2018; Lubomski *et al.*, 2020), which are then thought to lead to the release of neuroactive peptides that modulate the CNS and ENS (Gareau, Silva and Perdue, 2008; Maes, 2008). GI symptoms such as constipation and bloating are among the first non-motor symptoms (NMSs) to arise in PD

patients, 5 to 10 years before the onset of motor dysfunction of PD (Perez-Pardo *et al.*, 2017; Radhakrishnan and Goyal, 2018; Seppi *et al.*, 2019) and an increased intestinal permeability in PD strongly correlates with the presence of intestinal α -synuclein (Forsyth *et al.*, 2011). The combination of gut inflammation and deposition of α -synuclein fibrils in the ENS may therefore initiate the process that leads to a retrograde spread via the vagal nerve to neuronal tissue in the CNS and potential role in the pathogenesis of PD (Rietdijk *et al.*, 2017; Gazerani, 2019; Lubomski *et al.*, 2020; Tan, Hor, *et al.*, 2020; Castelli *et al.*, 2021). Although a causal relationship between GI inflammation and PD pathogenesis has yet to be confirmed, the net result remains the neuronal loss as consequence of inflammatory cascades and oxidative stress being produced (Perez-Pardo *et al.*, 2017). The gut-brain axis has therefore recently been added to the list of new promising targets for the treatment of PD (Kim *et al.*, 2018; Gazerani, 2019; Srivastav *et al.*, 2019).

6.1.2 The gut-brain axis and probiotics

The human GI tract houses different populations of bacterial species, collectively called human gut microbiota, where a symbiosis exists between the host and bacteria (Gazerani, 2019). The health of microbiota is directly associated with gut barrier integrity, immunity, function, metabolism and the correct functioning of the gut-brain axis (Delzenne and Cani, 2011; Diaz Heijtz *et al.*, 2011; Jangi *et al.*, 2016; Shi *et al.*, 2017). All of the above have also been suggested to play a potential role in several CNS-associated disorders, such as multiple sclerosis (Jangi *et al.*, 2016) and PD (Unger *et al.*, 2016; Hill-Burns *et al.*, 2017; Lubomski *et al.*, 2020). Recently, it was proposed that

alterations in gut microbiota, such as number and composition of gut microbiota and microbial metabolites, may be employed as valuable indicators for early diagnosis of several neurodegenerative disorders (Spielman, Gibson and Klegeris, 2018; Castelli *et al.*, 2021).

Probiotics are live microorganisms, comprising primarily of bacteria that occur naturally in the human gut and can be delivered in the form of drug, food, or supplements, and, if administered in sufficient amounts, exert health benefits to the host (Dutta *et al.*, 2019; Tan, Hor, *et al.*, 2020). Probiotics are indeed able to boost a wide range of host immune functions, such as phagocytosis and antibody secretion, which then translates into improved defences against pathogens (Klaenhammer *et al.*, 2012). Similarly, probiotics have also been demonstrated to upregulate various anti-inflammatory factors while downregulating pro-inflammatory cytokines and reducing intestinal inflammation (Sanders *et al.*, 2019). Additionally, probiotics have been shown to improve GI barrier function, partially through reducing GI inflammation (Dutta *et al.*, 2019). All these beneficial effects are achieved by producing or boosting in the body, the production of a wide range of bio- and neuroactive molecules, such as oxytocin, γ -aminobutyric acid (GABA), serotonin, tryptophan, tryptamine, noradrenaline, dopamine, and acetylcholine, that affect the host and its microbiota both locally and peripherally (Kim *et al.*, 2018). In recent years, therefore, several cellular, preclinical, and clinical studies have been conducted to evaluate the likely neuroprotective effects of probiotics and their potential as a treatment for PD (Dutta *et al.*, 2019; Srivastav *et al.*, 2019; Castelli *et al.*, 2020; Tan, Lim, *et al.*, 2020).

6.1.2.1 Probiotics and PD

Probiotic supplementation in PD patients has been shown to exert benefits in the treatment of constipation, a NMS with a reported prevalence of up to 70% (Knudsen *et al.*, 2017). The first clinical trial was conducted 10 years ago and demonstrated that supplementation with probiotics for 5 weeks improved stool consistency and reduced bloating and abdominal pain in PD patients (Cassani *et al.*, 2011). However, this pilot study was conducted on a small group of patients and did not include a placebo group. Treatment with probiotics was found to significantly increase the number of complete bowel movements per week, as well as improvements in daily bowel frequency and stool consistency in two double-blind placebo-controlled randomised clinical trials (Barichella *et al.*, 2016; Tan *et al.*, 2020). Additionally, a 12-week probiotics treatment was observed to improve the MDS-UPDRS (Movement Disorders Society-Unified Parkinson's Disease Rating Scale) and insulin metabolism by reducing insulin levels and insulin resistance whilst enhancing insulin sensitivity compared with placebo (Tamtaji *et al.*, 2019). Although the precise mechanisms underlying the effects of probiotics in PD are yet to be clarified, the improvement of gastrointestinal symptoms is thought to be a result of altering the gut environment or inhibiting harmful gut bacteria (Fang, 2019). Indeed, it has been reported that PD patients who are infected by *Helicobacter pylori* have lower absorption of L-DOPA (Pierantozzi *et al.*, 2001), suggesting that the eradication of *this bacterium* by treatment with probiotics may be a promising strategy in the treatment of PD (Gazerani, 2019). Lastly, given the role of oxidative stress in PD neurodegeneration (Niranjan, 2014), probiotics may be

beneficial for PD patients due to their effect in promoting production of antioxidant agents (LeBlanc *et al.*, 2013; Parashar and Udayabanu, 2017).

Clinical trials assessing the effects of probiotics on PD patients have mainly focussed on the gastrointestinal symptoms as the primary end-point to evaluate the effectiveness of the treatment (Gazerani, 2019). However, PD is multifactorial disorder that includes several other symptoms, on which probiotics effects are largely unknown. For example, although probiotics have been shown help with depression associated with irritable bowel syndrome (Pinto-Sanchez *et al.*, 2017), nothing is known in the PD context. Similarly, it remains to be investigated whether and how probiotics can influence dementia and cognitive impairments in PD (Gazerani, 2019), hence, future clinical trials should increase the range of end-points evaluated in the studies to assess the effectiveness of probiotics on multiple aspects of PD.

6.1.2.2 Symprove

Among the several commercially available brands of probiotics, Symprove® has recently grown in popularity thanks to its many benefits. Symprove® is a liquid probiotic formulation containing four bacterial strains: *Lactobacillus casei*, acidophilus and plantarum as well as *Enterococcus faecium* (Bjarnason, Sisson and Ayis, 2012). A randomised double-blind placebo-controlled trial found that supplementation with Symprove led to a significant decrease in the frequency of constipation, diarrhoea, mucorrhoea and back pain in patients with symptomatic uncomplicated diverticular disease (Kvasnovsky *et al.*, 2017). Similarly, another recent randomised double-blind placebo-controlled trial observed decreased intestinal inflammation in patients with ulcerative

colitis following a 4-week treatment with Symprove (Bjarnason, Sission and Hayee, 2019). These effects were then shown to be due to changes in the bacterial composition in the microbiota. Specifically, production of short chain fatty acids (SCFAs) and lactate as well as levels of anti-inflammatory cytokines increased, whilst levels of pro-inflammatory cytokines and chemokines decreased (Ghyselinck *et al.*, 2020).

Lastly, a new clinical trial, which is based in London at King's College London, has recently concluded the recruitment phase and aims to test whether Symprove can be used in the treatment of both motor and non-motor symptoms (Parkinson's UK). Nevertheless, and despite the clinical observations, Symprove currently lacks pre-clinical evidence showing that it exerts neuroprotective effects.

6.1.3 Aims of this chapter

PD is a progressive and debilitating neurological disease with no present cure, and, over the past years, several compounds have been suggested as potential new treatments, such as probiotics. We hypothesised, hence, that supplementation with probiotics would lead to beneficial and neuroprotective effects in the PD animal model validated in Chapter 3. The aim of this Chapter was therefore to evaluate the effectiveness of the treatment using the multi-strain probiotic brand Symprove on counteracting the neurodegeneration characteristic of PD in the early-stage model. Since this was a pilot study, the latter was chosen to test whether Symprove supplementation exerted any neuroprotective effects on a mild PD model first. Currently, the scientific evidence supporting probiotics as a potential treatment for PD is still very

limited. Therefore, the pre-clinical study involving this specific multi-strain probiotic presented in this chapter mainly focussed on whether oral administration of Symprove exerted neuroprotective effects on the dopaminergic neurones in the SNpc of the rat early-stage PD model described in Chapter 3. The effect of Symprove on neuroinflammation in the striatum was also examined.

