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**Apple polyphenol-rich drinks dose-dependently decrease early-phase postprandial glucose concentrations following a high-carbohydrate meal: a randomized controlled trial in healthy adults and *in vitro* studies.**

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**Key words**

Randomised controlled trial, Postprandial glycemia, Polyphenols, Phlorizin, Apples, Glucose transport.

## 1 **Abstract**

2

3 **Background:** Previous research demonstrated that a high dose of phlorizin-rich apple extract  
4 (AE) can markedly inhibit early-phase postprandial glycemia, but efficacy of lower doses of  
5 the AE is unclear.

6

7 **Objective:** To determine whether lower AE doses reduce early-phase postprandial glycemia  
8 in healthy adults and investigate mechanisms.

9

10 **Design:** In a randomized, controlled, double-blinded, cross-over acute trial, drinks containing  
11 1.8 g (HIGH), 1.35 g (MED), 0.9 g (LOW), or 0 g (CON) of a phlorizin-rich AE were  
12 consumed before 75 g starch/sucrose meal. Postprandial blood glucose, insulin, C-peptide,  
13 glucose-dependent insulintropic polypeptide (GIP) and polyphenol metabolites  
14 concentrations were measured 0-240 min, acetaminophen concentrations to assess gastric  
15 emptying rate, and 24 h urinary glucose excretion. Effects of AE on intestinal glucose  
16 transport were investigated in Caco-2/TC7 cells.

17

18 **Results:** AE significantly reduced plasma glucose iAUC 0-30 min at all doses: mean  
19 differences (95% CI) relative to CON were -15.6 (-23.3, -7.9), -11.3 (-19.6, -3.0) and -8.99 (-  
20 17.3, -0.7) mmol/L/min for HIGH, MEDIUM and LOW respectively, delayed  $T_{max}$  (HIGH,  
21 MEDIUM and LOW 45 min vs. CON 30 min), but did not lower  $C_{max}$ . Similar dose-  
22 dependent treatment effects were observed for insulin, C-peptide, and GIP. Gastric emptying  
23 rates and urinary glucose excretion did not differ. Serum phloretin, quercetin and epicatechin  
24 metabolites were detected postprandially. A HIGH physiological AE dose equivalent  
25 decreased total glucose uptake by 48 % in Caco-2/TC7 cells.

26

27 **Conclusions:** Phlorizin-rich AE, even at a low dose, can slightly delay early-phase glycaemia  
28 without affecting peak and total glycaemic response.

29

30 **Keywords:** Randomized controlled trial, Postprandial glycemia, Polyphenols, Phlorizin,  
31 Apples, Glucose transport.

32

### 33 **1. Introduction**

34 Food and beverages high in available carbohydrates elicit a marked glycemic and insulinemic  
35 response. Lowering the glycemic index/load of diets may improve glycemic control,  
36 particularly in individuals with raised fasting blood glucose [1,2] and reduces the risk of  
37 developing chronic diseases such as type 2 diabetes (T2D) [3]. Chronic exposure to  
38 exaggerated postprandial glucose excursions can lead to adverse modifications to functional  
39 proteins, oxidative stress and pancreatic beta cell dysfunction [4]. Intervention studies have  
40 shown that prescription of acarbose, a potent inhibitor of carbohydrate digestive enzymes, is a  
41 promising metabolic modifier that can reduce the risk of T2D. A 6 % reduction in diabetes  
42 incidence was observed in high-risk patients over 3 years [5]. Given the widespread  
43 availability of refined, high-carbohydrate foods in industrialised countries, dietary strategies  
44 that may moderate postprandial glycemia is a vital area of research for prevention of  
45 cardiometabolic diseases [6].

46

47 Glycemic responses to foods are determined by a range of factors relating to the individual's  
48 metabolic health status, recent physical activity [7], dietary and alcohol intakes [8,9], and  
49 sleep patterns [10], as well as characteristics of the meal: amount, type and digestibility of  
50 starch; non-nutrient components that may interact (e.g.  $\alpha$ -amylase inhibitors, phytates and  
51 polyphenols); amount and type of fat, sugar, and dietary fibres; food matrix structure;

52 viscosity within the digestive tract [11]. Polyphenols are a large and heterogeneous group of  
53 phytochemicals containing 1 or more phenol ring [6], with the main classes being flavonoids,  
54 stilbenes, lignans and phenolic acids. Polyphenols may contribute to the cardiometabolic  
55 protective effects of fruits, vegetables and wholegrains [6,12–14]. Polyphenol intake among a  
56 large, health-conscious US cohort was estimated at 0.8 g/day using food frequency  
57 questionnaires, with coffee, fruits (citrus, apples and pears, and purple/red fruits) and fruit  
58 juices as the main food contributors [15]. In the UK, the adult average polyphenol intake has  
59 been estimated at 1-1.6 g/day using 4-day food diaries and 24 h recalls [16–18], with apples  
60 and pears being the biggest fruit contributors [16]. Data extracted from the UK National Diet  
61 and Nutrition Survey (NDNS) rolling programme years 1-4 (2008/12) showed 37 % of  
62 respondents (age  $\geq 19$  y old, n=3450) reported eating whole apples (with or without skin)  
63 during a 4 day period; median intake in consumers was 38 g/day (IQR 36) (approximately  
64 equivalent to consuming 2-3 apples per week) [19]. Apples contain a complex profile of  
65 polyphenols; quantitatively (by weight), the most representative are hydroxycinnamic acids,  
66 flavanols/procyanidins, flavonols and dihydrochalcones [20].

67  
68 Growing evidence using apple juices and extracts suggests constituents of apples inhibit the  
69 rate of glucose absorption in the intestine [21–23]. Apple polyphenols may inhibit glucose  
70 absorption by inhibiting intestinal enzymes  $\alpha$ -amylases and  $\alpha$ -glucosidases [24–26], slowing  
71 down the breakdown of starch and sucrose, and by inhibiting the intestinal glucose  
72 transporters, SGLT1 and GLUT2 [22,27]. A considerable body of evidence has highlighted  
73 the mechanistic importance of the dihydrochalcone polyphenol, phlorizin [22,27–29] which is  
74 found in uniquely high concentrations in apples [20]. Phlorizin is poorly absorbed in the small  
75 intestine; approximately 80 % of phlorizin is hydrolysed to phloretin prior to absorption [30].  
76 Phlorizin competitively inhibits the sodium-dependent glucose transporter SGLT1, which is

77 predominantly distributed in the intestine but also the bile duct, lung, heart and straight (S3  
78 segment) of the proximal tubules of the kidney. Renal SGLT1 is expressed to a lesser extent  
79 than SGLT2, which is distributed in the convoluted (S1 and S2 segments) of the renal  
80 proximal tubules, and is also inhibited by phlorizin [31–33]. Polyphenols may also interact  
81 with chemoreceptors in the stomach or duodenum, for example, bitter taste receptors [34,35],  
82 to trigger a delay in gastric emptying rate by an, as yet, unexplained mechanism such as vagal  
83 afferent signalling, gut hormone release, or direct inhibition of smooth muscle contractility  
84 via ion channels [34,36,37].

85 Our group recently reported that 1.8 g AE, containing approximately 1.2 g total phenolics,  
86 markedly reduced plasma glucose concentrations up to 30 min following a high starch and  
87 sucrose meal [23]. However, this level of intake of polyphenols would be difficult to achieve  
88 by consuming fresh apples alone, since this amount equates to over two thirds of average  
89 daily polyphenol intake in adults and roughly 4-6 average-sized eating apples [16–18]. The  
90 efficacy of lower doses that would be more feasible to use in the formulation of functional  
91 foods or beverages, in terms of overall organoleptic properties as well as cost, is unclear.  
92 Decreasing the rate of glucose absorption from carbohydrate in foods would lead to a more  
93 sustained delivery of glucose to the tissues which could be of benefit to individuals with  
94 insulin resistance, and also to endurance athletes who need a more prolonged glycemia  
95 without the reduction in the amount of available carbohydrate and demands on digestive  
96 processes that might occur following whole-food, high-fibre foods. The present study tests the  
97 hypothesis that drinks containing phlorizin-rich AE will dose-dependently decrease the rate of  
98 glucose absorption, assessed by measuring early-phase postprandial glucose concentrations  
99 (incremental area under the curve (iAUC) 0-30 min) as the primary outcome variable,  
100 following a high-starch/high sucrose meal. The primary outcome was iAUC (0-30 min),  
101 intended to capture the time period when the rate of intestinal glucose absorption is the main

102 determinant of plasma glucose concentrations and the rate of liver glucose uptake on first pass  
103 metabolism is not yet a major factor. After 30-45 min (the approximate time of peak  
104 glycemia) blood glucose concentrations also reflect other factors that affect the rate of  
105 disappearance, primarily the amount of insulin secreted, the degree of muscle and adipose  
106 tissue insulin sensitivity, and the level of suppression of hepatic glucose output  
107 postprandially. Secondary *in vivo* outcomes include: total glycaemic response (iAUC 0-120); a  
108 prolonged period of glycaemic monitoring (iAUC 0-240 min); peak glucose concentrations  
109 ( $C_{max}$ ); time of peak glucose concentrations ( $T_{max}$ ); postprandial parameters of insulin  
110 secretion (insulin, C-peptide); postprandial incretin response indicated by glucose-dependent  
111 insulinotropic polypeptide (GIP); novel data on postprandial apple polyphenol metabolites;  
112 gastric emptying rates by the acetaminophen absorption test in a sub-group; 24 h renal  
113 glucose output as an indicator of phlorizin-induced inhibition of renal glucose reabsorption.  
114 To identify potential underpinning mechanisms of action that exist *in vivo*, the capacity of the  
115 same AE to inhibit glucose transport was studied using Caco-2/TC7 cells as an *in vitro* model  
116 of the human enterocyte.

117

## 118 **2. Materials and Methods**

### 119 **2.1 Human study**

#### 120 **2.1.1 Participants**

121 Ethical approval was received from King's College London (KCL) ethics committee (REC  
122 reference: BDM 16/17-3762). The trial was carried out in accordance with the principles  
123 outlined in the Declaration of Helsinki of 1975 as revised in 2013 and registered at  
124 ClinicalTrials.gov (NCT02940249). Healthy participants were recruited from KCL and the  
125 general public in London and surrounding counties. An advertisement was placed in the  
126 London Metro/Evening Standard, emails circulated within KCL, postings on social

127 networking websites, and poster advertising at KCL. Using data from our previous study [23],  
128 it was calculated that a sample size of 30 subjects has 80 % power to detect a difference  
129 between average mean iAUC values (0-30 min) of 10 mmol glucose /L.min between test  
130 drinks with a significance level of  $\alpha=0.01$  (two-tailed), calculated from a 16 mmol/L.min  
131 standard deviation (SD) of the mean difference (Castro-Acosta et al., 2017). The previous  
132 study by our group [23] found a mean difference between 1.8 g AE and control (no AE) of 25  
133 mmol glucose/L.min; our study was statistically powered to detect any differences following  
134 lower doses that are 40 % of effect size. For the acetaminophen sub-group, a sample size of 6  
135 had 80 % power to detect a difference between the  $C_{max}$  of test drinks of 0.054 mmol/L with a  
136 significance level of  $\alpha=0.05$  (two-tailed), calculated from 0.048 mmol/L SD and correlation  
137 between paired observations of 0.6.

