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### Review Article

## Liposome Characterization, Applications and Regulatory landscape in US

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### Abstract

Liposomes are lipid based drug carrier whose therapeutic performance depends on their structure. Liposomes offer several advantages over the conventional drug like target drug delivery, reduced toxicity, and extended pharmacokinetics. Characterization and Identification of critical attribute of liposomal formulation and suitable strategies for control during product development is important for quality of the liposomal drug product. This paper discusses the current status of the liposomal drug product and strategy used in regulating liposome product. Despite of lack of regulatory guidelines many liposome formulations get approved which shows the potential of liposome drug products.

**Keywords:** Liposomes, Phospholipid, Nanotechnology, Lamellarity, Liposomal Delivery, ANDA, FDA, CTD

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### 1. Introduction

Liposomes are most popular nano-carrier used for drug delivery liposome were in 1964, in Cambridge at the Babraham Institute by the British hematologist Dr. Alec D Bangham. (1,2) Liposome is made of two greek words 'lipos' and 'soma' which means fat and body. Liposomes are basically small vesicles composed of multiple bilayer formed by using amphipathic molecules like phospholipids and separated by an aqueous compartment. In liposomal drug products, drug is encapsulated in the liposomes. Hydrophilic drug is loaded in the aqueous section and lipophilic drug is loaded in the lipid section of the liposome. (3) Liposomes are a promising drug delivery mechanism. Liposome properties vary greatly depending on lipid composition, surface charge on the liposome, duration, and the method used for formation. Furthermore the fluidity and rigidity of the liposome is dependent on the component of bilayer used in the formation. For example natural unsaturated phospholipids species forms less stable and more permeable bilayers whereas saturated phospholipids species forms impermeable and rigid bilayers. Liposomes are widely used as nano carrier for a **Table 1.** Classification of liposome

different types of molecules in pharmaceutical and cosmetic industry. Also agriculture and nutraceuticals industries are studying liposome to encapsulate antimicrobial, antioxidants, flavoring agents which are unstable and to protect their function. (4,5)

Liposome offers various advantages like biodegradability, low toxicity, biocompatibility and can trap hydrophilic and hydrophobic drug because of this many studies are being conducted on the liposome to have better understanding on functioning of liposomes. Doxil was the first nanoscale liposomal drug product which was approved by usfda in the year 1995 for the cure of aids related Kaposi's sarcoma and ovarian cancer. It was the very first nanomedicine which got regulatory approval after that many liposomal drug got approval. (6) Due to developments in the liposomal technology currently many liposomal are present in market and also under clinical trials.

### 2. Classification of Liposomes

Liposomes can be classified on the basis of their **Structure (7):**

Vesicle type	Abbreviation	Size
Multilamellar Large vesicles	MLV	0.1-6µm
Small unilamellar vesicles	SUV	0.02-0.05 µm
Large unilamellar vesicles	LUV	>0.06

Oligolamellar vesicles	OLV	0.1-1 $\mu\text{m}$
Unilamellar vesicles	UV	- wide range
Gaint unilamellar vesicles	GUV	>1 $\mu\text{m}$
Medium Unilamellar vesicles	MUV	
Multivesicular vesicle	MV	(>1 $\mu\text{m}$ )

### 3. Composition and application

#### Liposome classified into five categories for their application and composition

- i. Conventional liposomes
- ii. pH sensitive liposomes
- iii. Cationic liposomes
- iv. Immune liposomes
- v. Long circulating liposomes

#### Advantages of liposome

- Higher efficacy and increased therapeutic index of drug.
- Increased stability via encapsulation
- Liposomes are biocompatible, non-toxic, biodegradable and non- immunogenic.
- Encapsulation reduces the toxicity. (amphotericin B)
- Exposure to sensitive tissue is minimal.
- Site avoidance effect
- Active targeting by using site specific ligand.