6.2 Materials and Methods

6.2.1 Experimental Groups

Rats were randomly divided into four groups: sham + placebo (n = 8), DSP-4 + 6-OHDA + placebo (n = 8), sham + Symprove (n = 5), and DSP-4 + 6-OHDA + Symprove (n = 5)⁵. The protocol used is summarised in Figure 6.1. Briefly, either placebo or Symprove® was administered orally daily from day 0. On the same day, animals were injected intraperitoneally either with saline (sham) or DSP-4 (early-stage model). Three days later, the rats underwent stereotaxic surgeries in which either vehicle (sham) or 6-OHDA (early-stage model) were delivered directly into the striatum (bilaterally). Finally, three weeks after the surgeries, animals were culled and the brains were collected. The weight of the animals was monitored daily throughout the duration of the experiments.

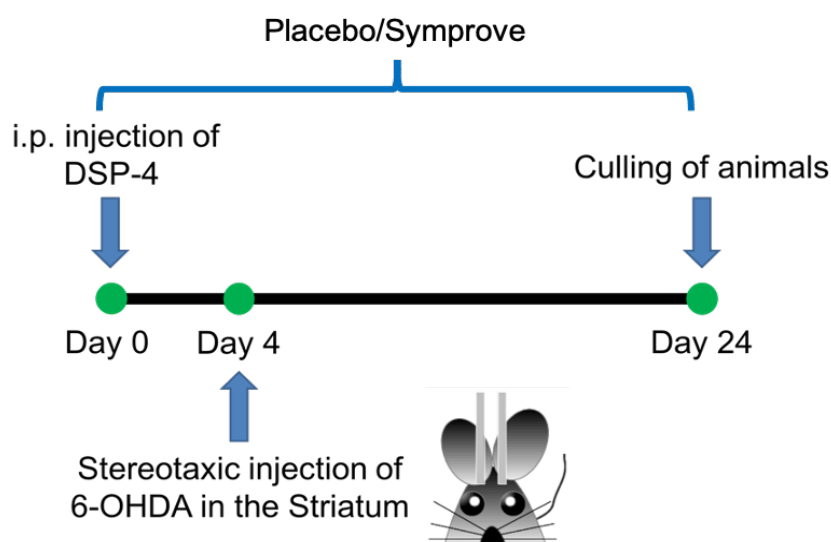


Figure 6.8 – Experimental timeline. On day 0, animals received either saline (sham) or DSP-4 (model). Three days later, they underwent stereotaxic surgeries in which they received either saline (sham) or 6-OHDA (model), and they were sacrificed three weeks after. 0.5ml of placebo or Symprove® were given orally daily from day 0.

⁵ Due to the COVID19 pandemic, a first batch of animals had to be culled prior to the end of the 3 weeks post-surgery and, therefore, could not be included in the final analyses.

6.2.2 Drugs

N-(2-Chloroethyl)-N-ethyl-2-bromobenzylamine hydrochloride (DSP-4), a selective noradrenaline neurotoxin, and 6-hydroxydopamine (6-OHDA), a neurotoxin used to deplete both noradrenergic and dopaminergic neurones, were purchased from Sigma (Sigma Aldrich, Gillingham, UK). DSP-4 was delivered at a concentration of 25 mg/kg in saline solution and injected intraperitoneally (i.p.) 4 days prior to the 6-OHDA injection, while 6-OHDA was dissolved at a concentration of 5 mg/ml in saline solution containing 0.9% ascorbic acid and delivered bilaterally in the striatum. The optimum doses for DSP-4 and 6-OHDA were chosen to induce *partial* reduction of NA and DA levels based on previous studies (Jonsson et al., 1981; Prezedborski et al., 1995), mimicking the early stage of the disease. Both Symprove® (original flavour) and Symprove® placebo were kindly supplied by Symprove Ltd (Farnham, UK). The placebo's flavour was matched with that of Symprove®, and 0.5 ml was delivered orally using a 1 ml plastic syringe every day for 24 days. Additionally, to minimise any risk of contamination, the placebo and Symprove® experiments were carried out separately.

6.2.3 Immunohistochemistry

TH and neuroinflammation immunostainings were carried out on coronal sections containing either the SNpc or the striatum according to the immunoperoxidase protocol described in Chapter 2. Briefly, 50 µm coronal sections containing either the SNpc or the striatum were cut using a vibratome. One in every 8 sections containing the SNpc and one in every 12 sections containing the striatum were collected and 4-5 slices were used per animal

and per staining. Sections were incubated first in 1% H₂O₂ for 30 minutes and then in 1% sodium borohydride (NaBH₄) for 30 minutes to decrease background staining and then in 10% normal goat serum for another 60 min to block nonspecific antibody binding. Sections were incubated overnight at 4°C in a mixture of primary antibodies and triton X-100 (Sigma Aldrich) [0.1% Triton for all antibodies] made up in phosphate buffer solution (Primary antibodies are listed in Chapter 2 – Table 1). Following incubation in primary antibodies, sections were incubated overnight in secondary antibodies, biotinylated goat anti-mouse or anti-rabbit antibody (1:500, Vector Laboratories) made up in PBS. Next, sections were incubated in ABC (Vector Laboratories) overnight, washed in TRIS buffer, incubated in 3, 3' diaminobenzidine (DAB, Sigma Aldrich) for 20 minutes, and the staining was finally revealed using H₂O₂. Sections from the different experimental groups were processed together using the same immunoreagents and the DAB reaction was stopped adding TRIS buffer at the same time to allow comparison between groups. Sections were then placed onto Superfrost slides, dehydrated, cleared with HistoClear and mounted using DPX (Sigma Aldrich).

6.2.3.1 TH immunostaining quantification

The optical fractionator probe was used to determine the number of TH-immunopositive neurones in the SNpc (Stereoinvestigator, MicroBrightField) using a Nikon microscope coupled to a computer-controlled x-y-z motorized stage and an MBF video camera system. Unbiased stereology was carried out on 5 slices per animal ($n = 5$ or 8 per experimental group) with the following parameters: counting frame 60 μm x 60 μm ; grid size 200 μm x 200 μm ;

section thickness 50 μm , dissector height 12 μm . Only neurones with visible nuclei and dendrites were counted.

6.2.3.2 Neuroinflammation

Levels of GFAP and Iba1 immunohistochemical staining were measured by quantitative thresholding image analysis as previously described (Rahim et al., 2012). Two non-overlapping images of the striatum in each section were captured using a DMR microscope and Leica Application Suite V4 (Leica Microsystems) at X5 magnification with constant light intensity, microscope calibration and video camera settings. Image-Pro Premier (Media Cybernetics, Cambridge, UK) was used to analyse the images and measure immunoreactivity using a constant threshold that was applied to all images for each respective antigen. Data are presented as the mean percentage area of immunoreactivity \pm SEM.

6.2.4 Statistical analysis

All data are presented as mean \pm SEM. Results were analysed using One-way ANOVA and the Tukey post-hoc test was applied. Significance was set at $P < 0.05$.

6.3 Results

6.3.1 Tolerability of the probiotics

To assess the tolerability of the probiotics, the weight of the animals were monitored and recorded daily. Animals treated with the probiotics showed a weight gain comparable to the other groups (Figure 6.2). Animals that received the probiotics ended at the highest weights, with a steepness of the weight curve that was comparable with the other experimental groups. Similarly, the steepness of the weight curve of the sham + Symprove® group was not significantly different from the other experimental groups. Interestingly, the model + Symprove® group did not display the characteristic drop in weight the day following surgeries (Figure 6.2).

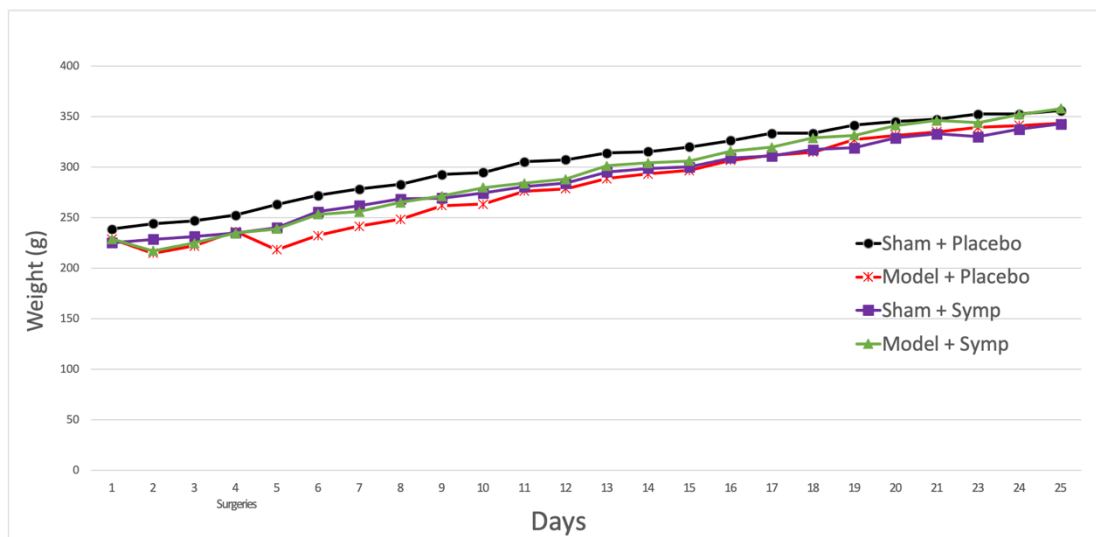


Figure 6.2 - Animal weight curves. Animals treated with the probiotics did not show any significant difference in weight gain overtime compared with the other experimental groups.

