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The Unregulated Probiotic Market

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BACKGROUND & AIMS: This narrative review provides an overview of the current regulation of probiotics, with a focus on those used for the dietary management of medical conditions (Medical Foods). **FINDINGS:** The probiotic market has grown rapidly, both for foods and supplements intended to enhance wellness in healthy individuals, and for preparations for the dietary management of disease. Regulation of probiotics varies between regions. Unless they make specific disease-related health claims, probiotics are regulated as food supplements and regulation is focused on the legitimacy of any claims, rather than efficacy, safety and quality. Many properties of probiotics are strain-specific, and safety and efficacy findings associated to specific formulations should not be generalized to other probiotic products. Manufacturing processes, conditions and ingredients are important determinants of product characteristics and changes to manufacturing are likely to give rise to a product not identical to the "original" in efficacy and safety if proper measures and controls are not taken. Current trademark law and the lack of stringent regulation of probiotic manufacturing mean that the trademark owner can commercialize any formulation under the same brand, even if significantly different from the original. These regulatory deficits may have serious consequences for patients where probiotics are used as part of clinical guideline-recommended management of serious conditions such as inflammatory bowel diseases, and may make doctors liable for prescribing a formulation not previously tested for safety and efficacy. **CONCLUSIONS:** Current regulation of probiotics is inadequate to protect consumers and doctors, especially when probiotics are aimed at the dietary management of serious conditions.

Keywords: Probiotics; Regulation; Manufacturing; Inflammatory Bowel Disease.

•he definition of probiotics as live microorganisms that when administered in adequate amounts confer a health benefit on the host was established by the Food and Agriculture Organization of the United Nations and the World Health Organization in 2001.¹ However, the label "probiotic" is often misused by being applied to products that do not meet the criteria.² Furthermore, even though significant progress has been achieved in understanding the possible applications and health benefits of specific probiotic strains, many doctors, sci-entists, and consumers are still confused by the "probiotic umbrella" concept that is commonly promoted by the probiotic industry. The umbrella concept seeks to take advantage of results obtained with a specific probiotic by extending them to others, blurring the specificity of the product, dose, duration of intake, com-bination of strains, and methods used to manufacture the formulation with which the benefits were obtained. Because of the relatively unregulated nature of the pro-biotic market, such transferal of claims from the tested product to one that has material differences in its formulation or manufacture opens the door to many problems and questions. In addition, in cases where

probiotic formulations are used to help manage major conditions such as inflammatory bowel diseases or disorders characterized by immunosuppression such as human immunodeficiency virus (HIV), this lax regulation may have serious consequences for patients, as explored in the later sections of this review.

Historically, the concept of probiotics was developed in around 1900 by the Nobel laureate, Elie Metchnikoff, who discovered that the consumption of live bacteria (*Lactobacillus bulgaricus*) in yogurt or fermented milk improved some biological features of the gastrointestinal tract.³ In 2013, the worldwide market for probiotics was worth \$36 billion.⁴ In addition to their use in the management of a range of health conditions,⁴ probiotics are

Abbreviations used in this paper: CFU, colony-forming units; EFSA, European Food Safety Authority; FDA, Food and Drug Administration; HIV, human immunodeficiency virus.

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117 being aggressively promoted to consumers as a mean to 118 increase or maintain health, fueled by media coverage. 119 Bacteria with claimed probiotic properties are now widely available in the form of foods such as dairy 120 121 products and juices, and also as capsules, drops, and 122 powders. Contained (or claimed to be contained) within 123 these food supplements, there can be many different 124 strains of bacteria. The most common commercially 125 available strains belong to the Lactobacillus and Bifidobacterium species. Well-studied probiotic species include 126 127 Bifidobacterium (adolescentis, animalis, bifidum, breve, 128 and longum) and Lactobacillus (acidophilus, casei, 129 fermentum, gasseri, johnsonii, reuteri, paracasei, plantarum, rhamnosus, and salivarius). An international 130 131 consensus statement in 2014 accepted that these are 132 likely to provide general health benefits such as 133 normalization of disturbed gut microbiota, regulation of 134 intestinal transit, competitive exclusion of pathogens, 135 and production of short chain fatty acids.²

