

Molecular Neurobiology

Neurogenesis in response to synthetic retinoids at different temporal scales

--Manuscript Draft--

Manuscript Number:	MOLN-D-16-00998R1
Article Type:	Original Article
Keywords:	Retinoids; retinoic acid; neurogenesis; Neuroblastoma; Stem cells; gene expression
Corresponding Author:	Christopher Redfern Newcastle University UNITED KINGDOM
First Author:	Hesham Haffez
Order of Authors:	Hesham Haffez Thabat Alkhatib Peter McCaffery Stefan Przyborski Christopher Redfern Andy Whiting
Abstract:	<p>All-trans retinoic acid (ATRA) plays key roles in neurogenesis mediated by retinoic acid receptors (RARs). RARs are important targets for the therapeutic regulation of neurogenesis but effective drug development depends on modelling-based strategies to design high-specificity ligands in combination with good biological assays to discriminate between target-specificity and off-target effects. Using neuronal differentiation as a model, the aim of this study was to test the hypothesis that responses across different temporal scales and assay platforms can be used as comparable measures of retinoid activity. In biological assays based on cell phenotype or behaviour, two structurally-similar synthetic retinoids, differing in RAR affinity and specificity, retained their relative activities across different temporal scales. In contrast, assays based on the transcriptional activation of specific genes in their normal genomic context were less concordant with biological assays. Gene-induction assays for retinoid activity as modulators of neurogenesis require careful interpretation in the light of variation in ligand-receptor affinity, receptor expression and gene function. A better characterization of neuronal phenotypes and their regulation by retinoids is badly needed as a framework for understanding how to regulate neuronal development.</p>

1 Neurogenesis in response to synthetic retinoids at different temporal scales

2 Hesham Hafez,^{a,b,c,d} Thabat Alkhatib,^e Peter McCaffery,^e Stefan Przyborski,^b
3 Christopher Redfern,^{c*} Andrew Whiting^a

4 *✉ chris.redfern@newcastle.ac.uk

5 ^a*Department of Chemistry, Centre for Sustainable Chemical Processes, Durham University, South Road,*
6 *Durham, UK.*

7 ^b*Department of Biosciences, Durham University, South Road, Durham DH1 3LE, UK.*

8 ^c*Northern Institute for Cancer Research, Medical School, Newcastle University, NE2 4HH, Newcastle upon*
9 *Tyne, UK.*

10 ^d*Department of Biochemistry and Molecular Biology, Pharmacy College, Helwan University, Cairo, Egypt.*

11 ^e*School of Medicine, Medical Sciences and Nutrition, Institute of Medical Sciences, Foresterhill, Aberdeen,*
12 *AB25 2ZD, UK.*

13 Abstract

14 *All-trans* retinoic acid (ATRA) plays key roles in neurogenesis mediated by retinoic acid
15 receptors (RARs). RARs are important targets for the therapeutic regulation of neurogenesis
16 but effective drug development depends on modelling-based strategies to design high-
17 specificity ligands in combination with good biological assays to discriminate between target-
18 specificity and off-target effects. Using neuronal differentiation as a model, the aim of this
19 study was to test the hypothesis that responses across different temporal scales and assay
20 platforms can be used as comparable measures of retinoid activity. In biological assays based
21 on cell phenotype or behaviour, two structurally-similar synthetic retinoids, differing in RAR
22 affinity and specificity, retained their relative activities across different temporal scales. In
23 contrast, assays based on the transcriptional activation of specific genes in their normal
24 genomic context were less concordant with biological assays. Gene-induction assays for
25 retinoid activity as modulators of neurogenesis require careful interpretation in the light of
26 variation in ligand-receptor affinity, receptor expression and gene function. A better
27 characterization of neuronal phenotypes and their regulation by retinoids is badly needed as a
28 framework for understanding how to regulate neuronal development.

29 Keywords

30 Retinoids, retinoic acid, neurogenesis, neuroblastoma, stem cells, gene expression

31 **Introduction**

32 Retinoic acid (RA) receptor signalling plays key roles in cell and tissue patterning,
33 neurogenesis and homeostasis, both directly via nuclear retinoic acid receptors (RARs) and
34 indirectly by interactions with other ligand-dependent signalling mechanisms via shared co-
35 factors, receptor partners and ligand cross-talk [1,2]. This signalling diversity underlies the
36 potential of RA and related compounds as important drugs for medicinal use, ranging from
37 cancer therapeutics to novel treatments for diseases associated with ageing and neuronal
38 health. In normal cellular and tissue development, intracellular levels of the main
39 biologically-active RA isomer, all-*trans* RA (ATRA), are finely regulated by conversion
40 from vitamin A (retinol), via cellular binding proteins which mediate the transfer of retinol to
41 retinol dehydrogenases for conversion to ATRA. The transfer of ATRA occurs via cellular
42 retinoic acid binding proteins (CRABPs) to RARs to achieve transcriptional regulation [3,4]
43 as part of normal cellular homeostasis and to drive cell and tissue patterning during
44 embryogenesis and tissue differentiation [1,5,4].

45 RARs are encoded by the transcripts of three separate genes, RARA (RAR- α), RARB
46 (RAR- β) and RARG (RAR- γ), and specificity in responses at a cellular level are driven by
47 tissue- and stage-specific variation in gene expression. This is also coupled with variation of
48 splicing patterns to generate N-terminal variants [6] facilitating combinatorial interactions
49 with different transcriptional co-regulators [7]. Temporal regulation of gene expression is
50 facilitated by ATRA degradation mediated by specific cytochrome P450 enzymes which are
51 themselves regulated by ATRA [8,9]. One consequence of this finely-tuned metabolism is
52 that ATRA has a short lifetime when added to cells or used therapeutically in vivo [10,11].
53 Thus, although the spatial and temporal regulation of ATRA synthesis and delivery to RARs
54 provides exquisite control of ATRA-dependent gene expression, this also provides significant
55 challenges for the development of drugs to regulate ATRA signalling for clinical benefit. The
56 key requirements for such drugs will be stability, so that ligand concentrations can be
57 maintained in relevant cells and tissues, and providing sufficient RAR specificity to target
58 particular processes, tissues or cell types.

59 There has been considerable progress in designing retinoid-like molecules which are
60 considerably more stable than ATRA in intra- and extra-cellular environments [12]. To be
61 classed as a retinoid, compounds should produce cellular effects by specific interactions with
62 the ligand-binding domain of the RARs. Recent modelling studies have shown that, despite
63 the high degree of sequence conservation, there are important differences between receptor

64 types in the shape of the ligand-binding pocket [13]; this has implications for the design of
65 modified stable synthetic retinoids for targeting specific biological processes. Furthermore, it
66 is not just necessary to ensure good fit of the synthetic retinoid into the ligand-binding
67 domain (LBD) of RARs but also to ensure that the ligand-LBD complex has sufficient
68 structural integrity to ensure effective coactivator recruitment for transcriptional regulation
69 [14,15].