6.3.2 Symprove® partially prevented dopaminergic loss in the SNpc

Figure 6.3A shows representative photomicrographs of TH-immunopositive cells in the SNpc of each experimental group: sham + placebo, model + placebo, sham + Symprove®, and model + Symprove®. Unbiased stereology revealed that the dopaminergic and noradrenergic lesions significantly decreased TH immunoreactivity in the SNpc of the early-stage model compared with that observed in both sham + placebo ($P < 0.05$) and sham + Symprove® ($P < 0.01$) animals (Figure 6.3B). Treatment with Symprove® partially prevented the neuronal loss in this region in the early-stage PD model (Figure 6.3B).

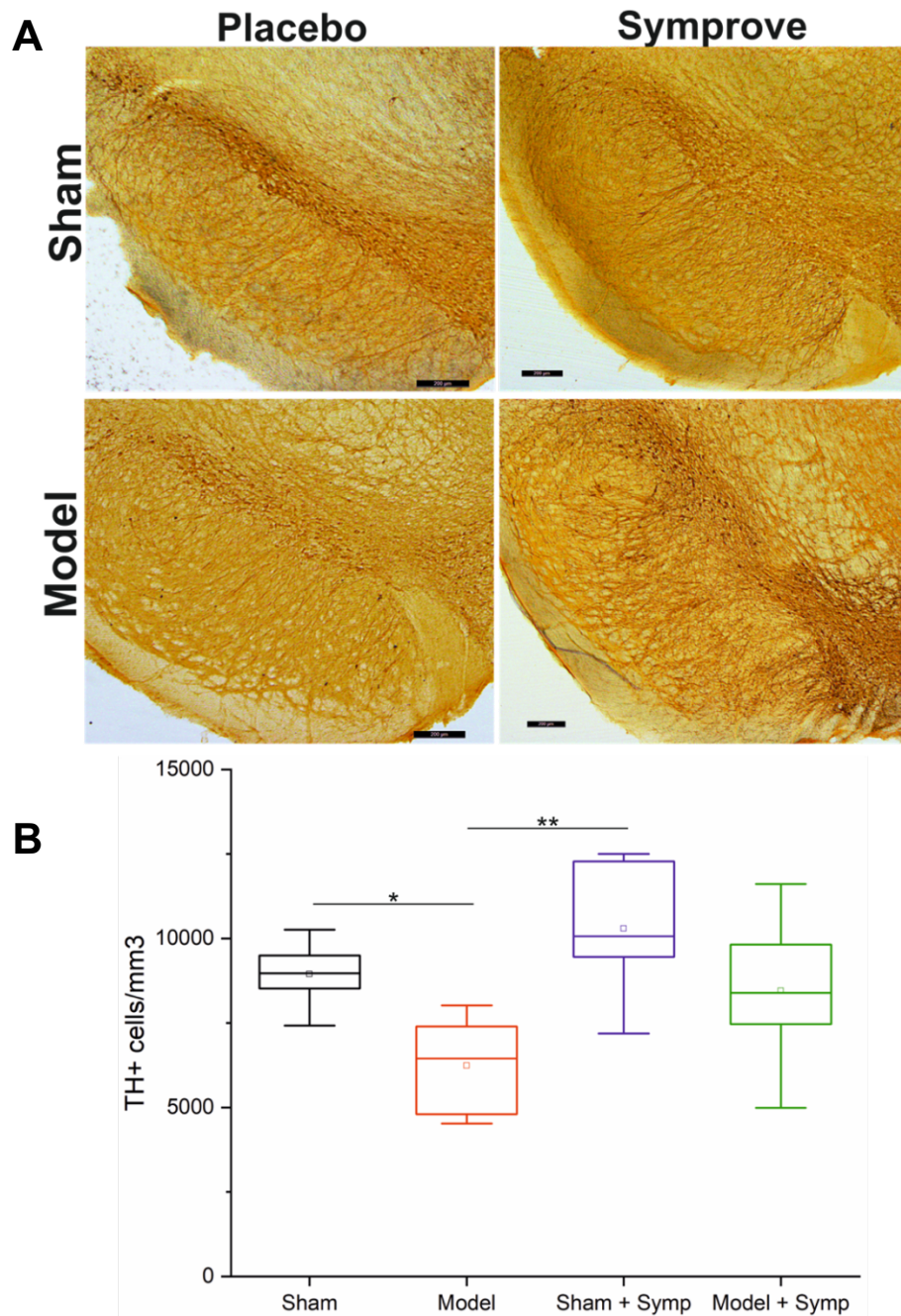


Figure 6.3 - Reduction of dopaminergic levels in a rat model of early-stage PD was partially prevented by treatment with Symprove®. **A** Representative images of TH-staining in the Substantia Nigra pars compacta (SNpc) in the sham + placebo animals (top left panel), early-stage PD model (bottom left panel), sham + Symprove® (top right panel), and model + Symprove® (bottom right panel). Scale bars represent 200 μ m. **B** Number of TH-positive cells in the SNpc expressed as cell density per mm^3 ($n = 5-8$ animals per experimental group). A decrease in the number of TH-positive cells was observed in the early-stage PD model compared with the sham animals treated with placebo and Symprove® (One-way ANOVA). This decrease was partially prevented when the early-stage model was treated with Symprove® * $P < 0.05$, ** $P < 0.01$.

6.3.3 Symprove did not prevent astrocyte activation in the striatum

To check for the presence of neuroinflammation in the striatum, slices from each experimental group were firstly stained for the glial fibrillary acidic protein (GFAP) to detect activated astrocytes (Figures 6.4A). A stronger staining was observed for GFAP-immunopositive astrocytes in the striatum of the early-stage model treated with both placebo and Symprove as well as of sham + Symprove compared with that in the sham animals treated with placebo (One-way ANOVA $P < 0.001$, Figure 6.4B). The inserts in Figure 6.4A show that swollen cell bodies, extensive branching processes and overlapping domains were observed in the early-stage PD model and both groups treated with Symprove.