138  
139 Inclusion criteria were: healthy men and women aged 18-70 y; BMI 18-35 kg/m<sup>2</sup>; able to  
140 understand the information sheet; willing to comply with study protocol; able to give  
141 informed written consent. Exclusion criteria were: phenylketonuria; allergy, hypersensitivity  
142 or intolerance to any foods/food ingredients and/or acetaminophen; participation in another  
143 clinical trial; those with full blood counts and liver function tests outside of the normal range;  
144 current smokers or those who gave up smoking within the last 6 months; reported history of  
145 cardiovascular disease, cancer, liver, kidney or bowel disease; fasting glucose  $\geq 7.1$  mmol/L or  
146 uncontrolled T2D; presence of gastrointestinal disorder or use of drug which is likely to alter  
147 gastrointestinal function; history of substance abuse or alcoholism; unwilling to restrict  
148 consumption of specified high polyphenol foods for 48 h before the study; weight change  $>3$   
149 kg in preceding 2 months and body mass index  $<18$  or  $>35$  kg/m<sup>2</sup>; cholesterol  $\geq 7.5$  mmol/L;  
150 fasting TAG  $\geq 5$  mmol/L; blood pressure  $\geq 160/100$  mmHg; current use of medications that  
151 may interfere with the study such as  $\alpha$ -glucosidase inhibitors (e.g. acarbose), insulin-



152 sensitising drugs (e.g. metformin, thiazolidinediones), sulfonylureas, and lipid-lowering  
153 drugs; medications that may react with acetaminophen (e.g. ketoconazole, metoclopramide);  
154 current use of nutritional supplements that may interfere with the study such as higher dose  
155 vitamins/minerals (more than double the UK Reference Nutrient Intake (RNI)/US Daily  
156 Reference Intake (DRI)), B vitamins, Vitamin C, calcium, copper, chromium, iodine, iron,  
157 magnesium, manganese, phosphorus, potassium and zinc. Subjects already taking vitamin or  
158 minerals at a dose 100 % or less up to 200 % of the UK RNI, or evening primrose/algal/fish  
159 oil supplements were asked to maintain habitual intake patterns and advised not to stop taking  
160 or begin new supplements during the study.

161

162 Interested volunteers were provided with a participant information sheet. Respondents were  
163 initially interviewed over the telephone. Eligible participants were invited to a screening visit  
164 at the Metabolic Research Unit in the Diabetes & Nutritional Sciences Division, KCL.

165 Participants arrived following an overnight fast for measurement of body mass index (BMI:  
166 weight, kg / height, m<sup>2</sup>), waist and hip circumferences (mid-point between the lowest rib and  
167 iliac crest and widest gluteal girth, respectively), body fat percentage (Tanita™ Body  
168 Composition Analyser), supine blood pressure, liver function tests, hematology, plasma  
169 glucose and lipid profile.

170

171 Subjects who met all inclusion and exclusion criteria were randomized according to the  
172 randomization schedule created using Research Randomizer software  
173 (<https://www.randomizer.org>). The allocation of treatment sequence was blinded from the  
174 investigators, technicians performing analysis of blood samples and participants by a  
175 laboratory technician. Investigators and participants remained blinded until completion of the  
176 study and data analysis.

177

178 **2.1.2 Study design**

179 A randomized, controlled, double-blind, cross-over design study was used to compare 4 test  
180 drinks consumed by participants in random order, at 4 separate study visits and with at least 7  
181 days wash-out between each visit. Test drinks consisted of a “no added sugar” fruit drink  
182 concentrate, diluted with water and with increasing doses of AE added, providing 81 kJ (19  
183 kcal), 4 g carbohydrate and <0.1 g protein, fat and fibre (**Table 1**). Drinks contained either no  
184 AE (CON), 1.8 g AE (HIGH), 1.35 g AE (MED) or 0.9 g AE (LOW). Test drinks were  
185 formulated by the researchers. The extract was dispersed in 40 ml of a very low-polyphenol  
186 double concentrate apple and blackcurrant squash (Robinson’s, United Kingdom) mixed with  
187 water. Sucrose (3 g) was added to disguise any difference in taste between drinks. Test drinks  
188 (200 ml) were matched for macronutrient and energy content; **Table 1** provides the  
189 polyphenol content of the test drinks. A gastric emptying sub-study was conducted (n=6),  
190 whereby 1.5 g crushed acetaminophen (Sainsbury’s Paracetamol Caplets) was dispersed into  
191 the drink. By measuring blood acetaminophen concentrations at sequential time points, the  
192 rate of absorption of acetaminophen from the duodenum is assumed to reflect the rate of  
193 gastric emptying.

194

195

196 **Table 1.** Polyphenol composition of the test drinks

Mg per 200 ml <sup>1</sup>	HIGH (SD)	MED	LOW	CON <sup>2</sup>	Molar %
Individual polyphenols <sup>3</sup>					
Flavonols					
Quercetin	7.4 (0.59)	5.5	3.7	N	3.1
Q-3-O-diglucoside	0.2 (0.01)	0.1	0.1	N	0.0
Q-3-O-Rhamnoside	24.7 (1.33)	18.5	12.3	N	7.0
Q-3-O-Glucoside	50.6 (2.27)	37.9	25.3	N	14.0
Dihydrochalcones					
Phlorizin (phloretin 2-O-β-glucoside)	142.9 (6.64)	107.2	71.5	N	41.9
Phloretin	1.3 (0.08)	0.9	0.6	N	0.6
Phenolic acids					
Caffeic acid	0.9 (0.09)	0.7	0.5	N	0.7
Chlorogenic acid	17.8 (0.99)	13.4	8.9	N	6.5
Cinnamic acid	0.0 (0.00)	0.0	0.0	N	0.0
Procyanidin oligomers <sup>4</sup>					
Dp2	17.2 (1.67)	12.9	8.6	N	3.8
Dp3	5.8 (0.37)	4.3	2.9	N	0.8
Dp4	4.9 (0.25)	3.7	2.5	N	0.5
Dp5	2.5 (0.20)	1.9	1.3	N	0.3
Dp6	1.7 (0.31)	1.3	0.8		0.1
Epicatechin	46.9 (3.25)	35.2	23.5	N	20.7
Sum of individual analysed polyphenols	324.7	243.6	162.4	-	
Total phenolics (catechin equivalents) <sup>5</sup>	936	702	468	<5	

197 HIGH; 1800 mg of apple extract, MED; 1350 mg of apple extract, LOW; 900 mg of apple  
 198 extract, CON; 0 mg of apple extract. SD; standard deviation. N; negligible.

199 <sup>1</sup> All drinks contained 80.6 kJ (19 kcal), 4.1 g carbohydrate (of which 4.1 g sugars, containing  
 200 3 g sucrose). Per gram apple extract contained: 5 kJ (1 kcal), 0.02 g protein, 0.06 g fat, 0.17  
 201 g carbohydrate, 0.01 g dietary fibre, 3 mg sodium, 0.2 mg chloride, 0.27 mg calcium, 0.04  
 202 mg iron. Analysed at King's College London, UK.

203 <sup>2</sup> Estimated from Hollands *et al.* [38] for apple and blackcurrant juices from concentrate.

204 <sup>3</sup> Estimated from analysis of raw extract by mass spectrophotometer and HPLC methods.

205 <sup>4</sup> Molecular weights estimated from Ye *et al.* [39].

206 <sup>5</sup> Estimated from analysis of raw extract by the Folin-Ciocalteu method, not by direct  
 207 analysis of the drinks.

208 All test drinks were dispensed into identical black opaque bottles and labelled with codes by a  
209 laboratory technician; study investigators and participants were blind to the contents in each  
210 bottle. Drinks were consumed through a straw within 2 minutes. Once drunk, all bottles were  
211 shaken with an additional 100 ml of water and swallowed to ensure all contents was  
212 consumed. The first mouthful of the test drink marked T+0 (time zero). The drink was  
213 immediately followed by consumption of a mixed high-carbohydrate meal consisting of 100 g  
214 of thick slice white bread (Hovis, London, UK) spread with 43 g of apricot jam (Hartley's,  
215 Hain Daniels Group, Leeds, UK). Both high-carbohydrate foods are low in phenolics (<6  
216 mg/100 g fresh weight). The meal was consumed within 5 minutes and provided 986 kJ (233  
217 kcal) containing 70.9 g carbohydrate (29.8 g sugars and 41.1 g starch). The drink and meal  
218 provided a total of 75 g carbohydrate and were consumed within 7 minutes.

219 For premenopausal female participants, in order to avoid any influence on outcomes of  
220 cyclical reproductive hormones, study visits were not scheduled on the week before and  
221 during menses (targeting the period between follicular and luteal phases). Before the first  
222 study visit, participants completed a 7-day food diary for subsequent analysis of baseline food  
223 (Nutritics 4.3) and polyphenol (Polyphenol Explorer and USDA Databases) intakes. Two  
224 days prior to each study visit, participants were asked to avoid certain high-polyphenol foods  
225 from a list provided (Appendix A). High-fat foods (from a list provided), caffeine and alcohol  
226 along with strenuous exercise were avoided 24 h before a study visit to limit potential effects  
227 on insulin sensitivity (Appendix A). Participants were asked to consume a standard low-fat  
228 meal the evening before each visit and arrived following a 12 hour fast.

229 Upon arrival, participants emptied their bladder, were weighed and then rested in a supine  
230 position for 10 minutes. Blood pressure was recorded in duplicate using a calibrated  
231 automated blood pressure monitor (Omron M3, Omron Healthcare Europe B.V). A venous  
232 cannula was inserted in a vein in the antecubital fossa or a forearm vein by a trained

233 phlebotomist. Baseline blood samples (T-5 min) for analysis of glucose, insulin, C-peptide,  
234 NEFA, acetaminophen and GIP were collected. Glucose baseline samples were taken in  
235 duplicate (at T -10 and -5 min). The drink and test meal were consumed at T+0 min. Blood  
236 samples were taken at frequent intervals up to 4 h post-test meal (**Figure 1**). Participants were  
237 kept hydrated with water (100 ml/hour). Twenty-four hour urine samples were collected (over  
238 2 g boric acid as a preservative), and fractionated into different collection periods of T+ 0-2.5  
239 h, 2.5-5h, 5-12 h and 12-24 h. Collection containers were kept in opaque cool bags until  
240 sampled. **Figure 1** outlines the study visit protocol.

### 241 **2.1.3. Apple extract composition**

242 Powdered AE (Appl'In™ by DIANA Food Ltd, Antrain, France) was produced from the  
243 juice, flesh, seeds, skin and core of cider apples, with the aim of ensuring a higher phlorizin  
244 content (>5% w/w) than if the extract was derived from the juice and pulp alone. The doses of  
245 AE used in this trial was determined by matching the total amount provided in the HIGH  
246 treatment with that used in the previous study by Castro-Acosta *et al.*[23] with a 2-fold  
247 reduction for the lowest dose. **Table 1** outlines the full details of the AE polyphenol  
248 composition.

249

### 250 **2.1.4 Blood sample analysis**

251 Blood samples were collected at T+ 10, 20, 30, 45, 60, 75, 90, 120, 150, 180, 240 min into:  
252 fluoride/oxalate tubes (BD Vacutainer® Cat No. 368921) for glucose analysis; SST™ serum  
253 tubes (BD Vacutainer® Cat No. 367956; 367954; 366882) for insulin, C-peptide, polyphenols  
254 (T+ 120, 240 min only), acetaminophen, and NEFA analysis; and at T+ 30, 60, 90, 120, 180,  
255 240 min into K2 EDTA tubes for GIP analysis (BD Vacutainer® Cat No. 367838). All  
256 samples were centrifuged at 1300 g, 4 °C for 15 min and plasma/serum aliquots were stored at  
257 -80 °C until biochemical analysis. Enzymatic assays on ILab 650 chemistry analyser

258 (Instrumentation Laboratory™, Werfen Company, UK) were used to analyse glucose (Werfen  
259 Cat No. 00018250840) and NEFA (Randox Cat No. FA115). Insulin, C-peptide, (Siemens  
260 Healthcare Diagnostics Ltd, Frimley, Surrey, UK) and GIP concentrations (Merck Millipore  
261 Corporation MA., USA) were analysed by ELISA. Acetaminophen concentrations were  
262 measured colorimetrically (Randox Laboratories Ltd., London, UK).