#### Disadvantages of liposome

- Short half-life
- Phospholipid can undergoes reaction like oxidation and hydrolysis
- Leakage of the drug from liposome.
- High cost of production
- Fewer stable

### 4. Characterization of Liposomes

Characterization of liposomes is very essential for the assessment of the quality and to validate the batch-to-batch reproducibility of liposome sample. Some of the most chief parameter for characterization is stated below:

#### Size and particle distribution

Determination of distribution size is critical parameter because it provide information about liposome's quality as well as variation in batch, size distribution is also very crucial for the parental liposomal drug products. Various techniques by which size can be measured are dynamic light scattering, electron microscopy, laser light scattering etc. (8, 9)

#### Lamellarity

**Table 2.** Physical Characterization parameters of liposomes

Charcterization parameters	Analytical methods
Size & Surface morphology	TEM, Freeze- fracture EM
Size distribution	PCR , Zetasizer , DLS, TEM, gel permeation, exclusion
Surface charge	Zeta potential measurement

Number of bilayers which are present in the liposome is lamellarity and it affects the drug release kinetics, encapsulation efficacy and also the implementation of the liposomal product. It can be measured by Small angle X-ray scattering,  $^{31}\text{P}$ -NMR, Freeze-fracture electron microscopy. (10)

#### Lipid composition and concentration

Components which were used for the manufacturing of liposome must be analyze prior to and after the preparation. Individual component can be measured by using a chemical reacton following a spectrophotometric measurement. Barlett assay or Stewart assay is used to find out Phospholipid concentration, Cholesterol oxidase assay is used to find out Cholesterol concentration following with HPLC. (11)

#### Surface charge

Zeta potential is described as the overall charge on the liposome suspension, depending on the charge the liposome can be positively, negatively charged or neutral. Zeta potential can determine the stability of the liposome. Liposome is stable when all the particle remains suspended not aggregated. Surface charge can be measured zeta potential measurement, electrophoresis. (12, 13)

#### Encapsulation efficiency

Encapsulation efficiency is basically the quantity of drug which can be loaded into the carrier liposome. Formula used for measuring the encapsulation efficiency is % Encapsulation = drug entrapped in liposome/total drug added \*100. Drug content can be found using Mini column centrifugation, ion-exchange Chromatography. (14)

#### In vitro drug release

In vitro drug release can be performed using dialysis tube diffusion technique. In this method, a weighed amount of newly formed liposome is reconstituted in release medium and taken inside a dialysis chamber. Then the whole system is placed on the top of magnetic stirrer and maintained at 37\*c. sampling is done by withdrawing 1ml from the released medium along with the addition of 1ml of fresh buffer simultaneously. Samples are measured spectrophotometrically. (15, 16)

#### a. Physical Characterization

Lamellarity	NMR, Freeze fracture EM
% Entrapment Efficiency	Minicolumn centrifugation, ion exchange, gel exclusion
Drug release	Diffusion

### b. Chemical Characterization

Table 3. Chemical characterization parameters of liposomes

Charcterization parameters	Analytical methods
Phospholipid	Barlett/Stewart assay, HPLC
Cholesterol	Cholesterol oxidase assay,HPLC
Drug	Method as in individual monograph

### c. Biological Characterization

Table 4. Biological characterization parameters of liposomes

Charcterization parameters	Analytical methods
Sterility	Aerobic or anaerobic cultures
Pyrogenicity	LAL test
Animal toxicity	Monitoring survival rates, Histopathology