136 However, the consensus panel also noted that many 137 of the other effects that have been shown for various 138 probiotics are species-specific and, in some medical 139 conditions, strain-specific. Mechanisms that are likely to 140 be species-specific include vitamin synthesis and gut 141 barrier reinforcement, while neurological, immunologic 142 and biochemical effects are likely to be dose- and strain-143 specific.² The consensus panel stressed that claims for a number of such "medical" benefits can only be made for 144 145 the strains in which they have been demonstrated. Further, they noted that although a single strain may 146 147 display multiple mechanisms of beneficial action, no 148 single strain would be expected to have all the effects 149 known to derive from probiotics.²

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There is a large body of preclinical and clinical 175 research on the gastrointestinal benefits of probiotics in 176 healthy individuals and in a wide range of both minor 177 and serious health conditions. These include treatment 178 and prevention of acute diarrhea, prevention 179 of antibiotic-associated diarrhea, treatment of hepatic 180 encephalopathy, symptomatic relief in irritable bowel 181 syndrome, and prevention of necrotizing enterocolitis in 182 preterm infants.⁴ Specific probiotics have gained a place 183 in the treatment of ulcerative colitis and pouchitis and 184 are recommended as options in several major clinical 185 guidelines (Figure 1). $^{4-6}$ 186

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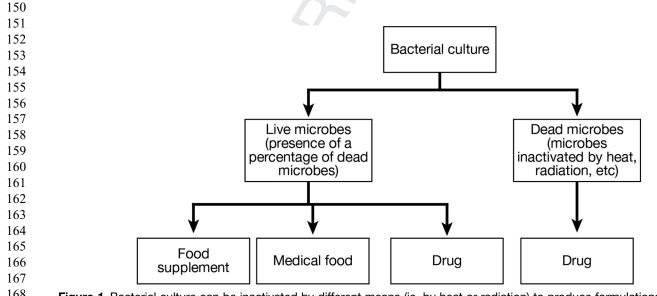
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Safety of Probiotics

Commercially available probiotic products can be 191 divided into monostrain (defined as containing 1 strain 192 of a well-defined microbial species) and multistrain 193 (containing more than 1 strain of the same species or 194 genus). The term multispecies is also used for products 195 that contain strains from more than 1 genus.⁷ Treatment 196 with probiotics may involve the consumption of large 197 quantities of bacteria, so safety is a primary concern. 198 There are 2 aspects to safety: establishing the adverse 199 effect profile of specific monostrain and multistrain 200 preparations (ie, the safety of the products per se), and 201 ensuring that marketed preparations meet stringent 202 quality standards to make certain that the correct 203 strains are present and that the product is free of 204 contamination.⁸ 205

The principal theoretical risks from probiotics are infection, ill effects from toxins produced either by the



168 226 Figure 1. Bacterial culture can be inactivated by different means (ie, by heat or radiation) to produce formulations containing 169 bacterial lysates, which cannot be defined as probiotic and are regulated as drugs. Bacterial cultures containing live bacteria, 227 but also a certain percentage of dead bacteria (live bacteria cannot be separated from the dead bacteria, the amount of dead 170 228 bacteria in the preparation being inversely proportional to the quality of the product) can be utilized as: (1) food supplement: 171 229 species or combinations of species, supported by evidence of general beneficial effects; (2) medical food: strains or com-172 bination of strains supported for the dietary management of a disease that has distinctive nutritional needs that cannot be met 173 231 by normal diet alone (needs to be supported by high quality clinical trials and positive meta-analysis); or (3) drug: strains or 174 232 combination of strains with specific indications regulated as drugs.