263

#### 264 **2.1.5. Serum polyphenol metabolites analysis**

265 The serum polyphenol metabolites of 10 randomly selected participants were analysed.

266 Taxifolin internal standard added (10µl of 1 mg/ml solution in methanol) was added to 250 µl  
267 serum sample. Three volumes (750 µl) of methanol was added and the sample agitated for 10  
268 minutes at room temperature. After 2 min, the sample was centrifuged for 10 min at 15000  
269 rpm. The supernatant (400 µl) was removed and filtered (0.2 µm) into an autosampler vial to  
270 be passed for LC-MS analysis. LC-MS analysis used targeted MRM detection for native  
271 compounds and their associated sulphate and glucuronide conjugates. Standards included  
272 phloretin, phlorizin, epicatechin, quercetin, isorhamnetin, chlorogenic acid, caffeic acid,  
273 ferulic acid and trans-cinnamic acid and were purchased from Sigma-Aldrich. Standards of  
274 quercetin 3-O-glucuronide, quercetin-3-O-sulfate and isorhamnetin-3-O-glucuronide were  
275 synthesised in-house (Quadram Institute Bioscience). MRM tracking of parent sulphates and  
276 glucuronides of phlorizin, phloretin, isorhamnetin and epicatechin (and methylated  
277 derivatives) were achieved by calculating the addition of mass of a sulphate, glucuronide  
278 and/or methyl group to the native compound. Standards were prepared using blank serum  
279 over a range of 100 to 25000 nM alongside the samples. LC-MS was performed using an  
280 Agilent 1290 UPLC coupled to a 6490 triple quadrupole mass spectrometer operated in  
281 electrospray mode. Chromatographic separation was achieved using a Waters HSS T3 100 x  
282 2.1mm, 1.7µm column at 35°C. Flow rate was 400 µl/min and injection volume was 2 µl. The

283 binary gradient used solvent A (Water + 0.1% v/v formic acid) and solvent B (Acetonitrile +  
284 0.1% v/v formic acid) with a gradient of 25% B at injection to 0.3 min, 30% B at 2 min, then  
285 95% B at 8 min before returning to initial conditions for 3 min with an overall run time of 11  
286 min.

287

## 288 **2.1.6. Urine sample analysis**

289 Urine samples were collected over 0.2 g, 0.2 g, 0.6 g and 1 g boric acid (Sigma-Aldrich) for  
290 collection periods 1 (0-2.5 h), 2 (2.5-5 h), 3 (5-12 h) and 4 (12-24 h), respectively. Urine  
291 volumes were measured and all samples were centrifuged at 350 g, 4 °C for 15 min and  
292 supernatant stored at -80 °C until analysis. Urinary glucose and creatinine concentrations  
293 were analysed on ILab 650 chemistry analyser (Instrumentation Laboratory, Warrington, UK)  
294 using enzymatic assays (Werfen cat no. 00018250840 and 00018255540, respectively.).

295

## 296 **2.2. *In vitro* studies**

### 297 **2.2.1. Caco-2 cells**

298 The human intestinal Caco-2 cell line (TC7 subclone) was cultured as previously described  
299 (<sup>21</sup>). Cells were cultured at 37 °C in a humidified incubator (BIOHIT, HealthCare, UK) in a  
300 5% CO<sub>2</sub>-95% air atmosphere in high-D-glucose (25 mM) with glutamine Dulbecco's  
301 modified Eagle's medium (DMEM, Sigma-Aldrich), containing 10% fetal bovine serum  
302 (Sigma-Aldrich), 50 units penicillin and 50 µg streptomycin (Sigma-Aldrich), 0.1 mM  
303 MEM non-essential amino acids (Life Technologies), additional 2 mM L-Glutamine (Life  
304 Technologies) and 5 µg/ml Plasmocin (InvivoGen). For glucose transport assays using Caco-  
305 2 monolayers, Krebs buffer solution (KBS) containing 30 mM HEPES (Sigma Aldrich), 130  
306 mM NaCl, 4 mM KH<sub>2</sub>PO<sub>4</sub>, 1 mM MgSO<sub>4</sub>·7H<sub>2</sub>O, 1 mM CaCl<sub>2</sub>, dH<sub>2</sub>O, and adjusted pH 7.4,  
307 was used as wash media. KBS supplemented with 0.2% bovine serum albumin (Sigma

308 Aldrich) was used as pre-incubation and uptake media. Uptake media contained 10 mM D-  
309 glucose (BDH Laboratory Supplies) or 10 mM L-glucose (Santa Cruz Biotechnology) and 0.1  
310  $\mu\text{Ci/ml}$  Glucose D-[14C(U)] or 0.1  $\mu\text{Ci/ml}$  Glucose L-[1-14C] (Perkin Elmer) as tracer. Times  
311 for pre-incubation and uptake in all experiments were 15 and 10 min, respectively. Cells were  
312 seeded at 8000 cell/cm<sup>2</sup> density in 24-well plates and cultured for 21 d; cells were used  
313 between passages 45–53 in all experiments. Before uptake started, DMEM was removed and  
314 cells were washed once with room temperature KBS. Cells were pre-incubated for 15 min  
315 with pre-incubation media; uptake was initiated by replacing pre-incubation media with  
316 uptake media. Uptake media contained, except for controls, increasing concentrations of the  
317 same AE used in the dietary intervention trial at concentrations in the physiological range  
318 estimated to be present in the small intestine after ingestion of the test drinks in human studies  
319 (Minekus et al., 2014) allowing for dilution by gastrointestinal fluids, in addition to higher  
320 and lower concentrations (concentration range 0.28–4.5 mg AE/ml). The AE was dissolved in  
321 KBS and filtered through 0.45  $\mu\text{m}$  syringe filter before it was added to uptake media. After 10  
322 min the uptake media was aspirated and the transport process was stopped by washing each  
323 well 3 times with ice cold KBS, cells were then processed for radioactivity count on a Liquid  
324 Scintillation Counter (Beckman Coulter, LS6500).

325

### 326 **2.3. Statistical analysis**

327 Incremental AUC was calculated by subtracting baseline values from all subsequent time-  
328 point values [40]. Statistical analysis was performed using Statistical Package for the Social  
329 Sciences (SPSS) v.22 (IBM, UK). Natural logarithmic transformation was used where data  
330 were not normally distributed. Each iAUC,  $C_{\text{max}}$  and main effects of drink and drink  $\times$  time  
331 interactions for the change from baseline at each time point were analysed with linear mixed  
332 effect modelling for each analyte. The models included subject as a factor (a random effect)



333 and fixed factors were drink (and time and drink  $\times$  time interaction where appropriate) and  
334 study period. Baseline values (mean of -10 and -5 min values for plasma glucose  
335 concentrations) were used as a covariate and Bonferroni post hoc test was selected for  
336 identifying significance between two treatments. However, Dunnett's post hoc procedure was  
337 used for pairwise comparisons of treatment doses against Control in GraphPad Prism version  
338 7.00 (GraphPad software, CA, USA) for drink and drink  $\times$  time effects on change from  
339 baseline data (since SPSS does not provide Dunnett's multiple testing adjustment in the linear  
340 mixed model facility with repeated measures). The assumption of normality and homogeneity  
341 of variance was investigated. Differences in  $T_{\max}$  and polyphenol metabolites between  
342 treatments were analysed by Friedman's non-parametric test with Wilcoxon post hoc test.  
343 Baseline HOMA-IR (fasting insulin (microU/L)  $\times$  fasting glucose (nmol/L)/22.5) and R-  
344 QUICKI ( $1/(\log \text{ glucose (mg/dL)} + \log \text{ Insulin } (\mu\text{U/mL}) + \log \text{ NEFA (mmol/L)})$ ) were  
345 calculated from mean fasting values over the four study visits. All data are represented as  
346 mean  $\pm$  95 % confidence intervals (CIs) or standard error of the mean (SEM). *In vitro* data  
347 were analysed using the software GraphPad Prism 7 (GraphPad software, CA, USA). Data  
348 were analysed by one-way analysis of variance with Dunnett's multiple comparison post hoc  
349 test and IC50 was estimated using SigmaPlot 14 for Windows (Systat Software Inc. CA.  
350 USA).

### 351 **3. Results**

#### 352 **3.1. Human study**

353 A total of 64 healthy men and women aged 18 to 68 years attended screening sessions; 55 met  
354 all inclusion criteria. Of the 34 participants randomized to treatment, 30 completed the study.  
355 All completing participants were fully compliant with the study protocol. Details of flow of  
356 participants through study stages are shown in a Consort diagram (**Figure 2**). Baseline  
357 characteristics of participants who completed the study are shown in **Table 2**.

358

359 **Table 2.** Baseline characteristics of the study population

Variable <sup>1,2</sup>	
Age (y)	33.9 (14.5); 18-68
Males (n=11)	29.6 (11.8); 18-52
Females (premenopausal; n=13)	27.2 (7.7); 18-43
Females (postmenopausal; n=6)	56.2 (7.1); 46-68
Sex (male to female ratio)	11:19
Body Mass Index (kg/m <sup>2</sup> )	22.3 (3.0); 18.3-30.2
Systolic blood pressure (mmHg)	112.9 (13.4); 93-138
Diastolic blood pressure (mmHg)	72.4 (9.2); 58-96
Waist circumference (cm)	
Males	86.9 (9.0); 77.5-10.1
Females (premenopausal)	74.5 (7.5); 66.5-88
Females (postmenopausal)	80.6 (10.5); 68-94
Body fat (%)	
Males	17.8 (5.4); 11.2-28
Females (premenopausal)	25.6 (5.7); 17.2-37.5
Females (postmenopausal)	32.4 (6.1); 22.5-39.5
Fasting plasma glucose (mmol/L) <sup>3</sup>	4.9 (0.35); 4.2-5.7
Fasting plasma triacylglycerol (mmol/L) <sup>4</sup>	0.8 (0.4); 0.4-2.2
Fasting plasma total cholesterol (mmol/L) <sup>5</sup>	4.7 (1.0); 3.2-6.7
HOMA-IR <sup>6</sup>	1.2 (0.5); 0.4-2.4
R-QUICKI <sup>6</sup>	0.12 (0.003); 0.11-0.13
Total:HDL cholesterol <sup>7</sup>	3.0 (0.8); 1.8-4.6
Total energy intake (kJ/day, kcal/d) <sup>8</sup>	7360 (1278), 1759 (413); 4778-13464, 1142-3218
Total polyphenol intake (mg/d) <sup>8</sup>	755 (491); 115-1763

360

361 <sup>1</sup>Values are means (standard deviation); **minimum-maximum**. N=30.362 <sup>2</sup>Women aged 45 y or older who reported not having had a period for 12 months or longer  
363 were defined as postmenopausal.364 <sup>3</sup>Values are: 5.1 (0.3), 4.7 (0.3), 5.0 (0.4) mmol/L for males, premenopausal females and  
365 postmenopausal females, respectively.366 <sup>4</sup>Values are: 1.2 (0.5), 0.6 (0.1), 0.8 (0.2) mmol/L for males, premenopausal females and  
367 postmenopausal females, respectively.