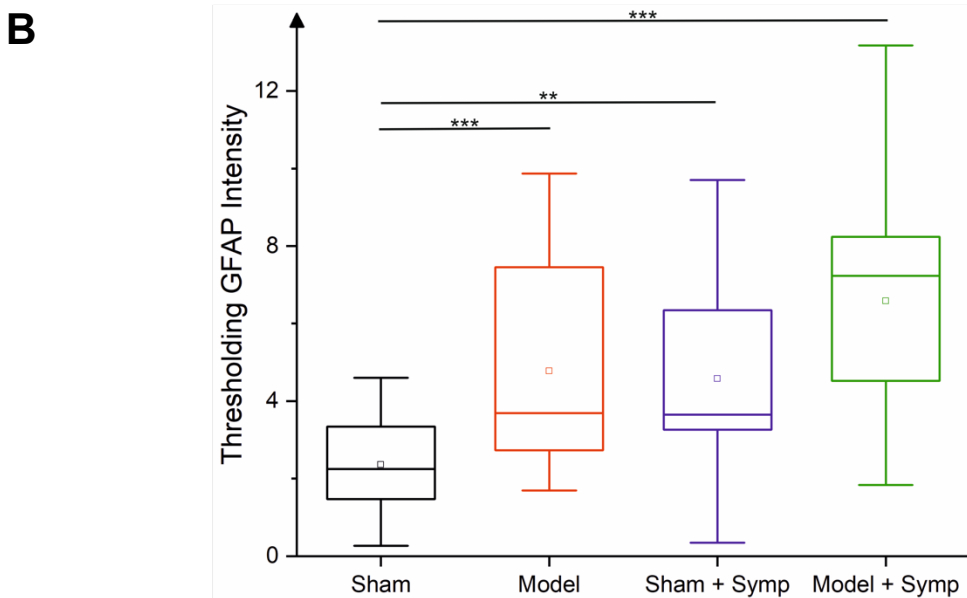
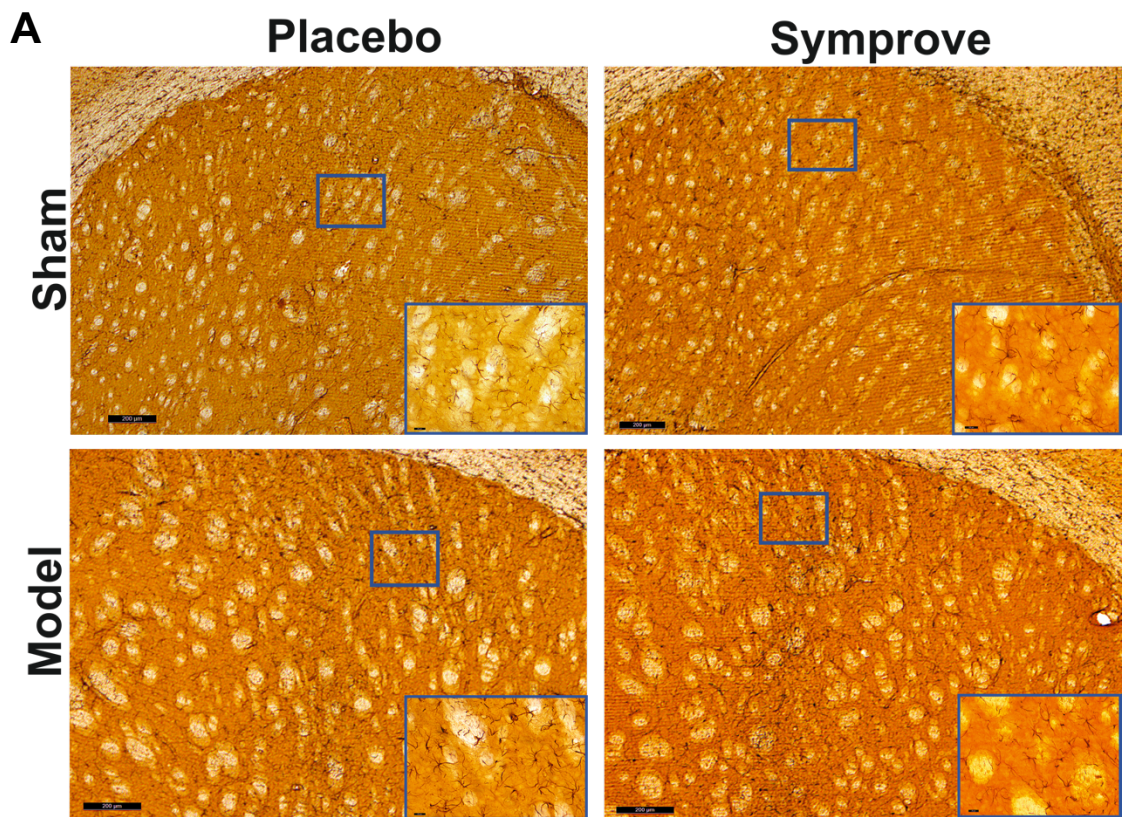


Figure 6.4 – Activation of astrocytes in the striatum of the early-stage PD model, sham + Symprove®, and model + Symprove® **A** Representative immunohistochemical staining of GFAP in each experimental group. Scale bars for overview and for inserts represent 200 μm and 50 μm respectively. **B** GFAP staining intensity was stronger in all experimental groups compared with that in sham animals, suggesting that Symprove® did not prevent activation of astrocytes. Additionally, the intensity of the staining in the striatum of the model + Symprove® was also significantly stronger compared with sham + Symprove® * $P < 0.05$, ** $P < 0.01$, *** $P < 0.001$.

6.3.4 Effect of Symprove® on striatal microglial activation

The activation state of microglial cells was also assessed in this study using the ionised calcium binding adaptor molecule 1 (Iba1) staining. Figure 6.5A shows the staining in the striatum of all experimental groups, with the inserts displaying more clearly their anatomical features. The intensity of the staining was not significantly different across groups (Figure 6.5B). However, a trend towards activation in the striatum of the early-stage PD model was observed. Interestingly, the intensity in both groups treated with Symprove® was comparable to that in the sham animals (One-way ANOVA $P > 0.05$).

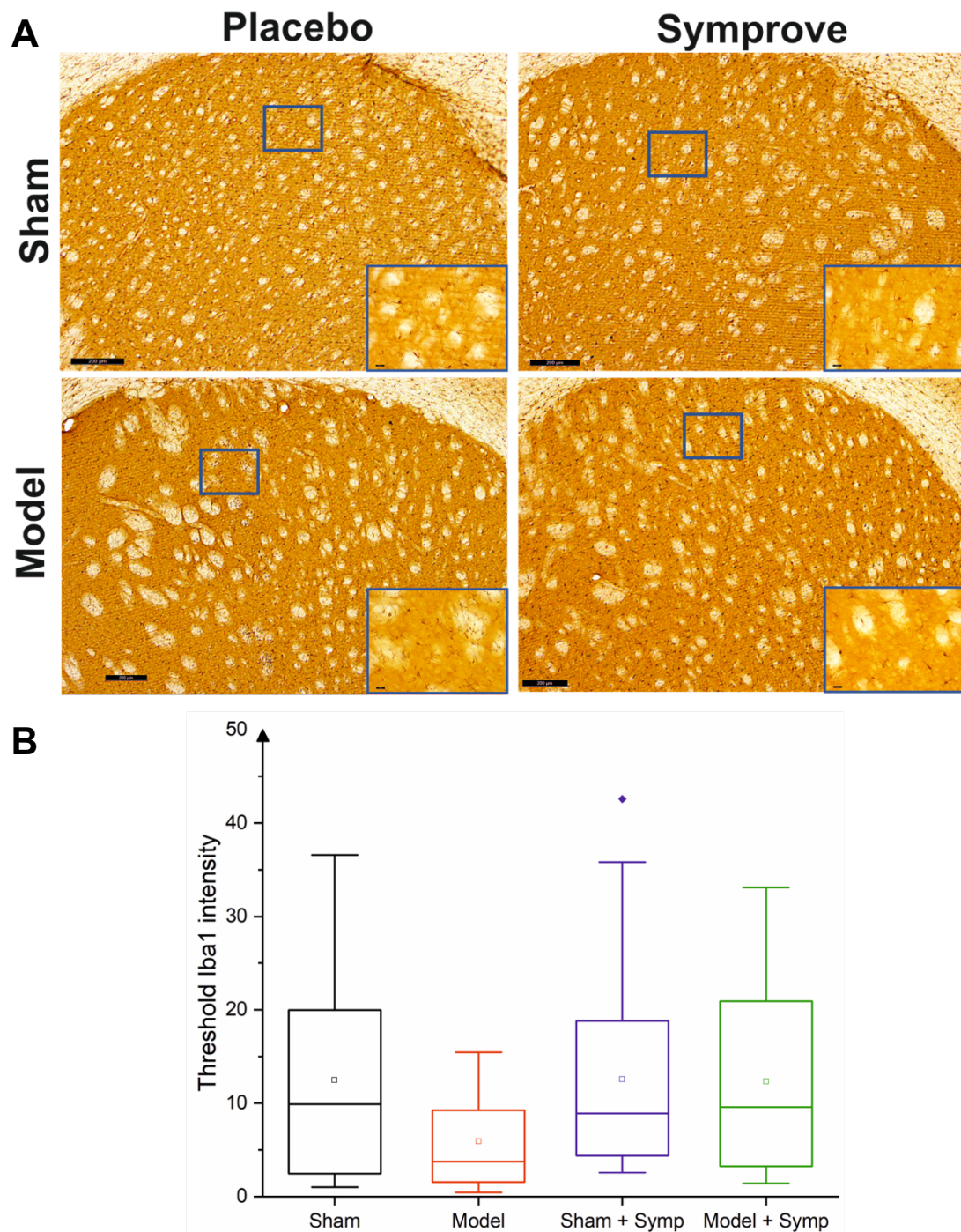


Figure 6.5 – Microglial cells activation in the striatum of the sham + Symprove® and model + Symprove® is similar to that in sham animals treated with placebo and Symprove®. **A** Representative examples of Iba1 staining in the striatum of all experimental groups. Inserts show high magnification images of Iba1-positive cells. Scale bars for overview and for inserts represent 200 μm and 20 μm respectively. **B** Intensity of Iba1 staining in the striatum of the early-stage PD model was partially decreased, although not significantly, compared with that in the Sham animals. In contrast, both groups that received the probiotics showed a staining intensity very similar to sham animals, suggesting that treatment with Symprove® prevented the little activation observed in the model.