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233 probiotic strains or contaminants, and immunological 234 effects.9 Safety assessments should take into account the 235 nature of the probiotic microbe, method of administra-236 tion, level of exposure, health status of the recipients, and 237 the physiological functions the microbes are intended to 238 perform.⁹ However, most probiotics in commercial use 239 are derived from fermented foods with a long history of 240 safe consumption, or from microbes that may colonize 241 healthy humans.⁴ All common probiotic species are 242 considered safe for the general population by the European Food Safety Authority (EFSA),10 although this 243 definition does not provide guidance on the increasing 244 245 use of probiotics in people with medical conditions, and 246 the term *probiotic* is not easily accepted by EFSA even 247 though tolerated by health authorities in some countries 248 such as Italy. The U.S. Food and Drug Administration 249 (FDA) classifies probiotics individually but has classified many as safe for food use.¹¹ 250

251 The great majority of clinical trials of probiotics 252 reported in the literature have not given rise to major 253 safety concerns⁹; however, a few examples of serious 254 adverse effects from probiotics have been documented 255 independently of the formulation, dosage, and daily 256 intake. Those that have been reported include cases of 257 bacterial sepsis linked to probiotic supplements con-258 taining lactobacilli, and the death from gastrointestinal 259 mucormycosis of a preterm infant associated with mold contamination of a probiotic supplement.^{8,12} In patients 260 261 with predicted severe acute pancreatitis, treatment 262 with a multispecies probiotic preparation was associ-263 ated with an increased risk of mortality.¹³ Therefore, careful safety evaluation is required before use of 264 probiotics in vulnerable groups,^{8,9} including patients 265 266 with damaged intestinal mucosa or immune dysregu-267 lation such as can occur in patients with inflammatory 268 bowel diseases, liver diseases, HIV, and other condi-269 tions. Safety becomes a more sensitive issue with the 270 small number of products that contain high concen-271 trations of up to 450 - 900 billion bacteria per dose. 272 (Note: this review does not include a discussion of 273 adverse effects associated with the yeast Saccharomyces 274 *boulardii*, a natural yeast originally extracted from the 275 lychee fruit and present in some probiotic formulations. 276 S. boulardii has been reported to be associated with 277 fungemia in critically ill patients as well as in immunocompromised individuals.^{14,15} An analysis of the side 278 279 effects versus the benefits of this biotherapy is beyond 280 the scope of this article mainly focused on lactobacilli 281 and bifidobacteria).

282 A systematic literature review of probiotic safety 283 published in 2014 found that "the overwhelming existing 284 evidence suggests that probiotics are safe" for the general population, and that critically ill patients, postoperative 285 286 and hospitalized patients and immunocompromised pa-287 tients were the most at-risk groups where adverse effects 288 did occur. The authors recommended consideration of the 289 risk-benefit ratio before prescribing probiotics.¹⁶ A recent 290 pilot study in persons with HIV infection and treated with

combined antiretroviral therapy found that the probiotic employed was safe and was associated with a number of immune-related benefits and improved integrity of the gut epithelial barrier. However, the authors stressed that the safety and efficacy findings associated with that specific probiotic formulation should not be generalized to other probiotic products.¹⁷

Quality Control of Probiotics Intended to Have a Medical Impact

302 The definition of probiotics is acceptable when the 303 304 probiotic products are intended to improve an otherwise normal diet in the healthy population, but is inadequate 305 306 when the probiotics are recommended as part of the dietary management of specific clinical situations such as 307 pouchitis, ulcerative colitis, hepatic encephalopathy, etc. 308 To ensure that a commercial product will deliver the 309 claimed beneficial health effects to patients with serious 310 311 disorders, among the prerequisite elements, there should be proper labeling information about the presence of live 312 bacteria at a specific concentration, but also about the 313 number of dead bacteria. Gut-derived bacterial trans-314 315 location is not an infrequent occurrence, and bacterial DNA constitutes a disrupting factor that imbalances in-316 dividuals' inflammatory responses by triggering a 317 Th1-biased proinflammatory response through Toll-like 318 receptor-9 and nuclear factor kappa-B activation. As a 319 matter of fact, it has been reported that bacterial DNA 320 translocation into blood of patients with Crohn's disease 321 322 in remission increases the risk for relapse at 6 months and is an independent risk for hospitalization and initi-323 ation of steroid treatment.¹⁸ Most probiotic products are 324 generally used in healthy individuals and contain only a 325 few billion bacteria. In this typical scenario, the number 326 of dead bacteria in a given probiotic product is of 327 negligible value when evaluating product safety. How-328 ever, with probiotic products containing hundreds of 329 billions of bacteria, the issue of the number of dead 330 331 bacteria is a totally different, and of particular concern 332 when the products are administered to diseased individuals. During the manufacturing process, dead bac-333 teria and their fragments cannot be separated and 334 removed from the live bacteria; consequently, the final 335 product will contain not only live but also dead bacteria 336 as well as a number of microbe-associated molecules and 337 fragments. Only the number of live bacteria able to form 338 339 colonies when cultivated to be counted on agar plates, expressed as colony-forming units (CFU) is reported on 340 the label of the products. Therefore, doctors are not 341 informed about this "hidden content" and the "real po-342 tency" of the product they are administering to the pa-343 344 tients. In subjects with dysreactive immune disorders, even live or dead, entire or fragmented, "good" bacteria 345 can be harmful if present at numbers high enough to 346 impact on the balance between anti- and proin-347 flammatory cytokines as well as other cell functions.^{19–21} 348