368 <sup>5</sup>Values are: 4.6 (1.0), 4.3 (0.7), 5.6 (1.1) mmol/L for males, premenopausal females and  
369 postmenopausal females, respectively.

370 <sup>6</sup>Values are means from baseline glucose, insulin and NEFA concentrations over 4 study  
371 visits.

372 <sup>7</sup>Values are: 3.6 (0.8), 2.5 (0.5), 2.9 (0.6) for males, premenopausal females and  
373 postmenopausal females, respectively.

374 <sup>8</sup>Calculated from 7-day food diary completed before first study visit.

375

### 376 **3.1.1. Postprandial glycemia**

377 A significant treatment x time effect ( $P < 0.0001$ ; **Figure 3A**) was observed for plasma  
378 glucose concentrations 0-240 min; Dunnett's post hoc comparison showed significantly lower  
379 glucose concentrations following all AE doses (HIGH, MED, LOW) compared with CON at  
380 20 and 30 min post-drink (**Figure 3A**). All AE doses (HIGH, MED, LOW) significantly  
381 lowered plasma glucose concentrations in the early postprandial period (0-30 min) compared  
382 with CON (iAUC 0-30 min  $P < 0.00001$ ; **Supplementary Table 1; Figure 3B**) but no  
383 differences were observed over longer postprandial periods (iAUC0-120 min and iAUC0-240  
384 min). There were significantly higher glucose concentrations following MED dose compared  
385 with CON at 45 min, and at 60 min there were significantly higher glucose concentrations  
386 following all AE doses (**Figure 3A**). The time of peak concentration was delayed following  
387 all doses ( $T_{\max}$  45 min) relative to CON ( $T_{\max}$  30 min) ( $P = 0.0356$ ). None of the AE doses  
388 lowered maximal plasma glucose concentration ( $C_{\max}$ ; **Supplementary Table 1**).

### 389 **3.1.2. Postprandial insulinemia and incretin secretion**

390 All AE drinks significantly lowered postprandial insulin concentrations compared  
391 with CON in the early postprandial period (iAUC 0-30 min; **Figure 4A** and  
392 **Supplementary Table 1**). HIGH and MED drinks significantly lowered early  
393 postprandial C-peptide concentrations (iAUC 0-30 min) compared to CON and there  
394 was a trend towards decreased iAUC0-30 min concentrations with the LOW v CON  
395 drinks ( $P = 0.054$ ), as shown in **Figure 4B** and **Supplementary Table 1**. Significant

396 treatment x time effects ( $P = 0.001$ ) were observed for insulin and C-peptide concentrations  
397 0-240 min. Dunnett's post hoc test analysis on change from baseline data showed  
398 significantly lower insulin and C-peptide responses following all AE doses compared with  
399 CON at 20 min (Insulin: HIGH, MED  $P = 0.0001$ ; LOW  $P = 0.0006$ ; C-peptide: HIGH  $P =$   
400  $0.0001$ ; MED  $P = 0.0002$ ; LOW  $P = 0.02$ ) and 30 min (Insulin all  $P = 0.0001$ ; C-peptide all  $P$   
401  $= 0.0001$ ) post-drink (**Figure 4**). The ratios of insulin and C-peptide iAUC 0-30 min: iAUC  
402 30-90 min were significantly lower for all AE drinks compared to CON ( $P < 0.00001$ ). The  
403 time of peak insulin concentration was delayed following all doses ( $T_{\max}$  45 min) relative to  
404 CON ( $T_{\max}$  30 min) ( $P = 0.0001$ ). Maximum insulin and C-peptide concentrations ( $C_{\max}$ ),  
405 iAUC 0-120 min and iAUC 0-240 min did not differ between drinks (**Supplementary Table**  
406 **1**).

407

408 The HIGH drink significantly lowered GIP concentrations compared with CON in the early  
409 postprandial period (iAUC 0-30 min  $P = 0.018$ ; **Figure 4C**; **Supplementary Table 1**). A  
410 treatment x time effect was observed over 240 min ( $P = 0.037$ ) and Dunnett's post hoc  
411 pairwise comparison procedure showed the HIGH and MED drinks produced significantly  
412 lower GIP concentrations at 30 and 60 min post-meal compared with CON (**Figure 4C**), but  
413  $C_{\max}$  or  $T_{\max}$  were not significantly different (**Supplementary Table 1**). There was no effect  
414 of drink on plasma NEFA concentrations (**Supplementary Figure 1**).

415

### 416 **3.1.3. Gastric emptying rate by acetaminophen test**

417 There was no effect of drink on acetaminophen concentrations (**Figure 4D**; **Supplementary**  
418 **Table 1**). Tests drinks did not produce differences in iAUC 0-30, 0-120, 0-240 min  
419 acetaminophen concentrations and there was no treatment x time interaction observed. The  
420  $C_{\max}$  and  $T_{\max}$  concentrations were the same for CON and all test drinks.

421

422 **3.1.4. Postprandial serum polyphenol metabolites**

423 Five compounds were detected in serum: a phloretin glucuronide, a phloretin sulphate, an  
424 epicatechin sulphate, quercetin 3-O-glucuronide and quercetin-3-O-sulfate (**Figure 5**;  
425 **Supplementary Figures 2, 3**). All other target compounds were not detected or were below  
426 the 100 nM threshold of detection. We anticipated the presence of (epi)-catechin glucuronides  
427 in serum samples, but these were not detected, and in the absence of authentic standards of  
428 epicatechin-3'-O-glucuronide and 4'-O-glucuronide we did not explore this further.

429 Significant dose-response treatment effects were observed for all detected metabolites. All  
430 polyphenol metabolites were detected at higher concentrations at 120 min compared to 240  
431 min, and were highly variable, with medians (IQR) after consumption of the HIGH drink of:  
432 epicatechin sulfate 3172 nmol/L (2022), total phloretin 2871 nmol/L (1413) and total  
433 quercetin 1313 nmol/L (1480). It is typical to see high inter-individual variation in the  
434 appearance of polyphenol conjugates in human serum [37, 62]. **Figure 5** shows total  
435 phloretin, total quercetin and epicatechin-sulphate plasma concentrations; at 120 min  
436 phloretin glucuronide contributed 97 % to total phloretin (**Supplementary Figure 2**) whilst  
437 quercetin-3-O-sulfate accounted for 98 % of total quercetin measured (**Supplementary**  
438 **Figure 3**).

439

#### 440 **3.1.5. Urinary Glucose**

441 There was no significant effect of treatment on total 24 h renal glucose output, nor during  
442 defined time periods over the 24 h period, as outlined in **Figure 6** (and **Supplementary**  
443 **Table 2**).

444

## 445 3.2. Caco-2 Cells

### 446 3.2.1. Caco 2 results

447 Dose-response assays in the presence of different concentrations of AE showed a significant  
448 inhibition of total glucose uptake down to a concentration of 1.12 mg AE per ml of uptake  
449 media ( $P < 0.05$ ; **Figure 7**). The concentration of AE necessary to inhibit total glucose uptake  
450 by half (IC<sub>50</sub>) relative to control (no AE) was 1.19 ( $\pm 0.35$ ) mg/ml. Doses that were  
451 estimated to correspond to physiological doses in the human study, HIGH (1.8 g AE in the  
452 200 ml drink, 1.12 mg AE/ml) and LOW (0.9 g AE in the 200 ml drink, 0.56 mg AE/ml),  
453 inhibited total glucose uptake by 48 % and 30 %, respectively.

454

## 455 4. Discussion

456

457 This study aimed to establish the minimum dose of a polyphenol-rich AE delivered in a fruit  
458 drink that could significantly inhibit the rate of glucose absorption following a high-  
459 carbohydrate meal in a representative healthy population. The predominant polyphenols in  
460 the AE were the dihydrochalcone, phlorizin, followed by flavonoids such as quercetin and  
461 epicatechin. Based on published literature, phlorizin is expected to lower the rate of intestinal  
462 glucose absorption by inhibition of SGLT1 [22], phloretin and quercetin are expected to  
463 inhibit GLUT2 [41], and apple procyanidins are likely to inhibit digestive enzyme activity  
464 (e.g. pancreatic  $\alpha$ -amylase and disaccharidases) [25,26]. In agreement with the hypothesis, all  
465 AE doses inhibited the increase in postprandial glucose, insulin, C-peptide and GIP  
466 concentrations in the first 30 minutes (iAUC 0-30 min; **Figures 3, 4; Supplementary Table**  
467 **1**), clearly indicating a reduced rate of intestinal glucose absorption, with lower incretin and  
468 insulin responses in the early postprandial phase as a result. The delayed  $T_{max}$  and relatively  
469 higher plasma glucose concentrations from 45-60 min demonstrates that digestion/intestinal

470 absorption of starch and sucrose was deferred but not slowed, since there were no differences  
471 in  $C_{\max}$ , nor total glycemic response.

472

473 A limited number of human studies [22,28,29] have shown that consuming polyphenol-rich  
474 AE alongside a sugary drink (either glucose only or mixed sugars) can attenuate early  
475 postprandial glucose response. One of these showed that ingestion of 2.8 g AE  
476 (approximately 1200 mg polyphenols) reduced the iAUC within the first 45 minutes  
477 following an oral glucose tolerance test (OGTT) relative to control [22]. It is relevant to note  
478 that intervention studies in this area have used glucose or high-glucose (glucose, sucrose and  
479 fructose) drinks for the carbohydrate challenge, which overlooks the potential inhibitory  
480 effects of apple polyphenols on digestive enzymes that break down starch and sucrose, the  
481 main forms of dietary carbohydrate in terms of contribution to energy intakes. We previously  
482 demonstrated that 1.8 g AE, consumed immediately prior to a mixed starch and sucrose meal,  
483 lowered  $C_{\max}$  and inhibited the average iAUC (0-30 min) by 54 %, relative to matched  
484 placebo [23]. The present study has extended this finding by demonstrating a 34 % reduction  
485 in iAUC (0-30 min) at half this dose. Given that the lowest AE dose of total polyphenols was  
486 equivalent to consuming approximately 1-2 whole eating apples this amount could be  
487 achievable on a regular basis for most individuals. However, whole apples do not contain  
488 such a high proportion of phlorizin and it would require consumption of 14 apples to  
489 consume the amount of phlorizin provided by the lowest AE dose [42,43]. Furthermore,  
490 whole apples contain the soluble fibre pectin so direct comparisons of amounts of total  
491 polyphenols delivered are not very meaningful.