6.4 Discussion

Presently, all current PD therapies aim at mitigating the impact of the symptoms on everyday activities, providing transient relief from the severe deficits (Maiti, Manna and Dunbar, 2017). The main PD treatments are focused on both replacing and restoring DA neurotransmission through the administration of L-DOPA (Whitton, 2007) mitigating the MSs, however they are unable to prevent degeneration of the remaining dopaminergic neurones and disease progression (Foster and Hoffer, 2004). Additionally, L-DOPA is associated with mild side effects, such as nausea, vomiting, and low blood pressure and more severe side effects, such as behavioural impediments, generation of toxic metabolites and paranoia (Paul and Borah, 2016). Similarly, as other dopamine-centred medications lead to unwanted side effects, efforts have focussed on using combinations of drugs in order to reduce the required doses while dampening associated side effects (Baker *et al.*, 2009; Radhakrishnan and Goyal, 2018; Moretti, 2019). Although the frequency and strength of side effects may be reduced with lower doses, patients will still experience them (Foster and Hoffer, 2004). The search for new potential therapies therefore focuses on finding new targets and drugs that will provide a slowing down of disease progression and low side effects. Given the prominence of dysbiosis and colonic dysfunction in PD patients, recent evidence is suggesting that gut-derived inflammation plays an important role in neurodegenerative diseases (Houser *et al.*, 2018; Fang, 2019; Lubomski *et al.*, 2020; Tan, Hor, *et al.*, 2020). Previous studies on probiotics have shown that probiotic formulations improve CNS activity through the modulation of both inflammation and gut microbiota (Wang *et al.*,

2016). Additionally, probiotics do not require a prescription, are generally cheaper than medicines and, most importantly, are associated with less side effects (Felix, Karpa and Lewis, 2015). Thus, finding a supplement that exerts neuroprotective effects, and may therefore replace one drug in the mixture, could translate into a significant reduction of side effects experienced by PD patients without compromising the efficacy of the treatment. Probiotics differ in their bacteriological composition, and Symprove was shown to contain live bacteria that survive a simulated gastrointestinal environment (Fredua-Agyeman and Gaisford, 2015). Moreover, clinical trials using Symprove showed a significant improvement in the symptoms severity of irritable bowel syndrome, due to Symprove's anti-inflammatory effects in the gut (Kvasnovsky *et al.*, 2017; Bjarnason, Sission and Hayee, 2019).

To date, the beneficial effects and the underlying mechanisms of probiotic treatment for PD are yet to be determined, and studies on PD animal models are needed to clarify the benefits and underlying mechanisms of probiotic treatment for PD (Castelli *et al.*, 2021). The present study aimed, therefore, at evaluating the effectiveness of supplementation with the multi-strain probiotic Symprove on neurodegeneration in a early-stage animal model of PD. Remarkably, a partial prevention of neuronal loss in the SNpc of the early-stage model was observed following a 3-week treatment with Symprove. Nevertheless, TH+ cells in the model treated with Symprove did not significantly differ from the model treated with placebo, suggesting that the probiotics are only partially effective in preventing neurodegeneration. Thus, despite the observed beneficial effects, further research and a larger sample

size are required to study the neuroprotective effects of Symprove in greater detail.

6.4.1 Symprove partially prevented dopaminergic loss in the SNpc of an early-stage PD model

The loss of dopaminergic cells in the SNpc is considered to be the hallmark of PD, and its prevention is the first step in evaluating the effectiveness of any new treatment developed for PD (Armstrong and Okun, 2020). In this study, treatment with a multi-strain probiotic Symprove showed partial neuroprotective effects on dopaminergic neurones in the midbrain of an early-stage PD model for the first time.

Neuroprotective effects were recently reported in other animal models of more advanced stages of PD (Srivastav *et al.*, 2019; Castelli *et al.*, 2020; Hsieh *et al.*, 2020). For example, treatment with probiotics on the genetic MitoPark PD model resulted in better motor performances and reduced degeneration of nigral dopaminergic neurones, indicating a neuroprotective effect of the probiotic mixture (Hsieh *et al.*, 2020). Similarly, Srivastav *et al.* (2019) reported the rescue of dopaminergic neurones following probiotic administration in MPTP- and rotenone-induced PD mouse models. Additionally, an enhanced production of butyrate, brain-derived neurotrophic factor (BDNF), and glial cell line-derived neurotrophic factor, were also observed (Srivastav *et al.*, 2019).

To date, only one other study investigating the effects of probiotics on 6-OHDA models has been conducted. Castelli and colleagues (2020) have recently demonstrated that treatment with the probiotic formulation SLAB51 was able to counteract 6-OHDA-induced neurodegeneration both *in vitro* and *in vivo*.

Indeed, SLAB51 exerted anti-inflammatory effects, restored pro-survival and neuroprotective pathways such as BDNF, partially prevented dopaminergic loss, and improved behavioural impairments (Castelli *et al.*, 2020). Although the precise mechanisms by which probiotics exert neuroprotective effects are yet to be uncovered, it has been suggested that they may be due to their abilities to both enhance peripheral tyrosine decarboxylase production (van Kessel *et al.*, 2019) and modulate neuroinflammation (Castelli *et al.*, 2020; Hsieh *et al.*, 2020). In the present study, the mechanisms by which probiotics partially prevent neuronal loss are yet to be identified. However, based on previous evidence, it can be speculated that the efficacy of probiotics in PD relates to the restoration of PD-associated microbiota composition, improvement of GI function, reduction of harmful gut bacteria, and the release of proinflammatory cytokines (Barichella *et al.*, 2016; Parashar and Udayabanu, 2017; Magistrelli *et al.*, 2019; Lubomski *et al.*, 2020; Castelli *et al.*, 2021).

6.4.2 Symprove prevented the activation of microglial cells

Neuroinflammation is a major player in PD pathophysiology and progression, and it is also thought to be a key element in the aetiology of the disease (Cicchetti *et al.*, 2002; Doty, 2012a; Wang, Liu and Zhou, 2015b; Flood, Arbabzada and Sharma, 2016; O'Neill and Harkin, 2018b). Additionally, modulation of inflammation by probiotics has been shown in both CNS and ENS (Lescheid, 2014; Lubomski *et al.*, 2020). The presence of neuroinflammation in the striatum was investigated via immunohistochemical analysis of microglial cells and astrocytes, and the technique used to quantify

the neuroinflammation has been extensively described in the dedicated Discussion paragraph in Chapter 3.

In this study, probiotic supplementation prevented activation of microglia cells in the striatum, resulting in a partial prevention of neuroinflammation. The anti-inflammatory properties of probiotics are generally regarded as the mechanism by which they exert most of their beneficial effects (Klaenhammer *et al.*, 2012). For example, a study in aged rats showed that treatment with the probiotic formulation VSL#3 boosted production of BDNF and the protein synapsin, which, by reducing neuroinflammation, ultimately resulted in enhanced brain performances (Distrutti *et al.*, 2013). Similarly, it has been reported that treatment with probiotic formulation SLAB51 exerted beneficial effects on cognitive performances of transgenic 3xTg Alzheimer's disease mouse model by counteracting inflammation, in addition to reducing accumulation of amyloid plaques (Bonfili *et al.*, 2017).

Although treatment with Symprove prevented microglia activation, the opposite effects was observed with astrocytes, which were found to be activated even further when compared with the placebo groups. The mechanisms behind this activation are yet to be identified, however, this results may be partly ascribed to the analyses performed. Indeed, neuroinflammation is usually investigated by quantification of inflammatory markers such as cytokines, reactive oxygen species (ROS), and oxidative stress through biochemical techniques (Distrutti *et al.*, 2013; Wang, Liu and Zhou, 2015b; Bonfili *et al.*, 2017; D. S. Kim *et al.*, 2017b). Thus, Symprove may have impacted the release of these pro-inflammatory agents rather than astrocyte activation as shown in previous studies (Kvasnovsky *et al.*, 2017;

Bjarnason, Sission and Hayee, 2019). Additionally, it should be noticed that some probiotic strains were shown to stimulate necrosis factor- κ B (Lescheid, 2014) and induce ROS production in murine macrophages (Marcinkiewicz *et al.*, 2007; Rocha-Ramírez *et al.*, 2017), suggesting they have also pro-inflammatory effects. The latter, however, is thought to be beneficial in priming the immune system responses, thereby promoting host defence against pathogens (Lescheid, 2014).