70 ATRA has an important role in neurogenesis [17], and we have developed the
71 synthetic retinoids 4-(5,5,8,8-tetramethyl-5,6,7,8-tetrahydronaphthalen-2-ylethynyl)benzoic
72 acid (*para*-isomer; EC23) and 3-(5,5,8,8-tetramethyl-5,6,7,8-tetrahydronaphthalen-2-
73 ylethynyl)benzoic acid (*meta*-isomer; EC19) [18] as tools for studying neurogenesis *in vitro*
74 (Fig. 1). These compounds are chemically and biologically more stable than ATRA; receptor
75 binding and molecular docking studies show that EC23 binds to all three RARs in a manner
76 similar to ATRA whereas EC19 has fewer interactions between key residues in the RAR- α
77 and RAR- γ binding pockets while being a better fit to the larger binding pocket of RAR- β
78 [13]. However, biological models are essential for assessing novel retinoids as potential
79 clinical drugs or experimental tools, and to discriminate between RAR-dependent activity and
80 non-specific or downstream effects. In addition, ATRA may have distinct concentration-
81 dependent effects in promoting alternative differentiation pathways [16] and for cellular
82 homeostasis [17]. Temporal scale in biological models is of critical importance, and many
83 assays of retinoid activity are carried out at long timescales which may make results hard to
84 reconcile with known RAR specificity.

85 The aim of this study was to test the hypothesis that short- and long-term responses
86 can be used as equivalent measures of retinoid activity and metabolic stability in assays of
87 synthetic retinoids in neurogenesis models. Neurogenesis and gene expression at different
88 temporal scales was compared in TERA2.cl.SP12 pluripotent stem cells and SH-SY5Y
89 neuroblastoma cells in response to EC19 and EC23, and their methyl esters, using ATRA as
90 the positive control. The methyl esters were included for some assays because although they
91 show reduced RAR binding activity as a result of the absence of the key carboxylic acid-
92 arginine residue interaction [13], esters may be relevant for biological studies if the parent
93 compounds are released by endogenous esterase activity.

94

95 **Material and Methods**

96 **Retinoid Solutions**

97 Stock solutions of synthetic retinoids EC19 and EC23 and their methyl esters were prepared
98 as reported earlier [18]; all-*trans*-retinoic acid (ATRA) was from (Sigma-Aldrich, Poole,
99 UK). All compounds were dissolved in DMSO (Sigma-Aldrich) to 10 mM. Aliquot stock
100 solutions were stored at -20 °C in the dark.

101 **Cell Culture**

102 Human pluripotent TERA2.cl.SP12 embryonal carcinoma stem cells were cultured [19],
103 under low-light conditions to minimize retinoid isomerisation, in Dulbecco's modification of
104 Eagle's medium (DMEM; Sigma-Aldrich) supplemented with 10% FCS (Gibco), 2 mM L-
105 glutamine and 100 units each of penicillin and streptomycin (Gibco). Cultures were passaged
106 using acid-washed glass beads unless a single cell suspension was required for counting, in
107 which case a 0.25% trypsin/EDTA (Lonza) solution was used. Human SH-SY5Y
108 neuroblastoma cells were cultured in DMEM F12/Ham (1:1) containing 2 mM L-glutamine,
109 supplemented with 10% FCS at 37 °C with 5 % CO₂ in air [20]. Cell suspensions were
110 obtained by treating adherent cells with 1 ml sterile PBS and incubation at 37 °C for 3-5 min.
111 Culture media were replaced every 3-4 days.

112 **Flow Cytometry**

113 Flow cytometry was carried out on live TERA2.cl.SP12 cells, incubated at a density of 0.2 x
114 10⁶ cells per 25 cm² flask for 12-24 h before treatment with 10 μM retinoid for 7 days.
115 Specific cell-surface primary antibodies were used: SSEA-3 (1:10), (University of Iowa
116 Hybridoma Bank), TRA-1-60 (1:50), (Abcam) and neural cell marker A2B5 (1:40), (R&D
117 Systems). Cell suspensions were centrifuged at 1000 rpm and resuspended in wash buffer
118 (0.1% BSA in PBS) and added to 96-well plate for incubation with the primary antibodies,
119 followed by several washes and then incubation with FITC-conjugated secondary antibody
120 IgM (1:128) (Sigma-Aldrich). Labelled cells were analysed in a GuaveEasyCytePlus System
121 (Millipore) flow cytometer and thresholds determining the numbers of positively expressing
122 cells were set against the negative control antibody, P3X, a generous gift from Prof. P.
123 Andrews, Sheffield University.

124

125 **Gene Expression Analysis**

126 Real time quantitative PCR (qPCR) was carried out immediately after treatment on cell line
127 lysates with 0.25% trypsin–EDTA. Cells were seeded at a density of 1x10⁶ cells per 25 cm²
128 flask (BD falcon) 12-24 h before treatment. Commercial RNA extraction kits (Qiagen) and
129 reverse transcription (Applied Biosystems) kits were purchased and procedures used

130 according to manufacturer instructions. Real-time qPCR was performed using the TaqMan®
131 Universal PCR master Mix (Life technologies) and TaqMan® gene expression system
132 (Applied Biosystems) based on probe sets to the specific genes to be analysed: RAR-β
133 (Hs00233407_m1), CYP26A1-A1 (Hs00175627_m1), RAR-α (Hs00940448_g1), RAR-γ
134 (Hs01559234_m1), PAX-6 (Hs01088112_m1), NeuroD1 (Hs01922995_s1). GADPH
135 (Hs02758991_g1) and ACTB (Hs99999903_m1) were used as internal control genes for
136 TERA2.cl.SP12 and SH-SY5Y cells, respectively.

137

138 **Immunocytochemistry**

139 TERA-2.cl.SP12 cells were seeded at 5000 cells per well on poly-D-lysine (25 µg/ml) coated
140 cover slips 22 x 22 mm, high precision (170 ± 5µm) in 6-well plates. At the end of the
141 experiment, cells were fixed in 4% para-formaldehyde (PFA) in PBS for 30 min at room
142 temperature and rinsed with PBS. For intracellular staining, cells were permeabilised with 1%
143 Triton-X-100 (Sigma) in PBS for 10 min at room temperature. Nonspecific labeling was
144 blocked by incubation for 1 h at room temperature with 1% goat serum (Sigma) in PBS with
145 0.2% Tween-20 (Sigma). Primary antibodies were diluted in blocking solution and incubated
146 with cells for 1 h at room temperature with a β-III tubulin antibody (TUJ-1) 1:200
147 (Affymetrix eBioscience) or CK-8 antibody 1:500 (Affymetrix eBioscience). After washing
148 with PBS, cells were incubated for 1 h in the dark with anti-mouse FITC-conjugated
149 secondary antibody IgM 1:128 (Sigma) for A2B5 staining or anti-mouse Alexafluor 488 IgG
150 1:600 (Invitrogen) for TUJ-1 and CK-8 staining. Hoechst 33342 nuclear staining dye
151 (Molecular Probes) was used at 1:1000 in blocking solution after the secondary antibody step.
152 Fixed and stained cells were visualized using a Leica SP5CLSM FLIM FCCS confocal
153 microscope.

154 **X-gal Bioassay**

155 Sil-15 cells (F9-RARE-lacZ cells) [21] were plated in a 0.1% gelatin-coated 96-well plate
156 and grown to about 85-90% confluence in DMEM containing 10% fetal calf serum
157 (Invitrogen/Gibco) and 0.8 mg/ml G418 sulphate (Sigma) for selection. Cells were washed
158 twice with PBS, fixed with 100 µl per well of 1% glutaraldehyde for 15 min, washed again
159 twice with PBS and β-galactosidase activity was visualized with 100 µl of a freshly prepared
160 X-Gal developing solution (5-bromo-4-chloro-3-indolyl-β-d-galactopyranoside) added to
161 each well. Colour was read on an Emax microplate reader at 650 nm.