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349 The precise identity of the bacteria at the strain level 350 is also a fundamental requirement. Initially the taxonomy 351 of lactobacilli and bifidobacteria was defined according 352 to their morphological and biochemical characteristics, 353 but it has been under extensive revision thanks to 354 modern genomic techniques. However, the genetic 355 reclassification of the strains, usually reported as a 356 footnote on the product's label, generates confusion 357 among doctors and patients, who are uncertain if the 358 new reclassified product offers the same benefits of the 359 old one. Taking advantage of such a taxonomical confu-360 sion, some manufacturers state that their strains are 361 genetically equivalent or that they are nearly identical, 362 but such claims do not make any sense since bacteria are 363 either genetically identical or different. As a general rule, 364 the strains should be deposited at a biodepository such 365 as the ATCC (American Type Culture Collection) or DSMZ 366 (Deutsche Sammlung von Mikroorganismen und Zell-367 kulturen) so that microbiologists and industry can secure 368 a backup of their own cell cultures with their inherent 369 physiological characteristics, independently from any "modernized" reclassification. Certain strains may have 370 371 in common some "isofunctional enzymes" for some 372 biosynthetic pathways, but this does not imply that those 373 strains are isofunctional or equivalent or that they 374 perform the same when used in patients. Quality controls 375 for the probiotics intended for medical use therefore 376 should be not limited to viability, adhesive properties, acid, and bile stability, but should also include an 377 378 assessment of the biochemical and immunological profile 379 of the product, and if differences are detected, the products should undergo new testing in animals and 380 then in humans.²¹ Quality control standards of the food 381 382 industry are therefore not sufficient or acceptable for 383 probiotic products aimed at the prevention or treatment 384 of serious gastrointestinal disorders. 385

Current Regulation of Probiotics

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The regulatory aspects that need to be considered for 389 390 probiotics are efficacy, safety, quality control of 391 manufacturing, and regulation of the health claims that 392 can be made for individual products. If probiotic prepa-393 rations make a health claim that implies treatment, 394 therapy, prevention, relief or diagnosis of a disease, they 395 are classified as medical or pharmaceutical products and 396 regulated as such. In this case, as they are live complex 397 organisms, probiotic products will fall under the existing 398 regulations for biologics. However, the great majority do 399 not make disease-specific claims and are therefore clas-400 sified as food supplements or dietary supplements. In 401 some cases, when the clinical data are convincing for a 402 certain probiotic formulation, the product can be classi-403 fied as a medical food intended for the dietary manage-404 ment of a specific disease (ie, pouchitis). Both of these 405 categories are regulated much less stringently than 406 pharmaceutical products.

407 The regulation of probiotics differs between countries: there is no universally agreed framework. In the 408 European Union, probiotics and food supplements are 409 regulated under the Food Products Directive and Regu-410 lation (regulation 178/2002/EC; directive 2000/13/EU). 411 All health claims for probiotics have to be authorized by 412 the EFSA. The EFSA has issued a list of microbial cultures 413 that have a Qualified Presumption of Safety,²² meaning 414 that they do not require safety assessments. The EFSA is 415 also responsible for assessing health claims made for 416 probiotic products. So far, EFSA has rejected all submit-417 ted health claims for probiotics. Thus, on the one hand 418 there is rigorous scrutiny of product claims, but on the 419 420 other hand there is little regulation of the manufacturing process and almost no postmarketing regulatory 421 follow-up.²³ 422