6.4.3 Limitations and future directions

These promising results, although in a preliminary stage, highlight the role that probiotics may have in the treatment of PD in the future. Further studies will be required to determine the mechanism by which Symprove exerts its effects. Similarly, the sample size will be dictated by power calculations in order to reach significance between all experimental groups. In addition, the effects of the probiotics on neuroinflammation were only assessed in one region, the striatum, which is also the region where the stereotaxic injection was performed. Thus, the study of the effects exerted by Symprove on neuroinflammation requires further investigation to untangle the contradictory results observed in this study. Lastly, additional experiments will also be needed to determine whether Symprove supplementation has an effect on the onset of non-motor symptoms observed in the model (Sancandi *et al.*, 2018) or whether Symprove can prevent or delay the onset of the more debilitating motor dysfunctions. These preliminary experiments will lay the groundwork for more extensive investigations, including the effects of supplementation with Symprove on the gut microbiota of the early-stage model, analyses of stool

samples to detect potential changes in its composition, and the possible presence of inflammation in other internal organs related to the ENS, such as liver and intestine. Although the presence of constipation in the early-stage PD model is yet to be properly investigated, preliminary observations suggest that probiotics supplementation may have a beneficial effect on stool frequency. Blood plasma may also be extracted and inspected for inflammatory markers.

6.4.4 Summary and conclusions

In this study, a multi-strain probiotic, Symprove, currently being tested in a clinical trial funded by Parkinson's UK, was shown, for the first time, to exert beneficial effects in an animal model of PD, partially preventing neuronal loss. Albeit limited, this pilot study provides an additional piece of evidence of the potential neuroprotective effects of probiotics in PD-related neurodegeneration. Further pre-clinical research is still needed to clarify the underlying mechanisms, leading to improved therapeutic protocols of probiotics in PD or other neurodegenerative diseases. Indeed, combining probiotics and conventional PD medications appears to be a valuable option to further enhance the beneficial effects observed following probiotics supplementation, although more studies are needed to fully understand the mechanisms of action of probiotics as well as potential synergistic activities.

Chapter 7 - Discussion

Parkinson's disease is the second most common neurodegenerative disorder with no present cure and is believed to currently affect more than 10 million people worldwide (Parkinson's Foundation, 2020). Although the hallmarks of PD are the loss of DA with the subsequent development of the MSs, this disease comprises also NMSs, such as the loss of smell, cognitive deficits, depression, anxiety, and pain, most of which have been shown to precede the appearance of MSs in the early-stage (Doty, 2017; Konnova and Swanberg, 2018; Radhakrishnan and Goyal, 2018; Balestrino and Schapira, 2020; Duty *et al.*, 2020). Additionally, not all NMS can be improved using dopaminergic treatments, such as hyposmia and cognitive dysfunctions, suggesting the existence of additional underlying mechanisms (Delaville, Deurwaerdère and Benazzouz, 2011a; Barichella *et al.*, 2016; Emamzadeh and Surguchov, 2018; Seppi *et al.*, 2019). Unfortunately, the early stage of PD has not received as much attention as the late stage, with PD research mainly focussing on the dopaminergic deficit and MSs, disregarding both other symptoms and other neurotransmitters that may be involved in the aetiology of the disease (Konnova and Swanberg, 2018; Marin *et al.*, 2018; Saiz-Sanchez *et al.*, 2020). Therefore, there is currently a lack of PD animal models representing the early stage of the disease, making it difficult to investigate NMS aetiology and pathogenesis in PD (Beal, 2010; Taylor, Greene and Miller, 2010; Jagmag *et al.*, 2016). The present project was developed to address this lack, providing further insights into the deficits and treatment of the early-stage stage of the disease, with a specific focus on hyposmia. To this end, through depletion of the monoaminergic system, a dual neurotoxin animal model of early stage PD, in which hyposmia is observed in the absence of MSs, was developed and

validated as representative of the early-stage stage (Sancandi et al., 2018). The deficits displayed in the above dual neurotoxin model that underlie the loss of sense of smell were then investigated and new potential treatments, such as EX-4 and probiotics, were tested to determine whether they could prevent the observed deficits. To our knowledge, this is the first study providing evidence that hyposmia exhibited by an early-stage PD model was associated with a decrease in interneuronal CBP expression, an increase in NeuN-positive cells, and presence of neuroinflammation within the PC (Sancandi *et al.*, 2018). Additionally, a similar pattern of deficits was also observed in the PFC of the early-stage PD model, whilst an increase in expression of dopamine and interneuronal CBPs was found in the OB. Additionally, the majority of these effects were partially prevented by EX-4 treatment (at the dosage of 0.5 µg/kg used), suggesting that the observed changes may be initiated by a common denominator or that EX-4 acts on multiple sites/levels. Moreover, a new gene therapy involving a viral vector carrying the gene for EX-4 was tested for the first time in a rat 6-OHDA PD model, showing promising neuroprotective effects. Lastly, this is also the first report of potential neuroprotective effects exerted by treatment with the multi-strain probiotic Symprove on dopaminergic cells in the SNpc of an early-stage PD animal model.

7.1 A novel early-stage PD animal model

In the present project, a novel dual toxin based early-stage PD model, in which a noradrenergic deficit preceded the dopaminergic deficit, was designed as a tool to investigate the aetiology of hyposmia as well as neuroprotective agents,

such as EX-4. Chapter 3 described the validation of this novel early-stage PD model, confirming the loss of DA and NA after toxin administration and the presence of hyposmia in the absence of MSs. Additionally, the induction of the PD model was tested using either DSP-4 or 6-OHDA alone and in both cases, the animals did not show hyposmia, suggesting that the combined loss of NA and DA underlies the olfactory deficit observed in the early-stage PD model. Olfactory dysfunctions have been described in other toxin-induced PD animal models, however, these often occurred in concomitance with MSs (Tadaiesky *et al.*, 2008a; Santiago *et al.*, 2010; Carvalho *et al.*, 2013; Faggiani, Delaville and Benazzouz, 2015; Ledreux *et al.*, 2016; Nezhadi *et al.*, 2016). As hyposmia has been shown to both precede MSs in PD patients (Doty, 2017) and be a reliable indicator of disease severity (Roos *et al.*, 2019), this novel early-stage PD model is therefore thought to be a suitable model to study the pathophysiology and treatment of early stages of PD. Nevertheless, this model has some limitations as it does not fully represent the PD pathology. Indeed, PD is caused by a complex interplay between genetic and environmental factors of which the exact mechanism remains to be determined (Balestrino and Schapira, 2020). Pathological hallmarks include alterations of neurotransmitters other than just DA and NA, such as acetylcholine, serotonin, glutamate, and GABA (Müller and Bohnen, 2013; Poewe *et al.*, 2017; Doty, 2017; Konnova and Swanberg, 2018; Radhakrishnan and Goyal, 2018), aggregations of α -synuclein into LBs (Braak *et al.*, 2003; Del Tredici and Braak, 2016; Engelender and Isacson, 2017; Chakraborty and Diwan, 2020), and mitochondrial dysfunction leading to deficits in energy supply and generation of oxidative stress (Dauer and Przedborski, 2003; Nikolettou

and Tavernarakis, 2012; Celardo, Martins and Gandhi, 2014; Puspita, Chung and Shim, 2017) with consequent neuroinflammation (Whitton, 2007; Dutta, Zhang and Liu, 2008; Lema Tomé *et al.*, 2013; Gelders, Baekelandt and Van der Perren, 2018a; Sancandi *et al.*, 2018). The novel early-stage PD model was developed by depleting both the noradrenergic and dopaminergic systems to mimic a parkinsonism phenotype. While potential alterations in GABAergic/glutamatergic balance have been observed in this model in response to NA and DA loss, α -synuclein depositions and alterations in other neurotransmitter systems are yet to be investigated. Therefore, to obtain a comprehensive animal model of PD, future studies may combine this novel early-stage model with other existing PD models displaying other pathological hallmarks.