162

163 **Neurite Outgrowth**

164 SH-SY5Y cells were fixed and stained for TUJ-1 (1:1000; Sigma) after retinoid treatment for
165 5 days. For each neurite outgrowth experiment, 3 cover slips (in 3 wells) were used. The
166 numbers of neurites were counted and traced for length measurement using a semi-automatic
167 NeuronJ plugin for ImageJ software in each of 10 randomly-selected images for each cover
168 slip. Average neurite length was calculated by dividing the total neurite length by the total
169 number of neurites per image.

170

171 **Results**

172

173 **Short-term Responses to Retinoids: SH-SY5Y Cells**

174

175 *Retinoid-induced gene expression*

176 The induction of RAR- β or CYP26A1 transcription is well established as a marker of
177 retinoid-response [22]; therefore, the expression of these genes was tested with respect to
178 retinoid dose and time of treatment, in addition to investigating retinoid-induced changes in
179 expression of RAR- α and RAR- γ . In SH-SY5Y cells, RAR- β expression in response to 10
180 μ M ATRA or EC23 increased to a maximum at 6 h, with EC23 showing greater activity. In
181 contrast, EC19 and the methyl ester showed no, or minimal, activity at 10 μ M (Fig. 2a). With
182 respect to the induction of CYP26A1, only ATRA had good activity, with a rapid and
183 sustained induction from 2 to 10 h (Fig. 2c). In dose-response experiments from 1 to 0.001
184 μ M, EC19 and EC23 had similar peak activities for induction of RAR- β at 0.1 μ M which
185 exceeded that of ATRA by about 30 % (Fig. 2b). Conversely, for CYP26A1 induction,
186 although the synthetic retinoids were not inactive, ATRA showed consistently-higher levels
187 of activity over the whole dose range compared to the synthetic retinoids; indeed, for the
188 latter, EC19 had greater activity than EC23, except at 1 μ M (Fig. 2d).

189 As in some other cell types [23], ATRA induced RAR- α expression, but over a longer
190 time-scale than for RAR- β . In contrast to their induction of RAR- β , the synthetic retinoids
191 were less effective at inducing RAR- α compared to ATRA; however, EC23 was at least twice
192 as active as EC19 at the 12 h timepoint. Substantial induction of RAR- γ was only apparent
193 after 12 h with ATRA and at this time EC19 and EC23 were only marginally more effective
194 than their methyl esters (Fig. 2e, f).

195 *Neurite length*

196 SH-SY5Y cells responded morphologically to retinoids with time-dependent increases in
197 neurite length, with greatest differential responses between the retinoids after 4 d or more
198 [24]. At 0.01 and 10 μM , EC19 had no neurite-inducing capacity compared with the control
199 vehicle (DMSO), unlike EC23, which had similar activity to ATRA at 0.01 μM (Fig. 2j);
200 however, in contrast to ATRA which gave a dose-dependent increase in neurite length, the
201 response to EC23 appeared saturated at 0.01 μM . Neurite extension is a lower-resolution
202 technique over a more-extended timescale than the gene-expression assays, and there were
203 clear differences between these assays in the relative activities of all retinoids at 10 μM (Fig.
204 2j).

205

206 *X-gal reporter bioassay analysis*

207 The relative transcriptional potency of the retinoids was also tested on Sil-15 reporter cells,
208 which are F9 murine teratocarcinoma cells stably transfected with a LacZ gene under the
209 control of a RA response element (RARE) promoter [21]. β -Galactosidase activity in these
210 cells was assayed over retinoid concentration ranges of 10^{-6} M to 10^{-14} M over 24 h. EC23
211 was effective over the entire range, giving a 50% response between 10^{-11} to 10^{-12} M,
212 compared to the 50% response of ATRA at 5×10^{-10} M. In contrast, EC19 showed very little
213 activity (Fig. 2k).

214

215 **Longer-term Responses to Retinoids: TERA-2.cl.SP12 Cells**

216 *Cell-differentiation markers*

217 ATRA-induced differentiation of TERA2.cl.SP12 cells is characterized by the down-
218 regulation of the glycolipid antigen SSEA3 and the keratan sulphate-related antigen TRA-1-
219 60, and the upregulation of the c-series ganglioside-specific antigen A2B5, characteristic of
220 neuronal and glial cells [19]. TERA2.cl.SP12 cells were treated with 10 μM of each retinoid
221 for 7 days and analysed for the expression of SSEA3, TRA-1-60 and A2B5 by flow
222 cytometry. Control cultures, untreated or treated with the DMSO vehicle alone, showed high
223 expression levels of SSEA-3 and TRA-1-60 with 60-70% of cells expressing these markers,
224 but less than 20% of these cells expressing the neuronal differentiation marker A2B5 (Fig. 3a,
225 b). After treatment with either 10 μM ATRA or EC23 for 7 days, there was a significant
226 reduction in expression of SSEA-3 (20% of cells) and TRA-1-60 (50% of cells) and an
227 induction of expression of A2B5, indicating a shift from a pluripotent state towards neuronal
228 differentiation which was particularly marked with EC23; conversely, EC19 was less

229 effective (Fig. 3a, b). The methyl ester of EC23 was less active than the parent compound,
230 while the EC19 methyl ester was as active, or slightly more so, than EC19 (Fig. 3b).

231 Cell morphology and phenotypic fate within TERA2.cl.SP12 cell cultures were
232 assessed by immunocytochemistry for neuronal markers (cell-surface A2B5; cytoplasmic
233 β III-tubulin, TUJ-1 antibody), and the epithelial marker cytokeratin 8 (CK-8). Control
234 cultures (DMSO vehicle) showed low expression of all markers. After exposure to ATRA or
235 EC23 for 7 days, expression of the neuronal markers substantially increased, in contrast to
236 CK-8. After 14 and 21 days, β III-tubulin expression increased further with the formation of
237 more mature, differentiated neuronal cells where staining was localized to the cytoplasm and
238 neuronal processes. In contrast, EC19 did not induce any substantial increase in expression of
239 A2B5 or β III-tubulin after 7 days, with low levels of β III-tubulin-positive cells even after 21
240 days. However, the expression of CK-8 increased in EC19-treated cultures after 21 days,
241 suggesting differentiation towards an epithelial phenotype (Fig.3c).

242

243 *Expression of neuronal lineage marker transcripts*

244 The neuronal markers NeuroD1 and PAX-6 are predominantly expressed in the nervous
245 system, particularly later in development [25,26]. NeuroD1 was up-regulated in
246 TERA2.cl.SP12 cells showing a linear time-dependent increase in response to 10 μ M ATRA
247 or EC23; EC19 and the methyl esters of both synthetic retinoids had much lower activities
248 (Fig. 4a). PAX6 was substantially upregulated only after 7 days of treatment and EC23 was
249 10 times more effective than ATRA with very little activity shown by EC19 (Fig. 4b).