492

493 None of the doses exerted any effect on total glycemic responses over 2 or 4 h. The similarity  
494 in the magnitude of total postprandial glycemia between AE doses and control drinks despite

495 early phase reductions is explained by the higher glucose concentrations at 45-60 min  
496 following AE. This was not offset by a proportionate increase in insulin secretion at 45-60  
497 min, as evidenced by the lack of significant difference in C-peptide concentrations between  
498 treatments. Previous research has shown that GIP secretion is dose-dependently related to the  
499 rate of duodenal glucose perfusion [44], and may be a more sensitive indicator of glucose  
500 absorption rates than plasma glucose concentrations [45], which are the sum effect of  
501 absorption, tissue uptake and hepatic output. Previous studies have consistently shown that  
502 GIP is reduced by polyphenol consumption during a carbohydrate challenge [23,28,46,47].  
503 Hence, lower plasma GIP concentrations 30-60 min may be linked to the lack of  
504 augmentation in insulin secretion (C-peptide concentrations) in response to later peak glucose  
505 concentrations after AE treatment. Despite the lack of effect of the AE on total glycemic  
506 response (0-2 h and 0-4 h), the slower rate of glucose absorption and consequently insulin  
507 concentrations in the early postprandial phase could suggest a potential physiological benefit  
508 in at-risk individuals such as prediabetecs, due to a reduced first-phase insulin secretory  
509 demand on beta-cells. However, this would need to be confirmed by future robust RCTs.  
510  
511 This study was not designed to investigate potential effects of polyphenols on beta cell  
512 function, but it is worth noting that there is another plausible mechanism whereby AE might  
513 have acute effects on insulin secretory responses, other than directly through reducing the  
514 rate of intestinal glucose absorption. Phlorizin is mostly hydrolysed to its aglycone form,  
515 phloretin, in the intestinal lumen, which is partially absorbed along with phloretin conjugates  
516 [48–50]. Our bioavailability data showed that after consumption of the AE drinks there were  
517 circulating concentrations of phloretin glucuronide and phloretin sulphate, but no detection of  
518 phlorizin. Phloretin, at non-physiological doses (24-40  $\mu$ M), inhibits GLUT transporters that  
519 mediate glucose transport into pancreatic  $\beta$ -cells *in vitro*, and reduces glucose-dependent



520 insulin secretion [51]. However, in the current study, if there were any inhibitory effects of  
521 circulating phloretin metabolites (maximum serum concentration was ~6  $\mu\text{mol/L}$  total  
522 phloretin) on GLUT-mediated glucose transport, then they were clearly minor effects,  
523 without any clinically meaningful effect on either circulating insulin concentrations, nor  
524 systemic release of reabsorbed glucose in the kidney as discussed further on.

525 The lack of inhibitory effect of the HIGH AE dose on glucose  $C_{\text{max}}$  was unexpected as this  
526 contradicts our previous findings at an equivalent dose [23]. Although the age range was  
527 similar between these RCTs, premenopausal women were included in the current study but  
528 not the previous one [22], which may partially account for this inconsistency since  
529 premenopausal women have a greater degree of insulin sensitivity than similar aged men [52]  
530 and postmenopausal women [53]. The AE administered in the previous study was from a  
531 batch derived from the same geographical sources and technology, although there may be  
532 differences in composition due to seasonal variations.  $C_{\text{max}}$  is of relevance for the health  
533 effects of postprandial glycemic response as frequent large swings in glucose levels,  
534 oscillating from high peaks to low nadirs, may be deleterious to vascular and pancreatic beta-  
535 cell function leading to increased risk of T2D and cardiovascular disease [3,54–56], and risk  
536 of complications in T2D patients [57,58]. Marked upsurges in postprandial glucose  
537 concentrations, can increase oxidative stress in normoglycemic populations [59].  
538 Hyperglycemic induction of excessive oxidative stress is a key factor in the increased risk of  
539 disease progression [60], and risk of complications in T2D patients [57]. In this healthy  
540 cohort, all individual  $C_{\text{max}}$  results fall within the normal range ( $< 7.8 \text{ mmol/L}$ ; WHO, 2006),  
541 thus there was little scope for lowering  $C_{\text{max}}$  by acute dietary modification. These findings  
542 cannot be extrapolated to at-risk groups and it is important to repeat the current study design  
543 in a sample population with impaired glucose tolerance, in order to determine whether low  
544 doses of AE can reduce  $C_{\text{max}}$  if postprandial hyperglycemia is present.

545 Inhibition of carbohydrate digestive enzymes (e.g. alpha-amylase, alpha-glucosidase) and  
546 glucose transporters (e.g. SGLT1/GLUT2) are the most likely mechanisms to explain the  
547 glucoregulatory properties of fruit polyphenols. Our *in vitro* data supports the theory that the  
548 AE in the present human study may have exerted an inhibitory effect on small intestinal  
549 glucose transport, since the same AE dose-dependently inhibited total glucose uptake into  
550 Caco-2 cells, a well-established model of the human enterocyte. The IC<sub>50</sub> (i.e. the AE  
551 concentration necessary to inhibit total glucose uptake by half) was calculated to be 1.2  
552 mg/ml, demonstrating the inhibitory potency of the AE. This is approximately equivalent to  
553 the estimated physiological HIGH dose used in the human study which inhibited iAUC 0-30  
554 min plasma glucose by 58 % compared to CON. Furthermore, a dose corresponding to the  
555 estimated physiological LOW dose that lowered iAUC 0-30 min by 34% in the human study,  
556 inhibited total glucose uptake in Caco-2 cells by approximately 30 % relative to control. The  
557 similarity in the magnitude of inhibition suggests that modulation of glucose transporters are  
558 likely to be a key mechanism for the glucoregulatory effects of this apple extract. However,  
559 caution is needed when directly comparing the size of effect between an intestinal cell model  
560 and the intact human gastrointestinal tract, particularly as *in vivo* glucose has to be liberated  
561 from starch and sucrose by digestive enzymes, which can also be inhibited by polyphenols  
562 found in apples [26,61–64].

563

564 A further plausible mechanism to explain the glucoregulatory effects of apple polyphenols  
565 lies in the modulation of gastric motility. We have presented novel data that suggests that the  
566 effects of apple polyphenols on postprandial glycemia cannot be explained by delayed gastric  
567 emptying, since there were no differences in acetaminophen kinetics following the test drinks  
568 containing acetaminophen, a simple but effective gastric emptying test when using low-fat

569 meals in liquid form. However, more robust methodology using MRI or ultrasound  
570 technology is required to confirm these results.

571

572 Previously, Schulze *et al.* [22] reported that 2.8 g of apple extract containing 448 mg  
573 phlorizin increased urinary glucose excretion in the first 3 h after administration. This dose of  
574 phlorizin was just over 3 times higher than the amount administered in the HIGH dose in the  
575 current study. The limited bioavailability of phlorizin prevents its use therapeutically as an  
576 SGLT2 inhibitor drug for inhibiting renal glucose reabsorption and lowering blood glucose  
577 concentrations in the treatment of T2D [30]. We have provided original data on detectable  
578 apple polyphenol metabolites after the consumption of a cider apple-derived AE. The  
579 polyphenol profile of the AE was reflected in the metabolites detected in serum following  
580 consumption, although phlorizin and surprisingly epicatechin glucuronides were not detected  
581 as previously reported [22,65]. It is possible for a very small proportion of intact phlorizin to  
582 be absorbed through the intestine [30], and therefore consumption of high doses could lead to  
583 higher circulating concentrations which may potentially inhibit SGLT1 and SGLT2 in the  
584 proximal tubule [66,67]. Increases in circulating phloretin might also inhibit GLUT2-  
585 mediated glucose transport in the kidney. However, we have shown that doses of phlorizin up  
586 to 143 mg did not significantly increase urinary glucose excretion at any time over 24 h post-  
587 administration in our study population.

588

589 Strengths of this study include the robust trial design with strict adherence to double blinding  
590 along with the control drink being fully matched to the test drinks for taste, appearance and  
591 nutrient composition. The mixed-carbohydrate test meal allowed us to examine the effects of  
592 AE on commonly consumed high-glycemic foods in the diet, delivering doses of polyphenols  
593 that could be achievable through diet. Furthermore, the trial was carried out in a broad cross-

594 section of healthy men and women, including premenopausal females, and the results are  
595 therefore applicable to a large section of the general population. However, the disadvantage  
596 of selecting a broad sample population is that it introduces a greater degree of heterogeneity  
597 in glycemic responses to AE; a larger sample size would have allowed further analysis by  
598 sub-populations (e.g. age or sex) to explore determinants of inhibition of postprandial  
599 glycemia. A final strength of the study is that the baseline serum polyphenol metabolite data  
600 showed very good subject compliance with the low- polyphenol dietary advice prior to study  
601 days. We used a polyphenol-rich extract, as opposed to whole fruit, thereby avoiding  
602 confounding effects of other apple constituents such as pectin. However, this approach is  
603 limited by restricted translatability to real foods, i.e. when polyphenols are encapsulated  
604 within plant cell walls and consumed in combination with other bioactive components.  
605 Indeed, due to analytical constraints it is very difficult to quantify all components of fruit  
606 polyphenol extracts and there may be other bioactive components that were unaccounted for.  
607 Therefore, it is important to recognise that research needs to characterize the behaviour of  
608 polyphenols within the food matrix before we can extrapolate findings to whole fruits. In  
609 fact, the efficacy of polyphenol-rich extracts, such as the AE, when consumed as part of a  
610 regular mixed-macronutrient meal should also be investigated, as both fat and protein can  
611 delay gastric emptying and interact with other food constituents, which may influence the  
612 outcome.

613

614 In conclusion, a low dose of AE moderately delayed postprandial glucose absorption in a  
615 predominantly normoglycemic study population. However, there were no differences in  
616 maximal glucose concentrations nor the total glycemic response. Furthermore, it has been  
617 demonstrated that gastric emptying rate was unaffected by addition of polyphenols to a drink,  
618 and there were no significant effects on urinary glucose excretion. Since this study and

619 previous work has presented strong evidence that addition of polyphenols to a drink can  
620 delay the glycaemic response to a starch and sucrose meal, further clinical investigation trials  
621 are justified to determine whether low doses of AE can lower total postprandial glycaemia in  
622 populations with impaired glucose tolerance/prediabetes. Preventing sharp exaggerated  
623 glucose peaks via consumption of fruit polyphenols could help reduce progression to T2D  
624 and cardiovascular injury. Lastly, these results demonstrate that an apple extract has mild  
625 glucoregulatory properties, providing further support for dietary guidelines that encourage  
626 consumption of fruits and vegetables, alongside wholegrains, nuts and seeds as other rich  
627 sources of polyphenols and fibre. Since apples and pears contribute 4-12 % and 5% of total  
628 polyphenol intake in Europe [16] and USA populations [15] respectively, then the public  
629 health impact of encouraging apple consumption in at-risk populations could be significant.