In the United States, most probiotic products are 423 classified as foods or dietary supplements. Dietary sup-424 plements are required to comply with Good 425 Manufacturing Practice guidelines, but these do not 426 extend to testing quality or efficacy.²³ As in Europe, 427 dietary supplements cannot make disease-specific 428 claims, but in the United States they are allowed to 429 make structural or functional claims such as "supports 430 healthy digestion," accompanied by an FDA-mandated 431 disclaimer. Claims must be truthful, not misleading, and 432 substantiated by scientific evidence.²⁴ There is also a 433 category of probiotics which are formulated to be 434 consumed or administered enterally under the supervi-435 sion of a physician and which are intended for the 436 dietary management of a specific disease or condition for 437 which distinctive nutritional requirements, based on 438 439 recognized scientific principles, are established by medical evaluation. These formulations fall in the category of 440 medical foods in the United States.²⁵ Medical foods are 441 not drugs and, therefore, are not subject to any regula-442 tory requirements that specifically apply to drugs. 443 However, a medical food that bears a false or misleading 444 claim would be considered misbranded under section 445 403(a)(1) of the Federal Food, Drug, and Cosmetic Act.²⁵ 446

447 For research purposes probiotics are generally viewed by U.S. regulators as drugs, meaning that human 448 studies must be conducted within the FDA's Investiga-449 tional New Drug framework-even for probiotic foods 450 and dietary supplements that are not intended to be 451 marketed as drugs.²⁶ This includes a requirement for 452 safety studies to be performed before efficacy studies can 453 take place, even for widely used probiotics that have a 454 Generally Recognized as Safe designation.²⁶ In terms of 455 marketing, the U.S. approach is complex and depends 456 largely on the claims being made for the product.²⁴ 457

In both regions the current situation leaves a regulatory void which does not take into account the complex nature of probiotic products—the fact that they are living organisms and therefore dynamic and not static; 461 the fact that their characteristics vary significantly among both species and strains; and the additional complexities that arise in multispecies or multistrain 464 465 products where the individual components may interact 466 with one another.²⁷ It is increasingly recognized that 467 the current approach to regulation is inadequate and 468 can lead to problems of quality, safety, and claim val-469 idity in commercial probiotic products that are used in a 470 medical context, including those used in vulnerable 471 populations.²³

472 The quality of probiotic products depends heavily on 473 the manufacturing process. From a safety perspective, it 474 is crucial that manufacturing and packaging are 475 adequately controlled to prevent contamination. However, 476 manufacturing also affects efficacy. A position paper by 477 The European Society for Paediatric Gastroenterology 478 Hepatology and Nutrition recently published a call for 479 improved quality control of probiotics, noting that 480 "procedures such as fermentation, matrix composition, cell 481 harvesting, spray-drying, freeze-drying and storage condi-482 tions like temperature, humidity and pH, are just several 483 out of a wider array of manufacturing determinants that 484 can affect microbial survival, growth, viability and ultimately the study results and/or clinical outcomes."23 485

One example of the way that variations in 486 487 manufacturing may lead to efficacy or safety changes is 488 the issue of the number of dead bacteria present in the 489 product at the time of consumption. Dead bacteria are 490 inevitably present in probiotic products and originate 491 from the manufacturing, harvesting, lyophilization, and 492 degradation processes; these dead bacterial bodies 493 "accompany" the live bacteria from the very initial steps 494 of manufacturing and cannot be eliminated from the 495 product. To maintain the advertised number of live 496 bacteria, it is common practice to "overfill" each sachet 497 or capsule with excess bacteria to allow for the fact that a 498 proportion will inevitably die during storage.²² If the 499 bacteria produced under particular manufacturing con-500 ditions have reduced viability, a larger overfill will be 501 needed and the user will consume a larger number of 502 bacteria (live bacteria + dead bacteria) compared with 503 what is reported on the label for each dose. The current 504 regulations for labeling of probiotic products require that 505 the consumer is informed about the number of live 506 bacteria expressed as CFU per dose. This does not take 507 into account the number of dead bacteria, so the infor-508 mation provided in terms of CFU does not properly 509 inform the consumer about the "total number" of bac-510 teria he or she is ingesting.