250

251 **Discussion**

252 With respect to the parent compounds, there were generally concordant responses,
253 summarized by rank in Table 1, between long-term and short-term biological-response assays
254 (differentiation, neurite extension, reporter assays) where both EC23 and EC19 maintained
255 their relative activities over different temporal scales. The methyl esters of EC23 and EC19
256 usually had low, or intermediate, activity; although structural studies and ligand
257 binding/activity assays suggest that these methyl esters may have direct activity as RAR
258 ligands in their own right [13]; esterase activity [27] releasing the free parent carboxylic acids
259 may also contribute to biological activity. In contrast to biological-response assays, assays of
260 specific gene transcripts, whether as markers of neural differentiation status as with the
261 NeuroD1 and PAX6 transcripts, or of short-term responses to retinoids such as the induction

262 of expression of RARs or CYP26A1, were not directly comparable with the broader
263 biological responses. This was particularly true for EC19 which, as predicted from structural
264 studies, had activity in some gene-response assays but low activity in biological response
265 assays. These results highlight two key factors in responses to retinoids: the dynamic
266 mechanisms of individual gene regulation by retinoids, and the retinoid mechanisms directing
267 biological responses.

268 Individual retinoid-responsive genes, RAR- β and CYP26A1, responded differently
269 with respect to temporal characteristics of activation and relative activities of the different
270 retinoids at different doses. For CYP26A1 induction, ATRA showed the highest activity;
271 unexpectedly, EC19 had greater CYP26A1 induction activity than EC23 at lower doses, but,
272 in contrast to ATRA, both were ineffective at 10 μ M. For RAR- β induction both synthetic
273 retinoids were equally effective at low doses and with greater activity than ATRA, whereas at
274 higher doses, EC23 had the greatest activity with EC19 having much lower activity compared
275 to ATRA.

276 Variability in behaviour between different short-term gene-response assays can be due
277 to a combination of factors, particularly RARE context, RAR expression and specificity [28],
278 and retinoid metabolism. Recent structural modelling studies have shown that the RAR- β
279 LBD is better than other RAR LBDs at accommodating the geometrically differently
280 substituted ring of EC19 with the carboxylic acid group in the *meta*-position [13]; the good
281 activity of EC19 with respect to the induction of RAR- β suggests that this induction may be
282 driven primarily by constitutive expression of RAR- β in these cells. This is in agreement with
283 other studies [29] implying a dependence of RAR- β induction on RAR- β itself in SH-SY5Y
284 cells. In the Sil-15 reporter cells, β -galactosidase activity is driven by an RAR- β RARE
285 construct; the low activity of EC19 in this system compared to the induction of RAR- β
286 transcripts in SH-SY5Y cells may result from differences in basal RAR- β expression between
287 the two cell types, as this appears to be relatively lower in Sil-15 parental cells [30] compared
288 to SH-SY5Y cells.

289 The genomic context of RAREs which drive marker genes, the availability of
290 promoter-specific coregulators and retinoid-specific co-regulator interactions are also
291 important considerations for the interpretation of retinoid activity assays. Transcriptional
292 activation by ligand-bound RARs requires ligand-dependent conformational changes in the
293 receptor to facilitate coactivator recruitment [31]; these may vary independently of ligand-
294 LBD affinity such that retinoids with equivalent affinity for RAR LBDs may differ in their
295 ability to facilitate coactivator recruitment [13]. Gene-specific induction mechanisms are also

296 evidenced by the relatively poor activity of the synthetic retinoids on CYP26A1 induction
297 compared to ATRA; in this respect, coregulators may be critical in driving specificity
298 because CYP26A1 needs to respond to ATRA specifically to regulate ATRA levels. It is also
299 possible that RARs may bind to other endogenous ligands, such as ATRA metabolites [32],
300 and these should also be considered as potential drivers of CYP26A1 induction. Clearly,
301 single gene assays have limited use as surrogate markers of the biological properties of
302 synthetic retinoids.

303 Overall, these results imply that the assay based on Sil-15 cells, or on cells with an
304 equivalent RARE-driven reporter, is a good short-term assay as it gave comparable results to
305 longer-term, and more time-consuming, assays of biological responses for assessing the
306 potency of novel synthetic retinoids. In the long-term assays, the relative induction of
307 neurogenesis by different retinoids, as indicated by down-regulation of markers of
308 pluripotency and the up-regulation of neuronal lineage markers, was comparable to the
309 induction of RAR- α mRNA at a shorter time scale. This may imply a role for RAR- α as an
310 initial step in the induction of neurogenesis, either via a transcriptional or non-transcriptional
311 mechanism [33], and is supported by the different relative activities of EC19 in the induction
312 of RAR- β and neurite extension in SH-SY5Y cells.

313 These studies also stress the importance of careful marker selection for retinoid
314 assays. The transcription factor PAX6 is reported to promote neurogenesis [34], but in
315 TERA2.cl.SP12 cells, PAX6 was up-regulated substantially more in response to EC23 than
316 ATRA, compared to the E-box transcription factor NeuroD1, implying that neuronal
317 phenotypes may be driven to different extents by different retinoids. If neurogenesis is also
318 regulated by the products of ATRA catabolism [9], then EC23 or comparable synthetic
319 retinoids might have biological effects on neurogenesis that are qualitatively different to
320 ATRA because of greater metabolic stability. As has been shown previously, EC19 does not
321 induce neurogenesis of TERA2.cl.SP12 cells but induces an epithelial phenotype [18];
322 whether this is an RAR-driven process, perhaps mediated by different RAR specificities of
323 EC19, is not clear. However, this could also result from non-specific effects such as
324 arachidonic acid signaling as a consequence of high levels of lipophilic compounds impacting
325 upon membrane lipids [20].

326 In summary, specific gene-induction assays for novel retinoids require careful
327 interpretation as measures for their potential as modulators of neurogenesis. Changes in cell
328 phenotype or behavior over different temporal scales may, superficially, be simpler to
329 interpret; nevertheless, a much better understanding and characterization of neuronal

330 phenotypes and their regulation is badly needed to provide a framework for understanding the
331 wider value of synthetic retinoids for regulating neuronal development.

332

333 **Acknowledgements**

334 We would like to thank the Egyptian Council and Cultural Bureau, and Alzheimer Research
335 UK Scotland for financial support.