7.2 Hyposmia is sustained by cellular and structural changes in the olfactory pathway of the early-stage PD model

Several studies have shown DA and NA involvement in the modulation of PC activity, with both neurotransmitters contributing to odour learning and perception through both suppression of excitatory synapses (DA: Malenka and Nicoll, 1986; NA: Hasselmo *et al.*, 1997) and enhancement of the activity of inhibitory interneurons by increasing their spontaneous inhibitory potentials (DA: Gellman and Aghajanian, 1993; NA: Kawaguchi and Shindou, 1998). Additionally, although PD pathogenesis is currently unknown, increasing evidence points at the presence of neuroinflammation as one of the key players (Gao *et al.*, 2008; Niranjan, 2014; Ortiz *et al.*, 2017). The observed neuroinflammatory response in the primary olfactory cortex of the early-stage

PD model was therefore not surprising in response to the insult with toxins. Additionally, the observation that inflammation was detected as early as 8 days after surgery and preceded the down-regulation of CBPs in the PC (Sancandi *et al.*, 2018) highlights its relevance in the aetiology of hyposmia. As suggested in previous studies, the role of inflammation in the progression of the disease may therefore lead to toxicity and damage of the surrounding cellular environment (Refolo and Stefanova, 2019). This possible role and the fact that GABAergic cells were found to be affected in hyposmic PD patients (Doty, 2017; Marin *et al.*, 2018) led to the investigation of the interneuronal population expressing CBPs as well as of PNNs in the PC of the early-stage PD model. Interestingly, PNN degradation was observed as well as CBP expression was found to be significantly reduced. The functional significance of this result is yet to be determined, however, it may be speculated that these structural changes are a direct consequence of the neuroinflammation. Indeed, the loss of PNNs could either reflect a defect in the ability of glial cells to excrete PNN components, such as chondroitin sulfate proteoglycans (CSPGs) (Berretta *et al.*, 2015a), or be triggered by the release of enzymes, such as matrix metalloproteinase-9 (MMP-9) and a disintegrin and metalloproteinase with thrombospondin motifs, from reactive astrocytes (Pollock *et al.*, 2014).

Due to a high presence of reciprocal connections, the OB were the next area investigated for any structural and cellular changes in the early-stage model, including the effects of the toxins on the separate dopaminergic population of interneurons (Halász *et al.*, 1981) (Gall *et al.*, 1987). In accordance with the literature, TH expression was found to be significantly increased in the early-

stage model compared with controls. Similarly, the expression of interneuronal CBPs was also observed to be upregulated in the PD model. An increase in CBPs was recently observed to be correlated with α -synuclein co-localisation in different areas of the anterior olfactory nucleus in PD patients, suggesting it may be a possible neuroprotective mechanism (Ubeda-Bañon *et al.*, 2017). Similarly, the increase in dopaminergic expression is thought to play a key role in the aetiology of hyposmia (Huisman, Uylings and Hoogland, 2004, 2008; Belzunegui *et al.*, 2007; Pifl *et al.*, 2017; Ilkiw *et al.*, 2018). These interneurons modulate the activity of mitral cells, the main output neurons of the OB, which express both D1 and D2 dopaminergic receptors (Escanilla *et al.*, 2009). Depletion of either of these receptors was shown to impair odour discrimination and perception in rodents (Tillerson *et al.*, 2006), whilst optogenetic activation of the dopaminergic neurons in the OB resulted in long-range suppression of both the spontaneous and odour-evoked firing of the mitral cells (Banerjee *et al.*, 2015), indicating an inhibitory effect of dopaminergic modulation on mitral cell activity. Additionally, it was demonstrated that dopamine receptor activation in the OB led to a significant depression of synaptic transmission *in vitro* (Hsia, Vincent and Lledo, 1999). Therefore, a locally enhanced bulbar dopaminergic inhibition in PD may result in a more generalised inhibition of the whole pathway, with less information reaching the cortex. In support of this theory, Ilkiw and colleagues (2018) showed that injecting 6-OHDA directly in the OB of a rat PD model restored the sense of smell in the animals. The increase in the number of DA cells in the OB may thus represent a compensatory mechanism in response to neurodegeneration in the midbrain, as shown by an enhanced mobilisation of

progenitor cells in the SVZ of a genetic model of PD displaying hyposmia (Paß *et al.*, 2020).

Cognitive impairments are one of most experienced NMS by PD patients (Poewe, 2008; Narayanan, Rodnitzky and Uc, 2013; Radhakrishnan and Goyal, 2018; Seppi *et al.*, 2019). Additionally, cognitive dysfunctions were shown to correlate with hyposmia, with the latter being a good predictor of the former (Roberts *et al.*, 2016; Kotecha *et al.*, 2018; Yahiaoui-Doktor *et al.*, 2019). The early-stage PD model used in this study displayed hyposmia and memory impairments (Sancandi *et al.*, 2018) suggesting a possible involvement of both the PFC and hippocampus. Interneuronal CBP expression was found to be significantly decreased in the PFC of the early-stage PD model compared with controls, in agreement with the findings in the PC. The CA1 and CA3 regions of the hippocampus appeared not to be affected in the early-stage model. In contrast, the CA2 region displayed a significant loss of GABAergic interneurons, which is in agreement with the evidence that this region is the first hippocampal area to be structurally affected in PD (Györfi *et al.*, 2017). As none of the CBPs analysed here were significantly downregulated, other GABAergic cells are thought to be affected, such as somatostatin-positive interneurons, whose mRNA was recently found to be significantly decreased in GABAergic interneurons derived from iPSCs of PD patients (Iwasawa *et al.*, 2019).

Although the precise mechanisms by which hyposmia is induced in the early-stage PD model are currently unknown, this study suggests that toxin injections have an effect on several regions associated with the olfactory pathways, including the PC, OB, PFC and hippocampus. Overall, this study

shows the importance of neuroinflammation in the early stage of the disease, which then leads to a cascade of events including PNN degradation and down- or up-regulation of CBPs, enabling possible excitation/inhibition imbalances and disrupted circuitry.

7.3 Potential new treatments for early-stage PD

Currently, no definite cure for PD has been established (Radhakrishnan and Goyal, 2018). The rationale behind the first line treatment is to counteract the dopaminergic loss in the midbrain, with little effect on the several NMSs experienced by PD patients (Schaeffer and Berg, 2017). Additionally, although the available treatments generally lead to a significant improvement of MSs, they are not able to modify the disease progression (Balestrino and Schapira, 2020). One of the aims of this project was therefore to develop and validate an early-stage PD animal model not only to study the pathogenesis of the disease, but also to test the effectiveness of new potential treatments at an early stage of the disease.

7.3.1 Exendin-4: from type 2 diabetes mellitus (T2DM) to PD

Several epidemiological studies have reported a link between diabetes and PD (Hu *et al.*, 2007; Xu *et al.*, 2011; Santiago and Potashkin, 2013), with diabetic patients often displaying parkinsonian symptoms (Arvanitakis *et al.*, 2007). More than 60% of the PD patients have impaired insulin signalling (Bosco *et al.*, 2012), and the onset of diabetes before the onset of PD appears to increase symptom severity in PD patients (Cereda *et al.*, 2012). Additionally, mitochondrial dysfunction and inflammation play a role in the aetiology and progression of both diseases (Santiago and Potashkin, 2013). Over time,

clinicians started noticing that drugs used in the treatment of diabetes had beneficial effects also on PD symptoms, as in the case of EX-4. The advantage of this drug repurposing is that clinical trials on PD patients can run concomitantly with pre-clinical studies because the drug has already been approved and declared safe (Athauda *et al.*, 2018; Sancandi *et al.*, 2018).

EX-4 has been shown to have both neuroprotective and anti-inflammatory effects, however, none of the studies tested its efficacy during the early-stage or tested its effects on disease progression (Harkavyi *et al.*, 2008; Li *et al.*, 2009; D. S. Kim *et al.*, 2017b; Athauda and Foltynie, 2018). The early-stage PD model was treated with EX-4 twice daily for 7 days prior to culling and the data revealed that treatment with EX-4 partially prevented both dopaminergic and noradrenergic loss, counteracting the loss of sense of smell. Additionally, EX-4 partially prevented all the deficits observed in the model, from the activation of the immune response to altered CBP expression. Although in the present study EX-4's mechanisms of action were not directly investigated, previous studies have shown that its neuroprotective effects may be ascribed to its ability to preserve mitochondrial function in dopaminergic neurones by increasing expression of complex I and anti-apoptotic proteins (Chen *et al.*, 2015; Nassar *et al.*, 2015) as well as EX-4's powerful anti-inflammatory properties (Li *et al.*, 2015; D. S. Kim *et al.*, 2017a; Ventorp *et al.*, 2017; Athauda and Foltynie, 2018; Reiner *et al.*, 2018). However, despite the fact that treatment with the GLP1 analogue slowed down PD progression in the early-stage animal model, the effects it exerts on later stages, when more extensive damage occurred, are currently unknown.

EX-4 has the potential to improve the long-term prognosis for millions of PD patients world-wide, however, it needs to be injected either twice daily or once weekly unless the patients have a pump, making its delivery a challenge. This led us to evaluate the effectiveness of a new and simplified method of administration: a gene therapy with a viral vector expressing EX-4. Preliminary experiments showed promising results. It was indeed observed for the first time, that i.v. injection of the viral vector not only reached the brain, but it exerted some neuroprotective effects on dopaminergic neurones in a 6-OHDA PD model, with the potential to slow down the progression of the disease. The main advantage of this therapy is that it requires only one i.v. injection. We feel that this study has laid the groundwork for new research to evaluate the use of gene therapy for PD involving EX-4, and further studies on the efficacy of this new therapy are now urgently required.