511 Manufacturing processes play a major role not only in 512 the live-dead bacteria ratio of the final product at the 513 origin and at different time periods, but also on its 514 biochemical and immunological profile. Probiotic prod-515 ucts manufactured at different facilities, even if con-516 taining the same number of live and dead bacteria per 517 dose, may still be not equivalent in terms of safety and efficacy. Biagioli et al²³ recently confirmed that the 518 519 metabolic variability of a multispecies probiotic prepa-520 ration impacts its anti-inflammatory activities. Two 521 samples of a probiotic mixture prescribed for the dietary 522

treatment of inflammatory bowel disease, available in the 523 United Kingdom, one manufactured in the United States 524 and the second in Italy, showed divergent results when 525 tested in mice models of colitis. The Italian product was 526 not able to attenuate the "clinical" signs of colitis in the 527 dextrane sulfate sodium and trinitrobenzenesulfonic acid 528 models, while the U.S. product was protective. A 529 metabolomic analysis of the 2 formulations allowed the 530 identification of 2 specific patterns, with at least 3-fold 531 enrichment in the concentrations of 4 metabolites, 532 including 1,3-dihydroxyacetone, an intermediate in the 533 fructose metabolism, in the Italy-made supernatant, 534 which is able to increase the gut permeability. 535

Brand Name Legacy and Probiotics: Good for the Producer but not Always for the Consumer

Contrary to the situation with biosimilar biopharmaceuticals, which must undergo pharmacodynamic, pharmacokinetic, safety, and efficacy testing to verify equivalence to the original product, tests of equivalence to the original product are not strictly regulated in the event of any changes made to a probiotic product, including changes to the manufacturing process. From a scientific point of view, there is no doubt that changes to a probiotic product, for example in the manufacturing process of the strains used, require new data to verify its efficacy and safety. This is particularly important when the product is used to manage chronic illnesses or other vulnerable groups.

The matter is further complicated by the fact that, 555 unlike drugs, probiotics generally do not have single generic names for their active ingredients, especially in the case of multistrain formulations. A probiotic mixture shown in the scientific literature to be effective in the treatment of specific diseases or conditions will be referred to by doctors, experts, and patients solely by its trademarked name, because it is not eligible for a standard generic name as given to pharmaceuticals, and referring to the full list of ingredients is not practical. This can create a unique scenario in which the lack of a generic nomenclature, and the inherent difficulty in mentioning each strain in the formulation, makes the commercial name the only way to recognize a specific formulation for its origin, efficacy and safety. From a scientific and ethical point of view, the safety and efficacy data should only apply to that trademark as long as the composition and manufacturing of the product commercialized under such trademark remains unaltered from the version used in the studies. 574

However, the lack of regulation in the probiotic 575 576 market means that there is no control over the composition or manufacturing of products marketed under a 577 578 trademarked brand name, while there is a strong protection by the law of the rights associated to a trademark 579 580

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581 ownership. The trademark terms approved by the U.S. 582 Patent and Trademark Office do not require the trade-583 mark to be associated with a probiotic (even baby food could be labeled under the same trademark), and in 584 585 theory 2, 3, or more probiotic formulations with different characteristics could be commercialized under the same 586 587 brand at the same time. This offers the possibility that 588 any probiotic, even untested, can be sold under a 589 trademark that was used in the past to refer to a formulation well known for origin, efficacy, and safety. 590 591 This state of affairs is surprising, and is in marked 592 contrast to the regulations that exist even for foods and 593 drinks, such as cheese, wine, or spring water. Consumers 594 would be less likely to buy a wine if they learned that it 595 claimed to be from a specific region such as Champagne 596 or Napa Valley, but in actuality was not, as they think 597 that a wine, cheese, or water's region of origin is 598 fundamental in determining its quality. In the case of 599 probiotics, as well as being fundamentally misleading, 600 this situation could have serious consequences for 601 vulnerable patients in cases where the probiotic is being 602 used for the management of a serious disease. It is 603 important that medical professionals and patients are 604 fully informed about any changes to a product, so that 605 they can make informed decisions when choosing treat-606 ments, but this unfortunately does not always occur. 607