336

337 **REFERENCES**

338

- 339 1. Cunningham TJ, Duester G (2015) Mechanisms of retinoic acid signalling and its roles in organ
340 and limb development. *Nature Reviews Molecular Cell Biology* 16:110-123.
341 doi:10.1038/nrm3932
- 342 2. Janesick A, Wu SC, Blumberg B (2015) Retinoic acid signaling and neuronal differentiation.
343 *Cellular and molecular life sciences : CMLS* 72:1559-1576. doi:10.1007/s00018-014-1815-9
- 344 3. Budhu AS, Noy N (2002) Direct channeling of retinoic acid between cellular retinoic acid-binding
345 protein II and retinoic acid receptor sensitizes mammary carcinoma cells to retinoic acid-
346 induced growth arrest. *Molecular and Cellular Biology* 22:2632-2641
- 347 4. Rhinn M, Dolle P (2012) Retinoic acid signalling during development. *Development* 139:843-
348 858. doi:10.1242/dev.065938
- 349 5. Duong V, Rochette-Egly C (2011) The molecular physiology of nuclear retinoic acid receptors.
350 From health to disease. *Biochimica et Biophysica Acta* 1812:1023-1031.
351 doi:10.1016/j.bbadis.2010.10.007
- 352 6. Zelent A, Mendelsohn C, Kastner P, Krust A, Garnier JM, Ruffenach F, Leroy P, Chambon P (1991)
353 Differentially expressed isoforms of the mouse retinoic acid receptor beta generated by usage
354 of two promoters and alternative splicing. *The EMBO Journal* 10:71-81
- 355 7. McKenna NJ, O'Malley BW (2002) Combinatorial control of gene expression by nuclear
356 receptors and coregulators. *Cell* 108:465-474
- 357 8. Mahony S, Mazzoni EO, McCuine S, Young RA, Wichterle H, Gifford DK (2011) Ligand-dependent
358 dynamics of retinoic acid receptor binding during early neurogenesis. *Genome Biology* 12:R2.
359 doi:10.1186/gb-2011-12-1-r2
- 360 9. Sonneveld E, van den Brink CE, Tertoolen LG, van der Burg B, van der Saag PT (1999) Retinoic
361 acid hydroxylase (CYP26) is a key enzyme in neuronal differentiation of embryonal carcinoma
362 cells. *Developmental Biology* 213:390-404. doi:10.1006/dbio.1999.9381

- 363 10. Adamson PC (1996) All-Trans-Retinoic Acid Pharmacology and Its Impact on the Treatment of
364 Acute Promyelocytic Leukemia. *The Oncologist* 1:305-314
- 365 11. Lansink M, van Bennekum AM, Blaner WS, Kooistra T (1997) Differences in metabolism and
366 isomerization of all-trans-retinoic acid and 9-cis-retinoic acid between human endothelial cells
367 and hepatocytes. *European Journal of Biochemistry* 247:596-604
- 368 12. Clemens G, Flower KR, Gardner P, Henderson AP, Knowles JP, Marder TB, Whiting A, Przyborski
369 S (2013) Design and biological evaluation of synthetic retinoids: probing length vs. stability vs.
370 activity. *Molecular BioSystems* 9:3124-3134. doi:10.1039/c3mb70273a
- 371 13. Hafeez HR, Chisholm D, Valentine R, Pohl E, Redfern C, Whiting A (2017) The molecular basis of
372 the interactions between synthetic retinoic acid analogues and the retinoic acid receptors.
373 *Medicinal Chemical Communications*. doi:DOI:10.1039/C6MD00680A.
- 374 14. Nettles KW, Greene GL (2005) Ligand control of coregulator recruitment to nuclear receptors.
375 *Annual Review of Physiology* 67:309-333. doi:10.1146/annurev.physiol.66.032802.154710
- 376 15. Zechel C (2002) Synthetic retinoids dissociate coactivator binding from corepressor release.
377 *Journal of Receptor and Signal Transduction Research* 22:31-61. doi:10.1081/RRS-120014587
- 378 16. Okada Y, Shimazaki T, Sobue G, Okano H (2004) Retinoic-acid-concentration-dependent
379 acquisition of neural cell identity during in vitro differentiation of mouse embryonic stem cells.
380 *Developmental Biology* 275:124-142. doi:10.1016/j.ydbio.2004.07.038
- 381 17. Jacobs S, Lie DC, DeCicco KL, Shi Y, DeLuca LM, Gage FH, Evans RM (2006) Retinoic acid is
382 required early during adult neurogenesis in the dentate gyrus. *Proceedings of the National*
383 *Academy of Sciences of the United States of America* 103:3902-3907.
384 doi:10.1073/pnas.0511294103
- 385 18. Christie VB, Barnard JH, Batsanov AS, Bridgens CE, Cartmell EB, Collings JC, Maltman DJ, Redfern
386 CP, Marder TB, Przyborski S, Whiting A (2008) Synthesis and evaluation of synthetic retinoid
387 derivatives as inducers of stem cell differentiation. *Organic & Biomolecular Chemistry* 6:3497-
388 3507
- 389 19. Przyborski SA, Christie VB, Hayman MW, Stewart R, Horrocks GM (2004) Human embryonal
390 carcinoma stem cells: models of embryonic development in humans. *Stem Cells and*
391 *Development* 13:400-408. doi:10.1089/scd.2004.13.400
- 392 20. Bell E, Ponthan F, Whitworth C, Westermann F, Thomas H, Redfern CPF (2013) Cell Survival
393 Signalling through PPAR delta and Arachidonic Acid Metabolites in Neuroblastoma. *PLoS One* 8
394 doi:10.1371/journal.pone.0068859
- 395 21. Wagner M, Han B, Jessell TM (1992) Regional differences in retinoid release from embryonic
396 neural tissue detected by an in vitro reporter assay. *Development* 116:55-66

- 397 22. Armstrong JL, Taylor GA, Thomas HD, Boddy AV, Redfern CP, Veal GJ (2007) Molecular targeting
398 of retinoic acid metabolism in neuroblastoma: the role of the CYP26 inhibitor R116010 in vitro
399 and in vivo. *British Journal of Cancer* 96:1675-1683. doi:10.1038/sj.bjc.6603779
- 400 23. Halevy O, Lerman O (1993) Retinoic acid induces adult muscle cell differentiation mediated by
401 the retinoic acid receptor-alpha. *Journal of Cellular Physiology* 154:566-572.
402 doi:10.1002/jcp.1041540315
- 403 24. Lovat PE, Lowis SP, Pearson AD, Malcolm AJ, Redfern CP (1994) Concentration-dependent effects
404 of 9-cis retinoic acid on neuroblastoma differentiation and proliferation in vitro. *Neuroscience*
405 *Letters* 182:29-32
- 406 25. Gaudilliere B, Konishi Y, de la Iglesia N, Yao G, Bonni A (2004) A CaMKII-NeuroD signaling
407 pathway specifies dendritic morphogenesis. *Neuron* 41:229-241
- 408 26. Zhang J, Jiao J (2015) Molecular Biomarkers for Embryonic and Adult Neural Stem Cell and
409 Neurogenesis. *BioMed Research International* 2015:727542. doi:10.1155/2015/727542
- 410 27. Wang CC, Hill DL (1977) Retinoid acid esterase activities: tissue and subcellular distribution in
411 mice. *Biochemical Pharmacology* 26:947-950
- 412 28. Rochette-Egly C, Germain P (2009) Dynamic and combinatorial control of gene expression by
413 nuclear retinoic acid receptors (RARs). *Nuclear Receptor Signaling* 7:e005.
414 doi:10.1621/nrs.07005
- 415 29. Lindley D (2009) Retinoic acid receptor expression and activation and cellular responses to
416 retinoic acid in neuroblastoma., Newcastle University,
- 417 30. Boylan JF, Lufkin T, Achkar CC, Taneja R, Chambon P, Gudas LJ (1995) Targeted disruption of
418 retinoic acid receptor alpha (RAR alpha) and RAR gamma results in receptor-specific alterations
419 in retinoic acid-mediated differentiation and retinoic acid metabolism. *Molecular and Cellular*
420 *Biology* 15:843-851
- 421 31. Bastien J, Rochette-Egly C (2004) Nuclear retinoid receptors and the transcription of retinoid-
422 target genes. *Gene* 328:1-16. doi:10.1016/j.gene.2003.12.005
- 423 32. Pijnappel WW, Hendriks HF, Folkers GE, van den Brink CE, Dekker EJ, Edelenbosch C, van der
424 Saag PT, Durston AJ (1993) The retinoid ligand 4-oxo-retinoic acid is a highly active modulator of
425 positional specification. *Nature* 366:340-344. doi:10.1038/366340a0
- 426 33. Sarti F, Schroeder J, Aoto J, Chen L (2012) Conditional RARalpha knockout mice reveal acute
427 requirement for retinoic acid and RARalpha in homeostatic plasticity. *Frontiers in Molecular*
428 *Neuroscience* 5:16. doi:10.3389/fnmol.2012.00016
- 429 34. Kallur T, Gisler R, Lindvall O, Kokaia Z (2008) Pax6 promotes neurogenesis in human neural stem
430 cells. *Molecular and Cellular Neurosciences* 38:616-628. doi:10.1016/j.mcn.2008.05.010