## 5. Application of liposome

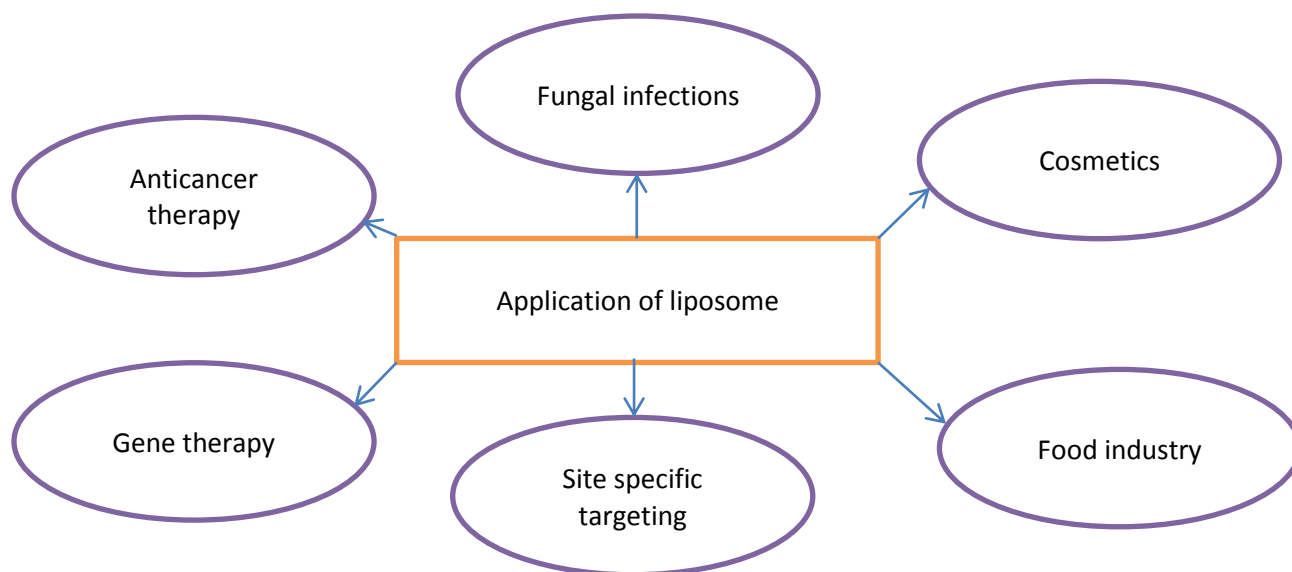


Figure 1. Representing the applications of liposomes

#### Liposomes anticancer therapy

The side effect of anticancer agents are a major issue in cancer chemotherapy, that is why liposomal formulations are used because of liposome increases the therapeutic activity of the drug by delivering larger quantity of drug in to tumors site and reducing impact to normal tissues. A number of liposome drug products are being used as anticancer agents because they were found least toxic and more effective in comparison to free drug. FDA approved first nano-scale drug which was doxil a liposomal formulation doxorubicin used for management of AIDS and ovarian cancer. In 2017 FDA approved vyxeos which is a cytarabine fixed combination with daunorubicin in liposomal formulation, for acute myeloid leukemia (AML) treatment. Study of vyxeos showed overall improvement in the survival rate. (17, 18)

#### Liposomes for Fungal Infections

Liposomal formulation is also used for fungal infections because many antifungal agents like amphotericin B have shown some serious toxic effect and less stability. Encapsulation of these antifungal agents showed improved result by increasing their stability activity and protection from environment. Amphotericin B in liposomal formulation (Ambisome) showed improved result in comparison to free drug. (19)

#### Liposome site specific targeting

Drug delivery to a particular site is achieved by liposomal drug delivery. Encapsulation of drug in the liposome nano carrier can deliver higher quantity of drug to a particular site which is very helpful in chemotherapy, many anticancer drug are available in liposomal formulation because of the target delivery system and which cause minimal exposure of drug to

normal tissues. By encapsulation both passive as well as active targeting can be done. (20, 21)

### Liposomes in cosmetics

Liposomes have application in cosmetics also because by encapsulation they increase the active ingredient's stability, enhanced dermal bioavailability, skin targeting, protection from sun and sweat of skin cells and also increase skin hydration. Products like hair shampoos, lotions, moisturizers, creams etc., are already present in the liposomal form. (22)

### Liposomes in food industry

Liposomes have great potentials in the food, beverage, and nutraceutical industries. Increased bioavailability and enriched flavors are results due to encapsulation of additives, antimicrobials and preservatives. Liposomes because of their non-toxic, biodegradable and ability to carry hydrophobic and hydrophilic product are suitable for the food industry. (23)

### Liposome in gene therapy

Liposomes serve as an excellent gene delivery tool because of its remarkable and unique characteristics in DNA delivery. (i) low immunogenic response, (ii) ease of loading DNA in larger quantity (iii) increased DNA stability in body by using liposomes and (iv) DNA blood circulation is improved because of minimal clearance. Liposomal gene therapy could benefit various diseases