Real World Consequences

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611 It is therefore of fundamental importance that the 612 probiotic product sold under a certain brand name 613 maintains its uniformity during the entire marketing 614 period, especially if it is used or recommended for pop-615 ulations with compromised medical history, based on 616 previously published data and studies. This is even more 617 true for multistrain preparations where not only the 618 physiological properties of the single strain but also the 619 biochemical and immunological characteristics of the 620 final blended formulation should be maintained. This means that whoever markets a probiotic product with a 621 622 certain trademark should be able to control the full 623 know-how required to ensure the product's uniformity 624 during the shelf-life to assure that it continues to provide 625 the effects reported in scientific literature and related 626 claims, independently from the evolution in the indus-627 try's processes over time.

The focus of the industry on the strain genetics is not 628 629 enough to certify the consistency of the product over 630 time, as also carrier matrices, such as proteins, carbo-631 hydrates, and lipids have an impact on the probiotic 632 efficacy and viability. Insufficient attention to the probiotic-matrix relationship will lead to the production 633 634 of lots which are not consistent with what previously 635 manufactured and clinically tested (Figure 2A and B). But 636 what are the consequences if the owner of the brand no 637 longer has access to the "original" probiotic formulation 638

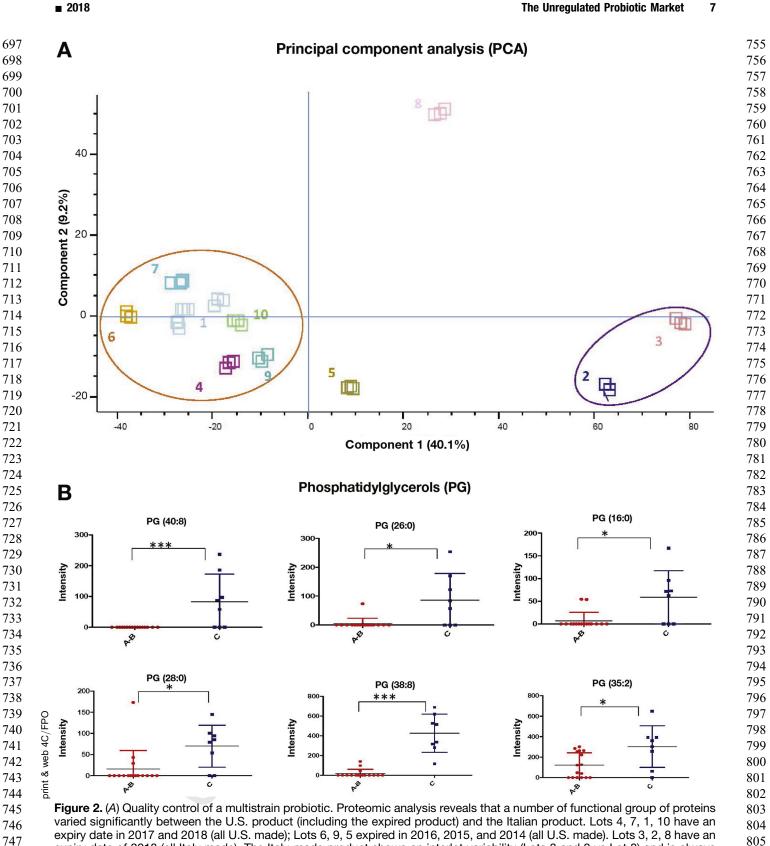
and does not possess or have access to the know-how? And what will happen if the possessor of the knowhow does not have access to the trademark that was previously associated to the "original formulation" and is 642 also prevented from referring to the scientific studies by 643 the owner of the trademark?