7.3.2 Probiotics: another new hope for PD?

In recent years, probiotics have grown in popularity among clinicians as an additional aid in the treatment of neurodegenerative diseases, such as PD and Alzheimer's disease, due to their beneficial effects upon stimulation of the immune system (Maldonado Galdeano *et al.*, 2019). A limited number of studies have begun reporting beneficial effects experienced by PD patients following treatment with probiotics (Parashar and Udayabanu, 2017; Fang, 2019; Hsieh *et al.*, 2020). In this study, treatment with the multi-strain probiotic Symprove for 4 weeks resulted in reduction of microglial activation and a partial prevention of dopaminergic loss in the midbrain of the early-stage PD model following toxin injections. Although more experiments are needed to

fully evaluate the effects exerted by this treatment, our results are in agreement with previous studies that showed neuroprotective effects of probiotics on dopaminergic neurones in PD animal models displaying motor dysfunctions (Srivastav *et al.*, 2019; Castelli *et al.*, 2020; Hsieh *et al.*, 2020). A growing body of evidence indicates that the positive influence on CNS diseases exerted by probiotics administration is achieved by mediating different pathways, such as neural, hormonal, immune, inflammatory, and antioxidant signalling (Wang *et al.*, 2016; Boon Wong *et al.*, 2018; Gazerani, 2019). Notably, a healthy intestinal microbiota was associated with a reduced risk of developing neurological and neurodegenerative disorders, including PD (Castelli *et al.*, 2021).

7.4 Methodological considerations

Despite the present project providing very interesting and encouraging results, some methodological considerations should also be highlighted. Although the early-stage PD model is representative of the early stage of the disease, it does not present the whole spectrum of deficits and symptoms proper of this stage. For example, it is unknown whether the early-stage PD model displays the characteristic LB inclusions, and the neurodegeneration in the midbrain was forcefully induced by injecting neurotoxins rather than occurring naturally. Nevertheless, it is interesting to notice that the progression of the neurodegeneration in this model follows Braak's staging scheme, with the olfactory pathway being affected before the midbrain with the consequent MSs (Hawkes, Del Tredici and Braak, 2010). Indeed, there is no current animal model of PD in which every aspect of the human disease is truthfully

replicated, indicating that each model has its own weaknesses and strengths (Beal, 2010; Taylor, Greene and Miller, 2010; Campos *et al.*, 2013). This animal model has the advantage of allowing for a better study of the deficits associated with the aetiology of hyposmia in early-stage PD by unravelling them from the more predominant MSs, the reason for which it was initially developed.

Structural and cellular changes in olfactory regions of the early-stage model were studied using immunohistochemistry and unbiased stereology. The specificity of all antibodies was previously characterised and optimum dilutions were used. The optical fractionator method was used to count cells in all brain regions studied. The parameters that were used were set using previous studies, revealing accurate estimations of the cell numbers in a particular region using the slice thickness and sample blinding was also employed.

Lastly, the studies involving gene therapy and probiotics should be regarded as promising preliminary experiments, with the result of laying the groundwork for further investigations. Indeed, despite the small sample sizes, the results provide encouraging evidence that use of gene therapy or probiotic supplementation could be part of an alternative treatment strategy, ultimately leading to a prognosis improvement for millions of PD patients worldwide.

7.5 Future directions

During the course of the studies presented here, novel and potentially important observations have been made concerning the early stage of PD and new potential therapies. To extend this project further, the use of animal PD models combined with behavioural, electrophysiological, and

immunohistochemical techniques will be used to answer a number of questions arising from these findings.

1) *Does the early-stage PD model display other NMSs?*

This thesis was centred around the investigation of olfaction, however, this stage of the disease is characterised also by other NMSs, such as sleep disorders and autonomic dysfunction, which are yet to be investigated in this PD model. Additional behavioural experiments aimed at a deeper characterisation of this model will investigate the potential presence of these other NMSs. For example, the elevated plus maze and open field test will be performed to assess anxiety. Similarly, the novel object recognition test and the Morris Water Maze could be employed to assess cognition, specifically spatial memory and discrimination.

2) *Does the down-regulation of CBPs in the PC lead to a decreased local inhibition with subsequent cell hyperexcitability?*

As CBPs are proteins whose specific role is to bind freely circulating Ca^{2+} , their downregulation may therefore impact on the amount of Ca^{2+} which is then likely to affect the electrophysiological properties of the surrounding cells. To investigate this hypothesis, electrophysiological recordings of both pyramidal cells and interneurons in the PC may be made to study any change in the circuitry, including properties of pyramidal cells, interneurons, and LOT neurotransmission following the decrease in dopaminergic and noradrenergic inputs.

3) *Is neuroinflammation a trigger or a consequence of the disease? And is it present in other areas of the olfactory pathway?*

Neuroinflammation is known to be a key component of PD, however, its exact role in the pathogenesis of disease has yet to be fully understood. In order to answer the question whether neuroinflammation is a trigger or a consequence of PD, LPS may be employed to assess whether the PD model can be fully replicated only by eliciting an immune response. If the injection of LPS alone can fully replicate the signs of early-stage PD, it would be a first indication of the role that neuroinflammation plays in PD pathogenesis. Additionally, neuroinflammation is currently only reported in the PC of the early-stage PD model, hence, the OB, PFC, and hippocampus will be examined to assess the extent of neuroinflammation in the early-stage model. Lastly, to better understand the link between neuroinflammation and PD progression, the former will be investigated in further studies at different time points.

4) Does the increased TH synthesis in the OB of the PD model correlate with a disrupted olfactory circuitry?

As reported above, DA transmission within the OB exerts an inhibitory effect. Therefore, the observed increase of TH expression in the OB may lead to a suppression of neuronal activity in the very first region where the odour information is processed, ultimately leading to the appearance of hyposmia. To test this hypothesis, as well as the mechanisms underlying it, further studies involving immunohistochemical and electrophysiological techniques will be required. For example, a dopaminergic D2 agonist may be administered to untreated animals to assess whether DA receptors stimulation exerts similar effects. Similarly, a DA receptor antagonist may be employed to test whether hyposmia can be reversed.

5) *What is the exact mechanism by which EX-4 exerts its neuroprotective effects in the early-stage PD model, and is there a time window in which EX-4 works optimally?*

Further experiments on the cellular mechanisms of action of EX-4 as well as how GLP1-R activation leads to the prevention of the observed deficits are required to fully understand its neuroprotective effects. For example, both cAMP and cytokine levels may be quantified in specific brain regions, such as the SNpc and PC. Additionally, although the main focus of the project was the characterisation of the early-stage phase, it would be of interest to explore whether treatment with EX-4 is able to delay the appearance of MSs if the model is maintained for a longer period of time, and determine whether there is a specific stage in which EX-4 works optimally.

6) *What is the exact mechanism by which probiotics exert their neuroprotective effects in the early-stage model? Is gene therapy a good treatment for PD?*

Currently, no definitive cure for PD has been found and several new treatments and targets are discovered every year. In this thesis, two pilot studies were conducted to test two new potential treatments. Following promising initial results, further experiments will explore and evaluate the therapeutic potential of both treatments. For example, the effects of both drugs on both NMSs and MSs and on neuroinflammation will be investigated using behavioural tests and immunohistochemistry. Additionally, the viral vector will be analysed to assess its biodistribution when injected i.v. as well as the amount of EX-4 produced compared with injection of the exogenous EX-4. Lastly, its tolerability will be investigated for a protracted period of time to ensure its safety.

7.6 Conclusions

The lack of PD animal models representing the early stage of the disease is limiting our current understanding of its aetiology. This Ph.D. project therefore focussed on developing, validating, and characterising an early-stage PD animal model that also served as a tool to test new potential treatments. Hyposmia displayed by this model, was shown to be sustained by the presence of neuroinflammation in the primary olfactory cortex together with several structural changes in the olfactory pathway, such as an altered expression of CBPs in PC, OB, and PFC and an increased synthesis of dopamine in the OB. These results are the first report of some of the deficits/changes occurring within the olfactory circuit during the early stage of the disease. Additionally, treatment with EX-4 was shown to prevent both neuroinflammation and structural changes in the olfactory pathway, suggesting that it may be effective in slowing down the progression of the disease. Similarly, preliminary experiments assessing the effectiveness of a new viral vector expressing EX-4 and probiotic supplementation showed promising results, providing encouraging evidence in the search for a potential new and life-changing treatment for early stage PD.

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