630

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639

### 640 **Author contributions**

641 EJP was involved in the design of all experiments, conducted the clinical trial and in vitro  
642 research, collected and analysed data, performed the statistical analysis and wrote the  
643 manuscript. WLH was involved in the design of the clinical trial, participated in the

644 interpretation of data and writing and revision of the manuscript. CPC was involved in the  
645 design of in vitro experiments, analysis and provided writing advice. BA, BB, EL, PP, YH  
646 performed the clinical trial research, collected and analyzed data. PK and MP were  
647 responsible for polyphenol metabolite and extract polyphenol analysis and edited the  
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650

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658

### 659 **Conflict of interest**

660 None declared.

### 661 **Appendix A.**

662 Supplementary data.

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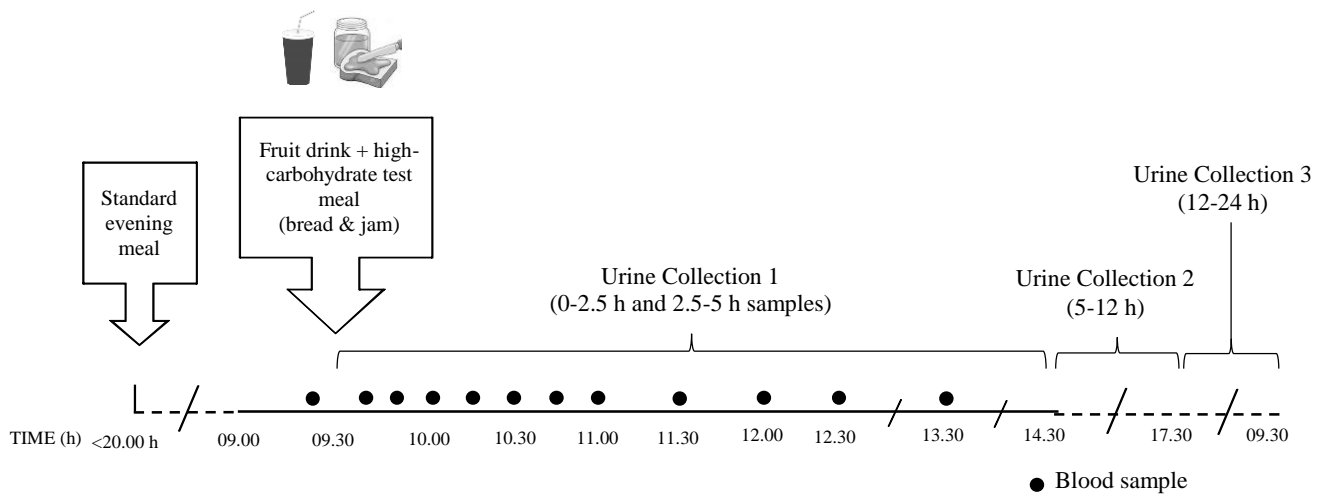
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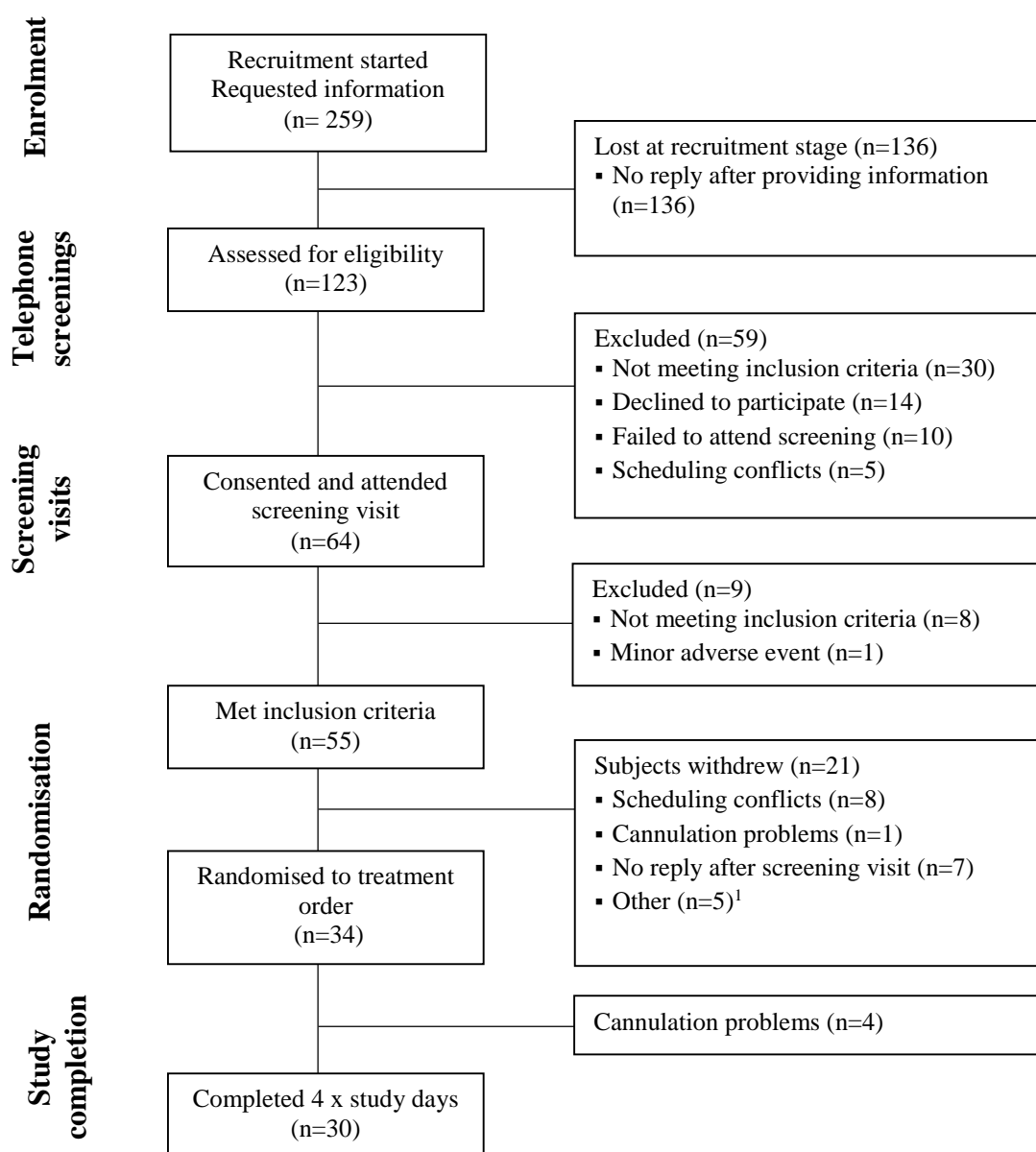
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Figure 1. Study visit protocol



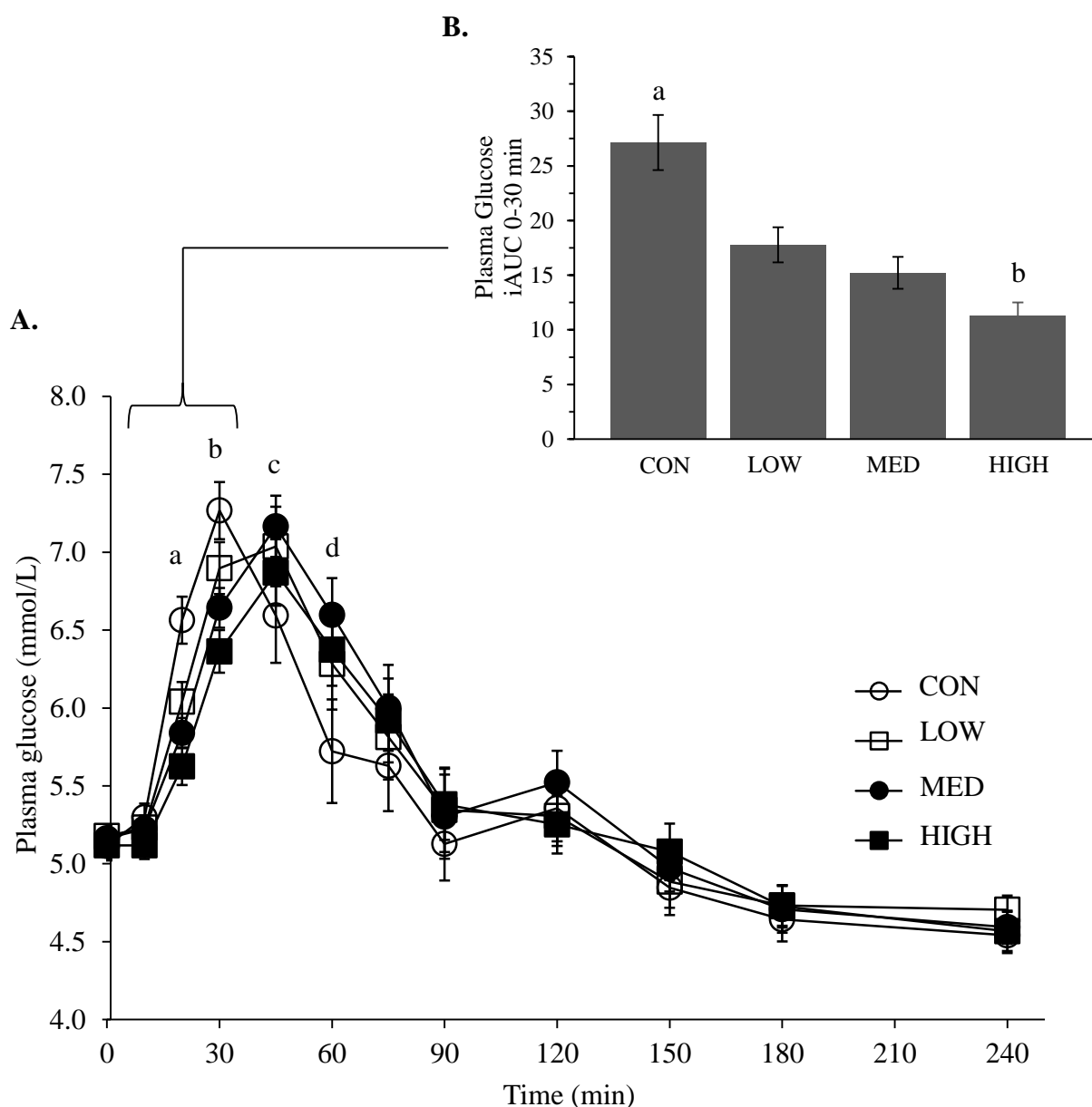
**Figure 1.** Study visit protocol.





**Figure 2.** Consort diagram.

<sup>1</sup>Failed to attend first visit (n=3); BMI fallen below inclusion criteria (n=1); insufficient remuneration (n=1).