Table 1: Summary of ranked responses to retinoids in different assays. Retinoids are listed in rank order of ligand binding assay activity which is broadly concordant with molecular docking studies [13]; numbers represent rank order (1= highest activity; 0= no detectable activity) in different assays. Nd, not determined.

Retinoid	Short-term							Longer-term					
	Gene expression				Biological			Differentiation markers			Neuronal lineage		
	RAR β		cyp26		RAR α	RAR γ	neurites	β gal	SSEA3	TRA-1-60	A2B5	neuroD1	PAX6
	peak	dose	peak	dose			peak						
EC23	1	1	2	3	2	2	2	1	1	1	1	2	1
ATRA	2	3	1	1	1	1	1	2	2	2	2	1	3
EC19	3	2	4	2	3	2	3	0	5	5	5	3	0
EC23me	3	nd	4	nd	4	3	nd	nd	3	3	3	4	2
EC19me	3	nd	3	nd	4	3	nd	nd	4	4	4	4	0

438 FIGURE LEGENDS

439

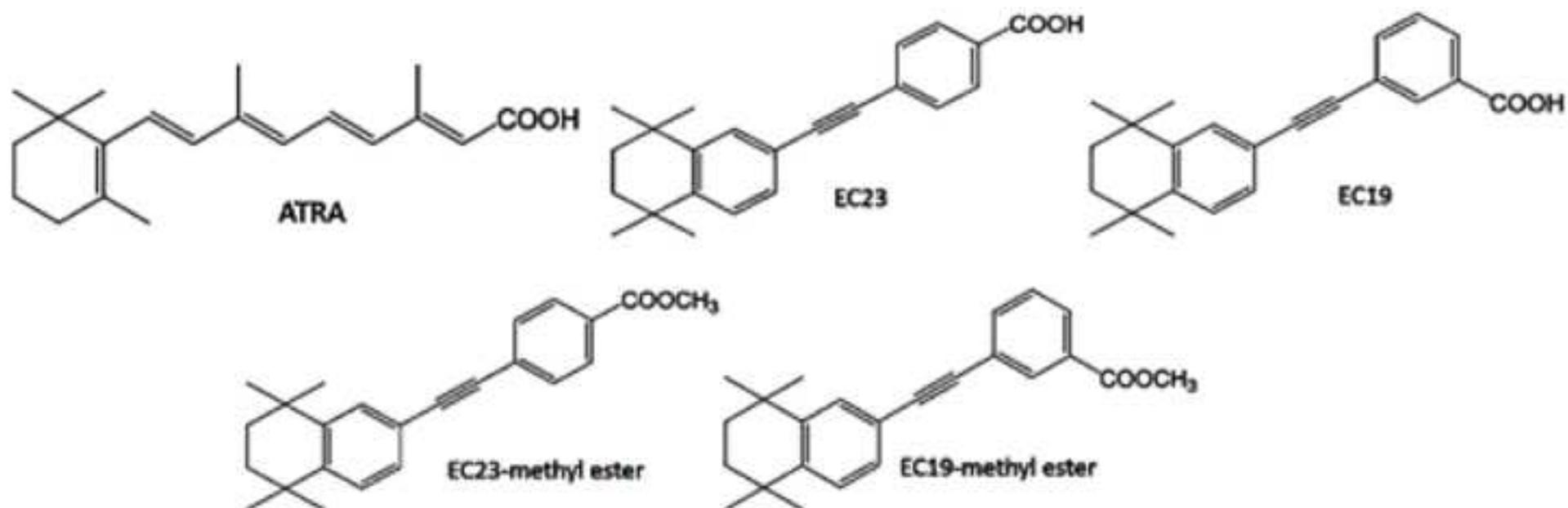
440 **Fig. 1:** Chemical structures of ATRA and the synthetic analogues, EC23, EC19 and methyl esters.[9]