**Table 5.** Some of the liposomes approved for clinical use

Disease indication	Liposomal product	Drug (API)	Company
Cancer therapy	Doxil®	Doxorubicin	Janssen Johnson&Johnson
	Mepact®	Mifamurtide	Takeda Pharmaceutical
	Myocet®	Doxorubicin	Elan Corporation USA
	Vyxeos®	Daunorubicin: cytarabine	Jazz Pharmaceuticals
Fungal diseases	Abelcet®	Amphotericin B	Enzon
	Ambisome®	Amphotericin B	Astellas Pharma
	Nyotran®	Nystatin	Aronex Pharmaceuticals
Viral vaccines	Epaxal®	Hepatitis A vaccine	Crucell, Berna Biotech
	Inflexal®V	Influenza vaccine	Crucell, Berna Biotech
Analgesics	DepoDur	Morphine sulfate	SkyPharma Inc.
	Exparel	Bupivacaine	Pacira Pharmaceuticals, Inc.
Photodynamic therapy	Visudyne	Verteporfin	Novartis
	Visudin	Verteporphyrin	Novartis

## 7. Liposomal Delivery: Future Challenges

There are three major issues that we encounter with liposomal delivery systems: absorption by the reticulo-endothelial system, large-scale processing, and phospholipid stability, all of which pose a barrier to their commercial growth.

### Uptake by Reticulo-endothelial system

Liposomes after the systemic administration are recognized as foreign particles by the mononuclear phagocyte system (MPS) cells, mostly in the spleen and liver by fixed Kupffer cells, and are thus endocytosed. This fate is ideal for delivering drugs to these cells, but it precludes other applications, such as site-specific drug delivery through ligands expressed on the liposome surface that bind to overexpressed receptors on diseased

like, immune system deficiencies, HIV, neurological disorders, cystic fibrosis, hemophilia and sickle cell anemia. (24)

### Need of regulations

- The biggest issues for regulation of liposomes is that the regulatory bodies use safety data based upon the bulk materials which don't display same PK and PD behavior as liposomes. (25) Often scale up and manufacturing process is hit or miss for liposomes stability. Hence, stringent protocols and assurances are required for approval. (26)
- Regulatory guidelines are needed to measure liposome toxicity which is used as nanocarrier. (27)
- Genotoxicity and mutagenicity may occur because most nanomedicines directly interfere with genetic material. (28)
- There is data indicating that nanomedicines when administered intravenously accumulate in renal system, liver, CNS system. (29, 30)
- Also the impact of nanomedicines on the environment should be considered while regulating them. (31)
- Environmental assessment for a new nanotechnology product is required by the USFDA unless relaxation is provided.

## 6. Currently approved clinical liposomal drug therapies

cells. As a result, researchers began looking for liposomes that could evade MPS uptake, and a few lipid compositions that extended blood circulation time of liposomes were discovered.

### Large scale production

Liposome preparation entails a number of steps, including the evaporation of a solvent system under reduced pressure, the preparation of a thin lipid film, and sonication. These measures, especially the preparation of thin film, are complicated to carry out on a large scale. As a result, scaling up liposome production from the laboratory to large-scale production is difficult. Chemical solvents such as chloroform, methanol, and others are not recommended in such high concentrations

to solubilize and combine lipids, according to regulatory standards.

### Stability

While liposomes have the advantage of improving the stability of unstable drugs, the phospholipids used in their manufacture are highly susceptible to oxidation and/or hydrolysis. As a result, lipid-based products cannot be processed for a longer period of time. However, the goods are also available in lyophilized form, which have to be rearranged before use. Liposomes are not only physically unstable, but they are also chemically unstable. Furthermore, it has been found that electrostatic liposome stabilization is insufficient in the presence of disintegration substances such as enzymes and proteins encountered in in-vivo applications. (32)

## 8. Regulatory Landscape in US

In the United States Food and Drug Administration, (FDA) is in charge of evaluating, authorising, and overseeing medicinal products such as pharmaceuticals and medical devices. The FDA regulates a broad variety of products, including foods, cosmetics, medications, instruments, veterinary products, and tobacco products, all of which can include nanotechnology or nanomaterials. (33)

### When determining whether a product controlled by the FDA uses nanotechnology, the FDA would ask:

- Whether an end product or material is designed to have as a minimum one outside dimension, in addition to an inner or surface structure, with inside

the range of nanoscale (approximately 1 nm to 100 nm).