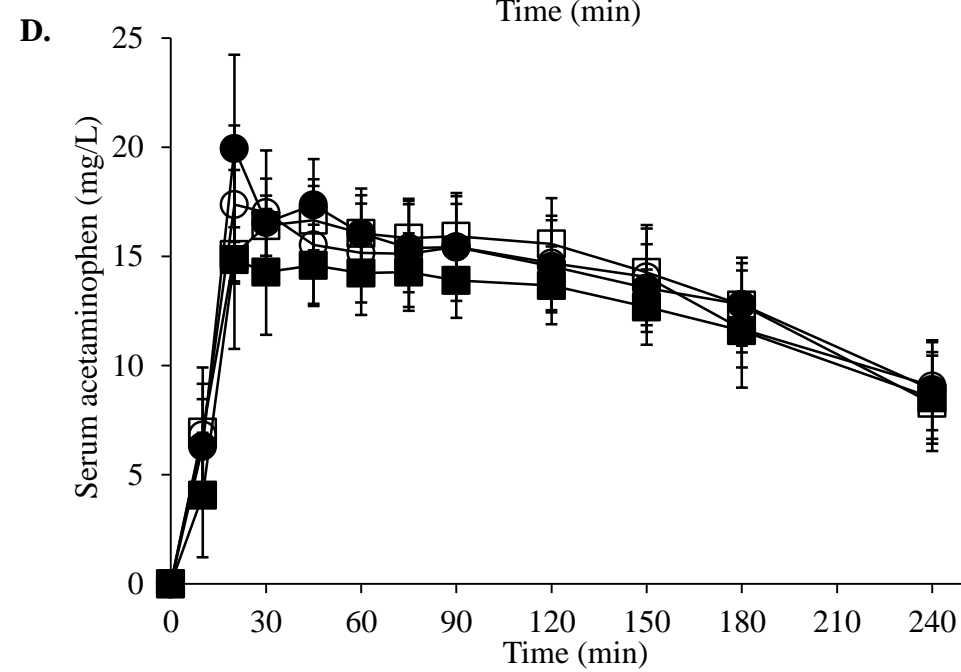
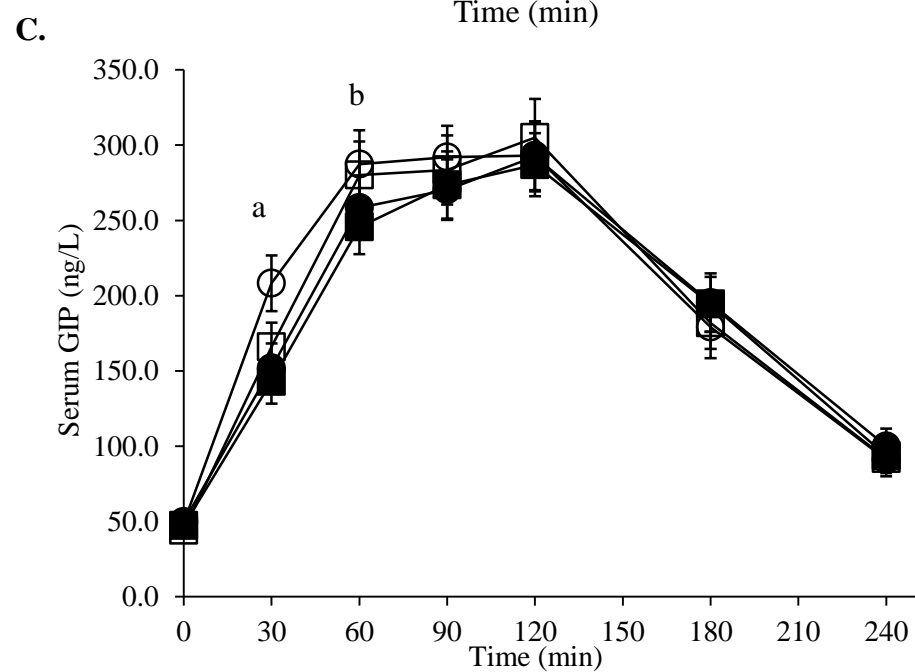
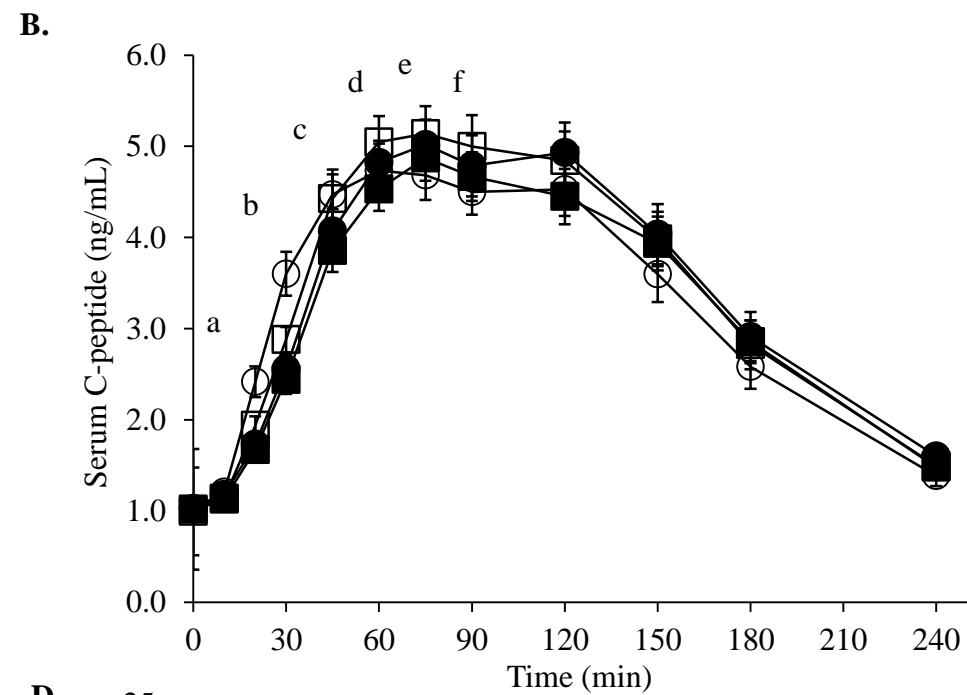
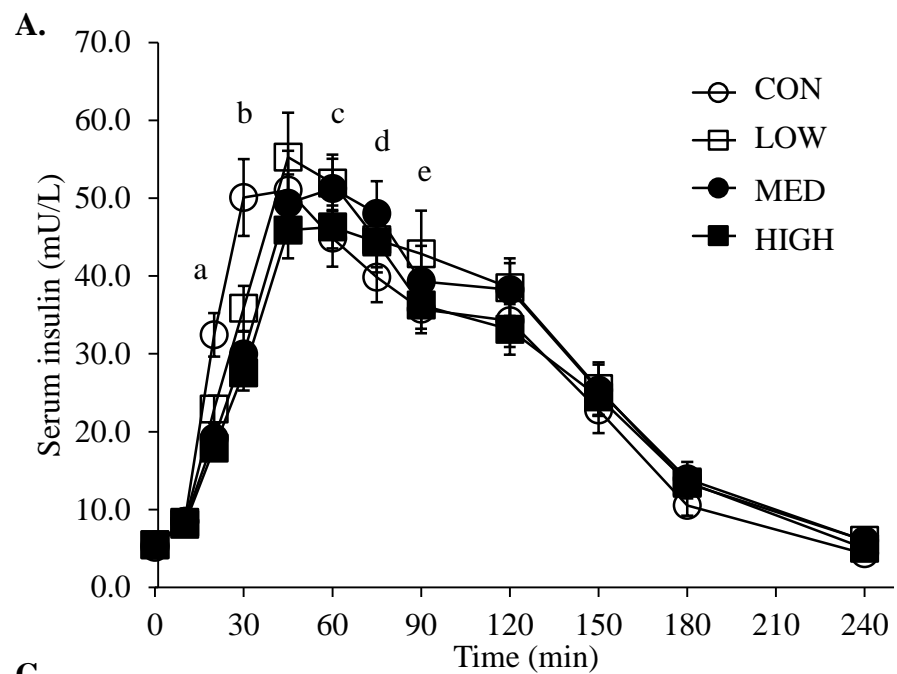


**Figure 3. A).** Plasma glucose concentrations after consumption of high (1.8 g), medium (1.2 g), low (0.9 g) doses of apple extract (AE) and control drinks from 0-240 min in the study population. Linear mixed modelling analysis:  $P < 0.0005$  for an overall treatment effect on glucose concentrations 10-240 min, adjusted for baseline concentrations. Post hoc analysis of timepoint differences in change from baseline in glucose compared to CON with Dunnett's adjustment: <sup>a</sup>  $P < 0.0005$  for difference between HIGH and CON, and MED and CON, and  $P < 0.005$  for difference between LOW and CON; <sup>b</sup>  $P < 0.0005$  for difference between HIGH

and CON, and MED and CON, and  $P < 0.05$  for difference between LOW and CON; <sup>c</sup>  $P < 0.0005$  for difference between MED and CON; <sup>d</sup>  $P < 0.0005$ ,  $P < 0.0005$  and  $P = 0.06$  for difference between HIGH and CON, MED and CON, and LOW and CON, respectively **B**). Incremental area under the curve 0-30 min plasma glucose following consumption of high (1.8 g), medium (1.2 g), low (0.9 g) doses of apple extract and control drinks in the study population. Linear mixed model analysis:  $P < 0.000005$  for difference in iAUC 0-30 min between apple extract drinks and CON; <sup>a</sup> Bonferroni post hoc test for difference in iAUC compared to CON:  $P < 0.00005$  (HIGH),  $P < 0.005$  (MED),  $P < 0.005$  (LOW). <sup>b</sup> Bonferroni post hoc test for difference between HIGH and LOW drinks:  $P < 0.05$ . N=30. Mean  $\pm$  SEM.

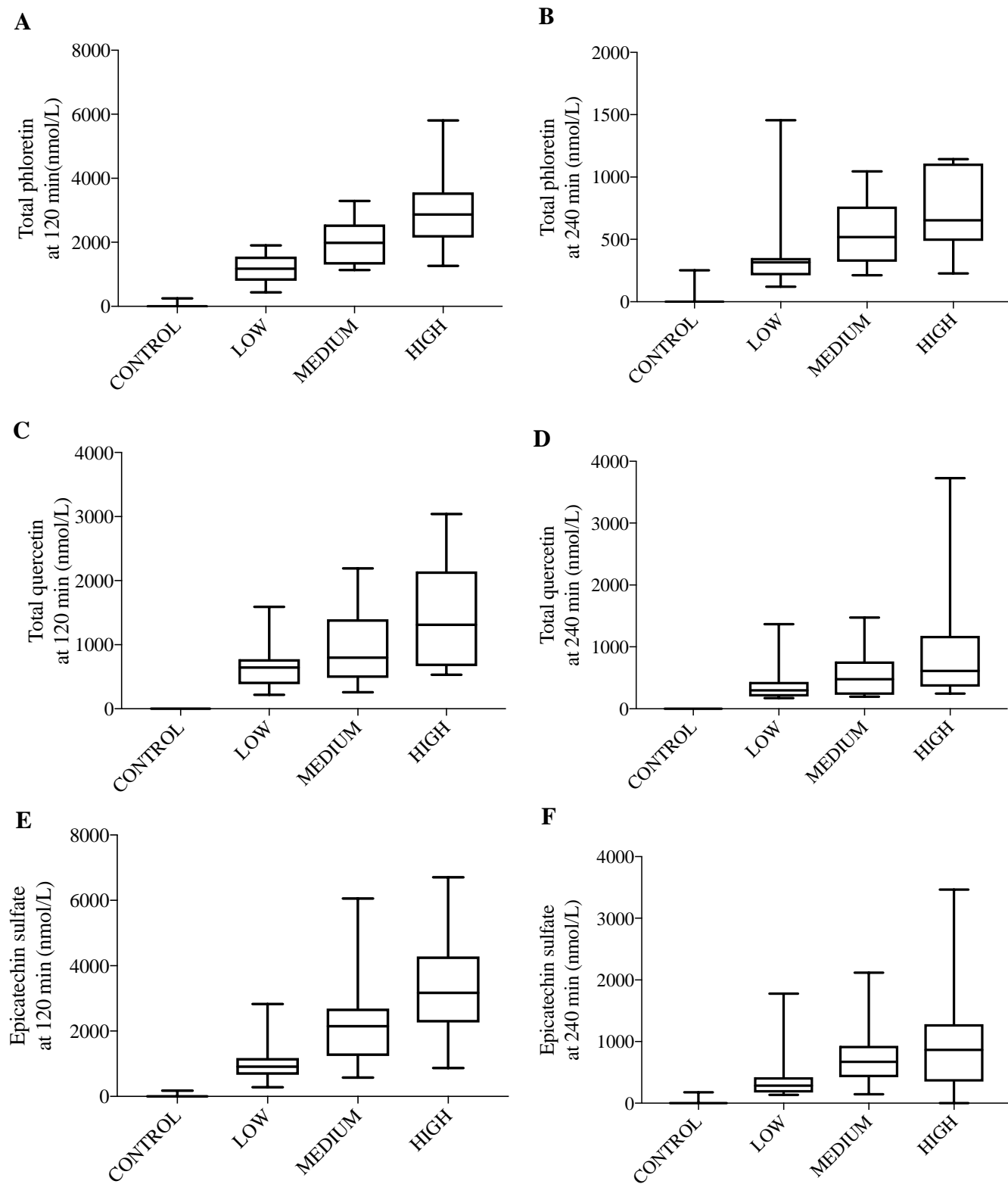


Figure 4. Insulin C-peptide GIP and acetaminophen



**Figure 4.** Plasma concentrations of **A**). insulin **B**). C-peptide **C**). Glucose-dependent insulintropic polypeptide (GIP) **D**). acetaminophen 0-240 min following consumption of high (1.8 g), medium (1.2 g), low (0.9 g) doses of apple extract (AE) and control drinks. Linear mixed modelling analysis:  $P < 0.0001$  (**A+B**),  $P < 0.05$  (**C**) for an overall drink effect on raw values from baseline to 240 min. Post hoc analysis of timepoint differences in change from baseline compared to CON with Dunnett's adjustment: (A) : <sup>a</sup>  $P < 0.0005$  for difference with HIGH and MED;  $P < 0.01$  for difference with LOW. <sup>b</sup>  $P < 0.0005$  for difference with all drinks. <sup>c</sup>  $P < 0.05$  for difference with LOW. <sup>d</sup>  $P < 0.005$  for difference with MED; (B) <sup>a</sup>  $P < 0.0005$ ,  $P < 0.005$  and  $P < 0.05$  for difference with HIGH, MED and LOW, respectively. <sup>b</sup>  $P < 0.0005$  for difference with all drinks. <sup>c</sup>  $P < 0.005$  for difference with HIGH;  $P < 0.05$  for difference with MED. <sup>d</sup>  $P < 0.05$  for difference with LOW. <sup>e</sup>  $P < 0.01$  for difference with LOW. <sup>f</sup>  $P < 0.005$  for difference with MED;  $P < 0.05$  for difference with LOW; (C) <sup>a</sup>  $P < 0.0005$  for difference with HIGH and MED;  $P < 0.005$  for difference with LOW. <sup>b</sup>  $P < 0.0005$  for difference with HIGH;  $P < 0.05$  for difference with MED. N=30. Mean  $\pm$  SEM.