In the first case, a number of checks mandatory for 645 biosimilar drugs should be taken into due account. 646 According to the FDA, "Demonstrating that a proposed 647 product is biosimilar to a reference product typically will 648 be more complex than assessing the comparability of a 649 product before and after manufacturing changes made by 650 the same manufacturer. This is because a manufacturer 651 who modifies its own manufacturing process has extensive 652 knowledge and information about the product and the 653 existing process, including established controls and 654 acceptance parameters. In contrast, the manufacturer 655 of a proposed product will likely have a different 656 manufacturing process (e.g., different cell line, raw mate-657 rials, equipment, processes, process controls, and accep-658 tance criteria) from that of the reference product and no 659 direct knowledge of the manufacturing process for the 660 reference product. ... Therefore, in general, more data and 661 information will be needed to establish biosimilarity than 662 would be needed to establish that a manufacturer's post-663 manufacturing change product is comparable to the pre-664 manufacturing change product."²⁷ 665

These considerations should apply to the 666 manufacturing of a probiotic, for example when its pro-667 duction is moved to a different and unrelated 668 manufacturing site. If in vitro and animal studies show 669 differences between the new and original formulations. 670 then clinical studies should be mandatory, but this re-671 quires time and money. For the players in the probiotic 672 673 arena there could be the temptation to exploit the goodwill of the trademark, ignoring all the previously 674 mentioned aspects, which are important for ascertaining 675 safety and efficacy of the product. Trademarks have an 676 enormous impact on the consumer's choice, and once 677 familiarized with a product, consumers will skip reading 678 the list of ingredients usually reported in small print on 679 the packaging, focusing on the large-printed trademark. 680 The matter is further complicated if the formulation is 681 mentioned in clinical guidelines under the previous 682 trademark, since doctors relying on the trademark will 683 end up prescribing a product untested for efficacy and 684 safety. In the case of adverse effects or lack of efficacy, 685 the liability could be on the doctor who did not pay 686 attention to the list of ingredients and source of 687 manufacturing of the product they prescribed. 688

Conversely, the holder of the "source" or owner of the 689 know-how who does not have access to the trademark 690 previously associated to the original formulation, has to 691 struggle with how to properly define that specific 692 formulation without interfering with the previously uti-693 694 lized trademark, and in the absence of a generic descriptor. The holder of the source could also be limited 695 696





expiry date in 2017 and 2018 (all U.S. made); Lots 6, 9, 5 expired in 2016, 2015, and 2014 (all U.S. made). Lots 3, 2, 8 have an expiry date of 2018 (all Italy made). The Italy-made product shows an interlot variability (Lots 3 and 2 vs Lot 8) and is always different from the U.S.-made product, independently from the expiration date. Courtesy of B. Mattei and V. Correani. Q5 (B) Quality control of a multistrain probiotic. The diversity in phosphatidylglycerols (PG) content may be another means of revealing differences of the same probiotic product manufactured at 2 different sites. In this case, the U.S.-made product (C) **Q**6 clearly shows higher levels of PG compared with the Italy-made product (A-B) (unpublished data, P. Del Boccio).

Conclusions

out with the probiotic formulation.

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- tools for the dietary management of serious pathologies such as inflammatory bowel diseases, hepatic encephalopathy and in the future, if confirmed, HIV. If there are published scientific data on a specific probiotic formu-827 lation, regardless of the name the product is referred to 828 by, physicians must be able to clearly identity these data 829 so that they can make the best medical judgments in the 830 interest of their patients. Equally, patients should not be 831 deprived of their right to continue on the tested product 832 if this is available under a different brand, or to make an 833 informed decision to try to the "new" formulation of the 834 brand if they wish to.²⁸

in its capability to refer to the previous studies carried

No regulatory problems arise for probiotics that are

true drugs and are therefore governed by well-

consolidated regulations. However, the same cannot be

said for probiotics that, although not classifiable as

drugs, benefit human health and are sometimes valuable

835 In the absence of specific and stringent regulations 836 for probiotics, there is no appropriate protection for the 837 interests of producers whose objectives are to identify, 838 study and market new probiotic products benefiting 839 human health, or for the interests of the end users, who 840 may be misled by product labeling or trademarks and 841 deprived of information on the true nature of the product 842 they are using. More strict regulations specifically 843 addressing medically beneficial probiotics that are not 844 classifiable as drugs would be welcome. 845

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Reprint requests

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Conflicts of interest

The author discloses the following: Claudio de Simone owns one share of VSL Pharmaceuticals Inc, and served in the past as Director and/or Officer of VSL Inc, Actial Farmaceutics Ltda, CD Investments Srl, CD Pharma India. He is the inventor of a high concentration multistrain probiotic formulation.