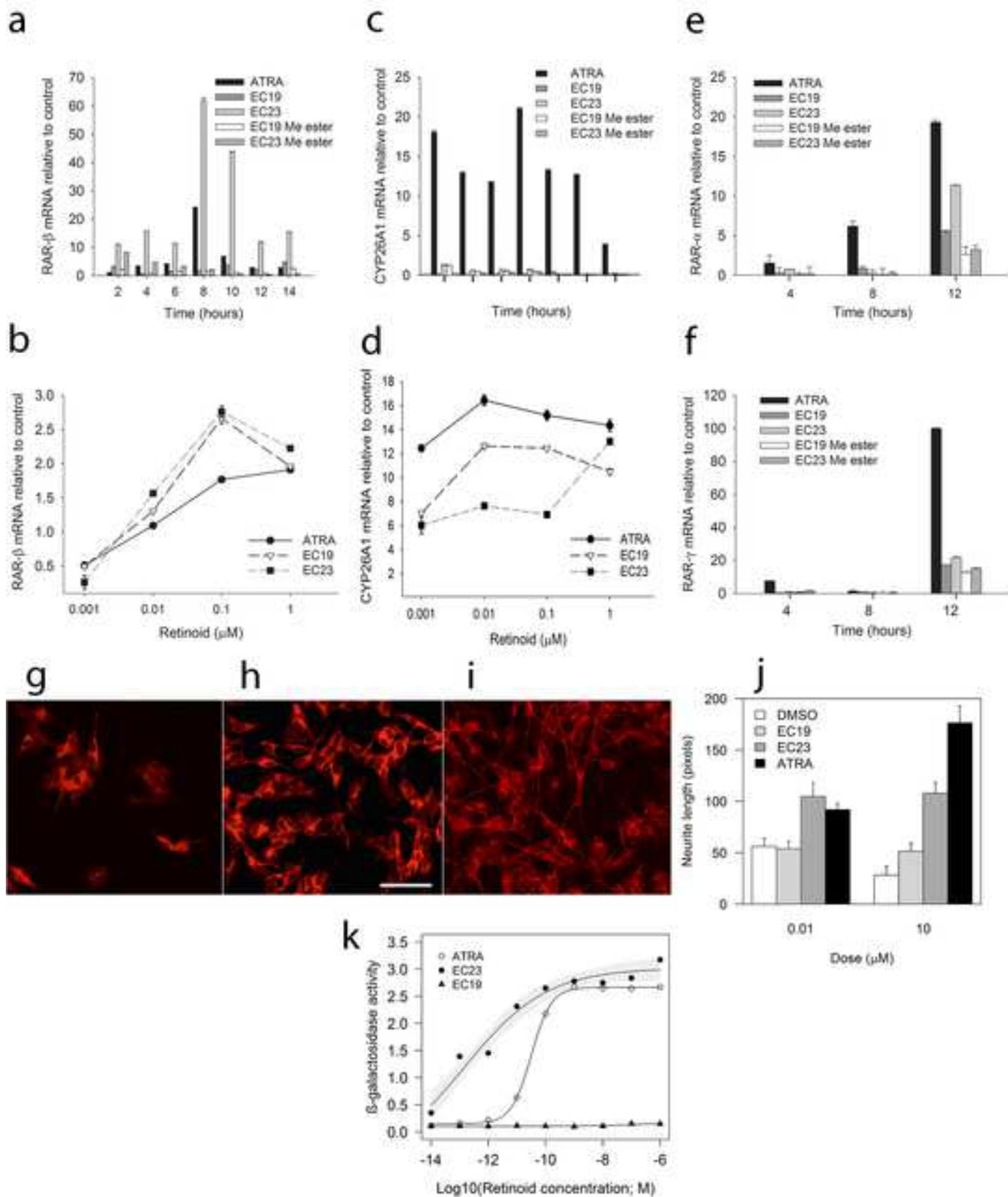
441 **Fig. 2:** Short-term assay of retinoid properties in SH-SY5Y cells and Sil-15 reporter cells. **a-f:** real-time
442 quantitative PCR (qPCR) analysis of mRNA expression for RAR- β (**a**, time-course; **b**, dose response),
443 CYP26A1 (**c**, time-course; **d**, dose-response), RAR- α (**e**, time course) and RAR- γ (**f**, time course) in SH-
444 SY5Y cells treated with (left to right) ATRA, EC19, EC23 and methyl ester analogues. Dose-response
445 experiments were performed with retinoid concentrations of 1, 0.1, 0.01 and 0.001 μM for 8 h, and
446 time-course experiments with 10 μM for up to 12 h. Quantification of target mRNA was relative to
447 SH-SY5Y cells cultured with DMSO vehicle for the relevant time period and normalised to the
448 internal reference gene (GAPDH). Data represent mean \pm SEM, n=3. Neurite outgrowth by SH-SY5Y
449 cells in response to control vehicle or EC19 or EC23 (10 μM each) is shown in the images (**g-i**), stained
450 with the anti-beta III tubulin antibody TUJ-1 (scale bar 50 μm) (**g**, control; **h**, EC19; **i**, EC23) and (**j**) bar
451 graph for mean neurite length (pixels \pm SEM, n=3). There was a significant induction of neurite
452 outgrowth in response to EC23 (ANOVA, $P < 0.001$) but not EC19, and no effect of dose at the
453 concentrations used. The response by Sil-15 reporter cells to increasing concentrations of ATRA,
454 EC19 or EC23 is shown in **k** where grey shading along the fitted curves defines the 95% confidence
455 limits for the EC23 and EC19 data.

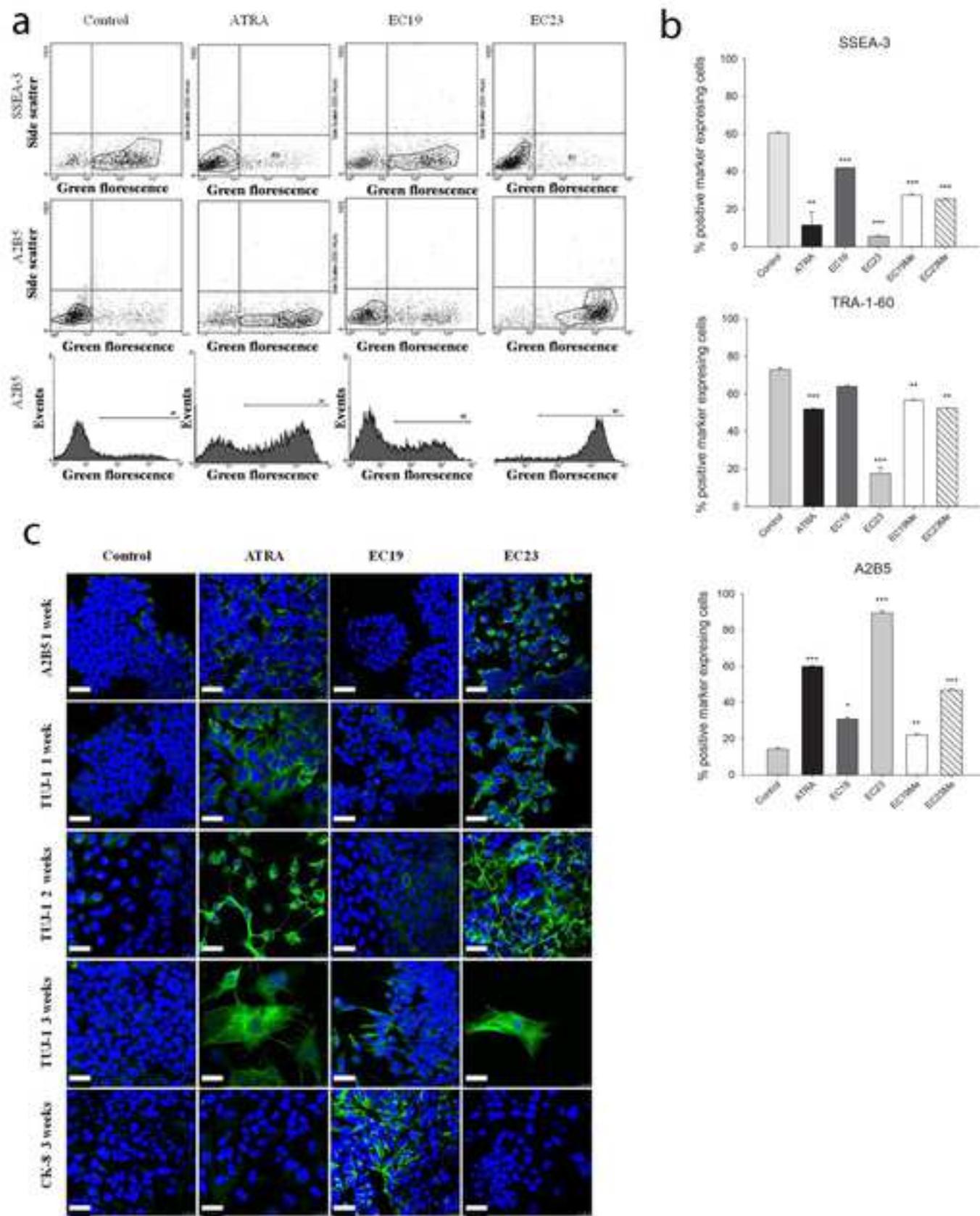
456 **Fig. 3:** Longer-term assay of retinoid responses using the cell differentiation model of TERA2.cl.SP12
457 stem cells treated with 10 μM ATRA, EC19, EC23 or their methyl esters after 7 days. Control
458 TERA2.cl.SP12 cultures were treated with 1% DMSO vehicle. **a**, Flow cytometry analysis showing 2D
459 plots of gated cells expressing SSEA-3 and A2B5 after retinoid treatment. **b**, Histograms of
460 percentage positive cells for the stem cell surface markers SSEA-3, TRA-1-60 and the early stage
461 neuronal marker A2B5. Results are presented as \pm SEM, n = 3; P values for comparisons with control
462 are: *, $P < 0.05$; **, $P < 0.01$; ***, $P < 0.001$. **c**, Photomicrographs of TERA2.cl.SP12 cells stained for
463 the neuronal (A2B5 and TUJ-1) and epithelial (CK-8) proteins after exposure to 10 μM ATRA, EC19 or
464 EC23 for 1, 2 and 3 weeks. Scale bar, 25 μm .