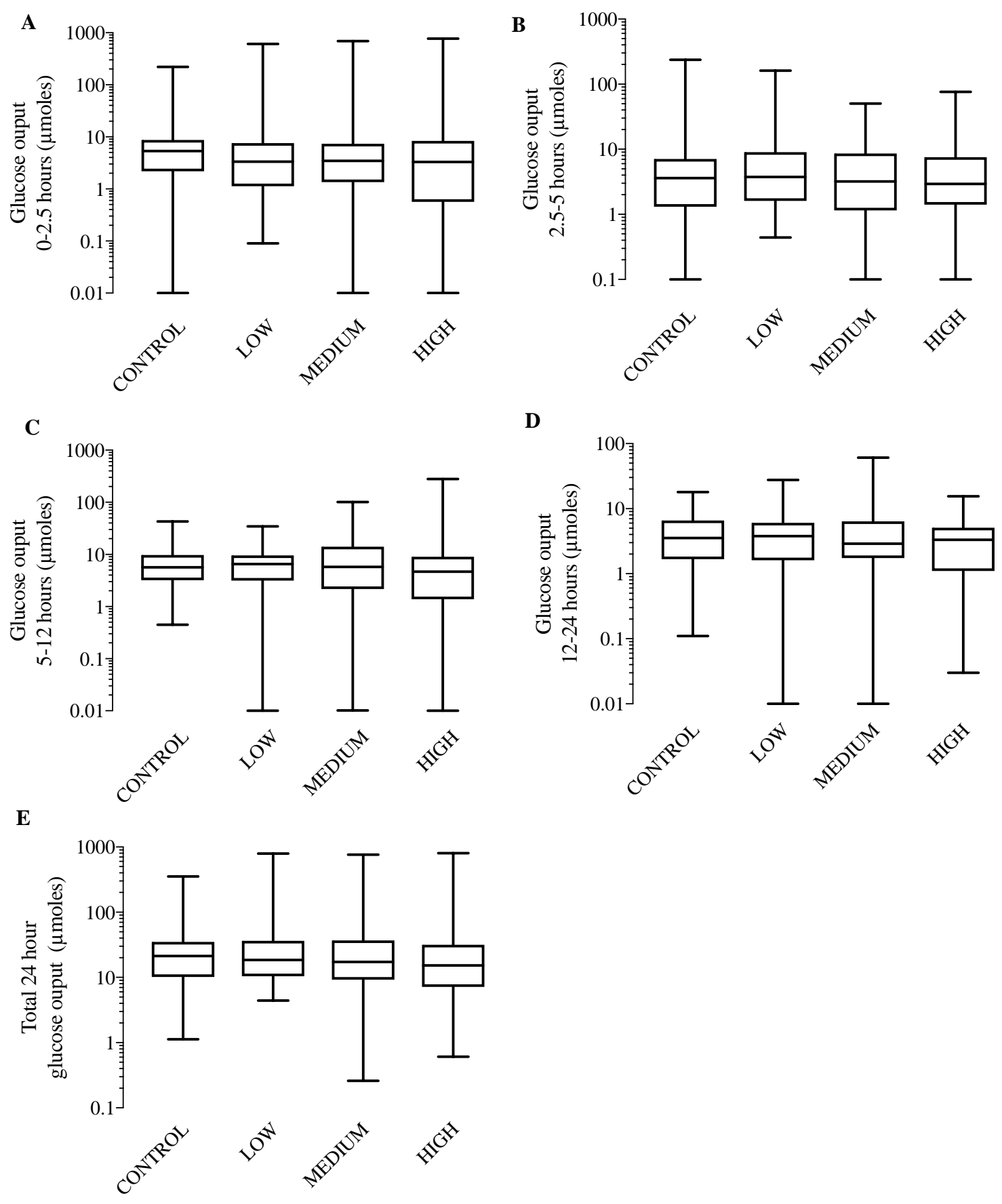
Figure 5. Serum polyphenols V2



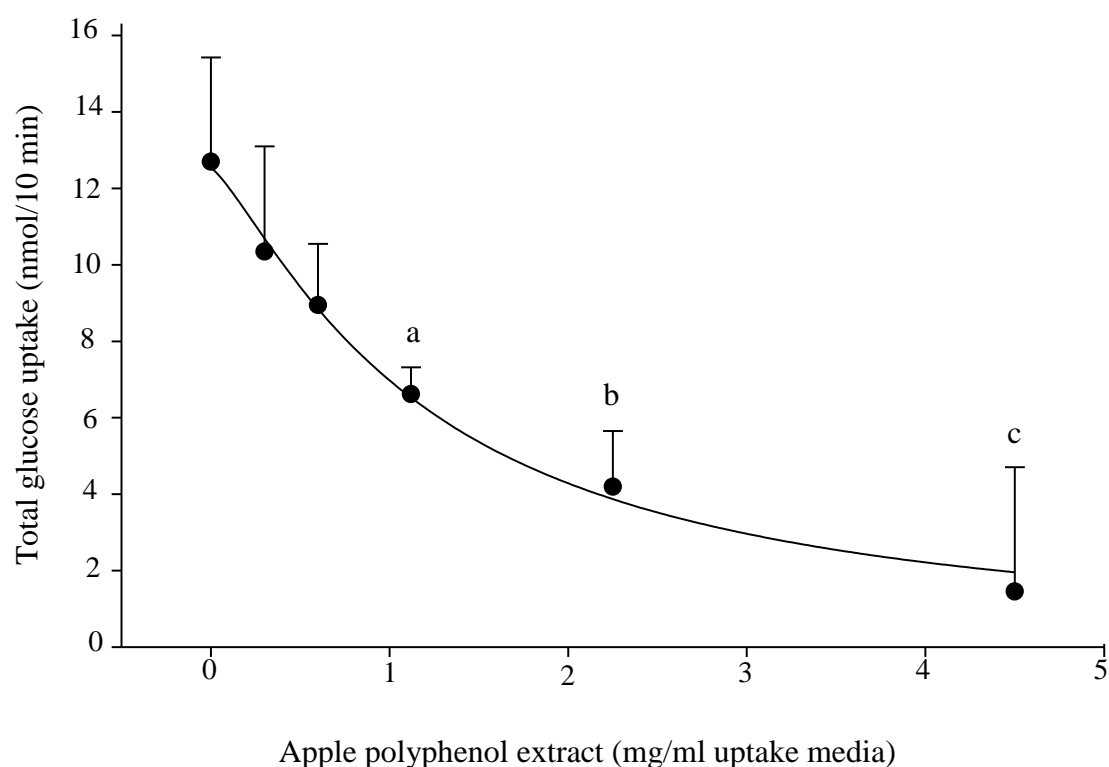
**Figure 5.** Serum total phloretin (sum of phloretin glucuronide and phloretin sulfate metabolites), total quercetin (sum of quercetin glucuronide and quercetin sulfate metabolites) and epicatechin sulfate metabolites concentrations after consumption of High, Medium, Low doses of apple extract and Control drinks at 120 min and 240 min in a randomly selected subgroup of the study population. N=10. High, 1800 mg apple extract. MED, 1200 mg apple extract. LOW, 900 mg apple extract. Boxes represent median (centre line) and interquartile range. Whiskers are maximum and minimum values. Serum total phloretin concentrations at 120 min (**A**), 240 min (**B**). Serum total quercetin concentrations at 120 min (**C**), 240 min (**D**). Serum epicatechin sulfate concentrations at 120 min (**E**), 240 min (**F**). Significant treatment effects were observed on serum concentrations of total phloretin, total quercetin and epicatechin sulfate at 120 and 240 min by Friedman's non-parametric test (all  $P < 0.0001$ ).



Figure 6. Urinary glucose




**Figure 6.** Urinary glucose output after consumption of high (1.8 g), medium (1.2 g), low (0.9 g) doses of apple extract (AE) and control drinks from 0-2.5 hours (**A**), 2.5-5 hours (**B**), 5-12 hours (**C**), 12-24 hours (**D**) and 0-24 hours (**E**). Y axis is on a Log<sub>10</sub> scale. Boxes represent median and interquartile range. Whiskers are minimum and maximum values. N=30. Statistics calculated using linear mixed effect modelling with natural log data. No effect of drink on urinary glucose output.




**Figure 7.** Acute effects of increasing concentrations of Apple Extract on total glucose uptake.

Caco-2/TC7 cells were treated with increasing concentrations of apple extract contained in uptake media, except for Control (0 mg/ml). Values were corrected for simple diffusion by subtracting L-glucose uptake. Data are presented as mean + SEM (N=6). **A)** Total glucose uptake: one-way analysis of variance followed by multiple comparisons against Control (0 mg/ml) with Dunnett's adjustment:  $P = 0.0006$  for overall treatment effect; <sup>a</sup>  $P = 0.0252$  v 1.12 mg/ml; <sup>b</sup>  $P = 0.0026$  v 2.25 mg/ml; <sup>c</sup>  $P = 0.0003$  v 4.5 mg/ml. IC<sub>50</sub> ( $1.19 \pm 0.348$  mg/ml apple extract): concentration of AE necessary to inhibit total glucose uptake by half relative to control, estimated using SigmaPlot 14 for Windows (Systat Software Inc. CA. USA).

**Emily Prpa:** Conceptualization, Methodology, Formal analysis, Investigation, Writing - Original Draft, Visualization. **Wendy Hall:** Conceptualization, Methodology, Formal analysis, Resources, Writing – Review & Editing, Supervision, Project administration, Funding acquisition. **Christopher Corpe:** Methodology, Resources, Writing – Review & Editing, Supervision. **Ben Atkinson:** Investigation, Writing – Review & Editing. **Brittany Blackstone:** Investigation, Writing – Review & Editing. **Elizabeth Leftley:** Investigation, Writing – Review & Editing. **Priya Parekh:** Investigation, Writing – Review & Editing. **Paul Kroon:** Methodology, Resources, Writing – Review & Editing. **Mark Philo:** Methodology, Investigation, Writing – Review & Editing.



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Appendix A continued. Diet & Lifestyle advice.docx