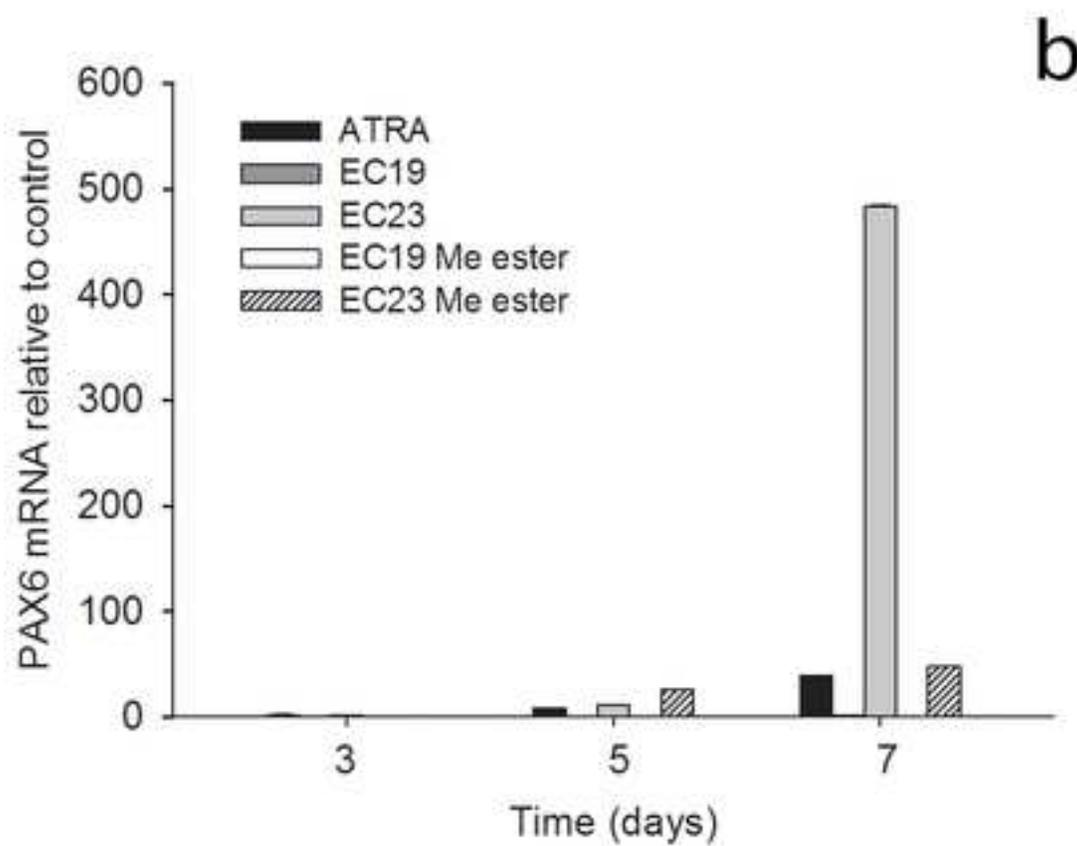
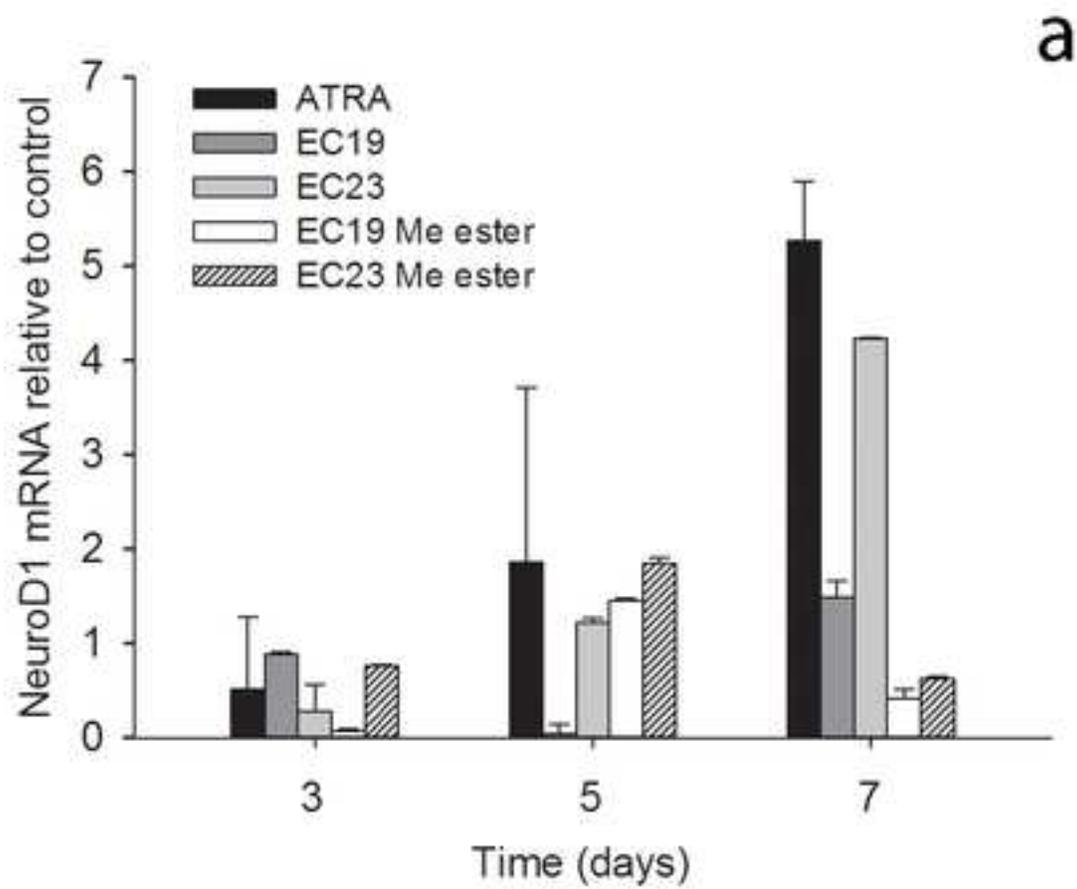
465 **Fig. 4:** NeuroD1 (**a**) and PAX6 (**b**) gene expression in TERA2.cl.SP12 stem cells treated with 10 μM of
466 ATRA, EC19, EC23 or their methyl ester analogues for 3, 5 and 7 days. Quantification is relative to
467 TERA2.cl.SP12 cells cultured with 0.1% DMSO vehicle for 7 days and all data (mean \pm SEM, n = 3)
468 were normalized to the internal reference gene (GADPH).

469











[Click here to access/download](#)

Supplementary Material

[New_draft_Final_revised_31Jan2017_tracked_UL.docx](#)