- When an end product or substance is designed exhibit any physical, chemical or biological effect because of its size or dimension. (34)

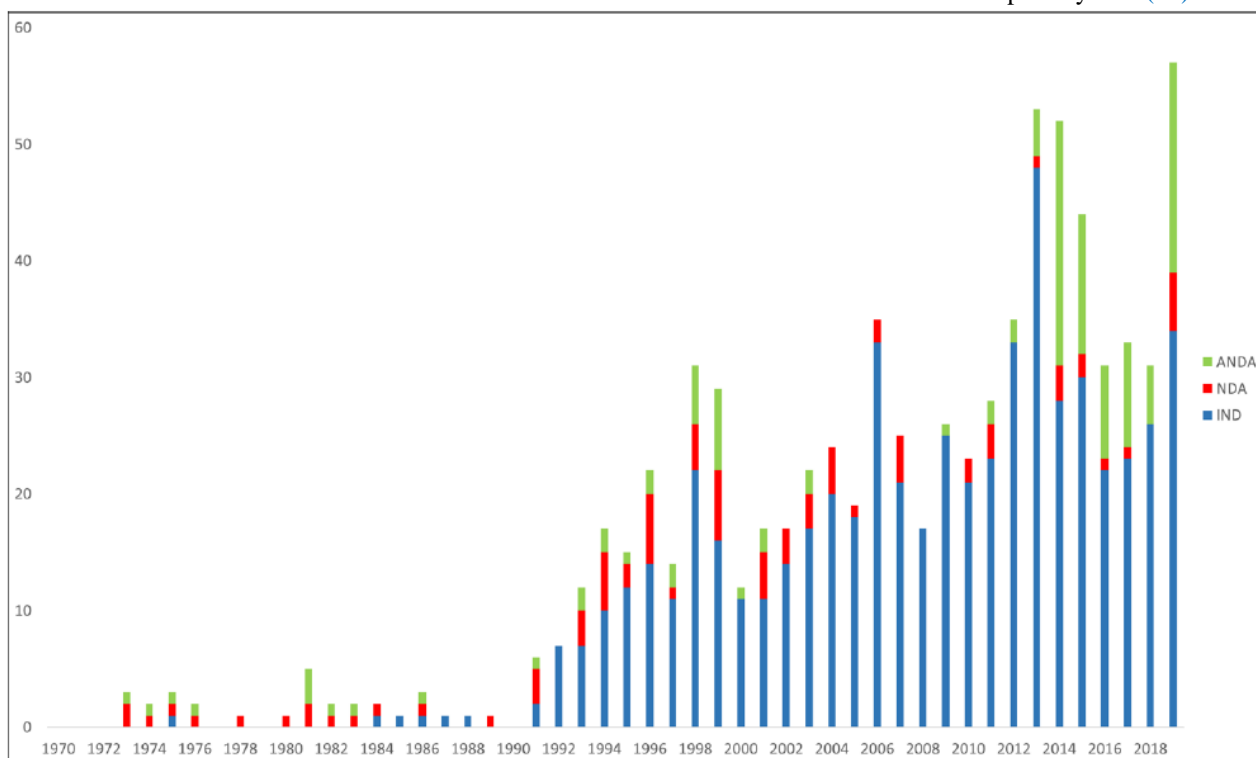
### The 505(b)(2) regulatory pathway

The liposome drug products can 505(b)(2) pathway to get approved, because most of the time liposome contain an already licensed drug. This type of submission provide benefit to the applicants because FDA will allow referral to the dossier of the API which is already authorized by the FDA in other dosage forms, reducing the number of clinical trials needed and making liposome product production much less expensive than creating a new chemical entity (NCE).

### FDA Nanotechnology Task Force

Nanotechnology task force was formed by FDA in august 2006, with a goal of determining approaches of regulatory authority that would promote the production of safe and effective FDA-regulated nanotechnology or nanomaterials products.

Rapid advances in fields such as engineering, life sciences and medicine have growth in the knowledge of nanotechnology and its existing and future applications in FDA-regulated products. Since 1970, More than 600 applications (investigational new drug (IND), new drug application (NDA), and follow up product application for drug products which include application of nanomaterials have been received by the FDA's Center for Drug Evaluation and Research (CDER), with half of them submitted in the last couple of years. (35)



**Figure 2.** Human drug product submissions to FDA containing nanomaterials between 1970-2019.

In April 2018, FDA released its final guidance for industry on liposome drug products. It completes the October 2015 updated draught guidance for industry

Liposome Drug Products, Chemistry, Manufacturing, and Controls; Human Pharmacokinetics and Bioavailability; and Labeling Documentation.

## 9. Data to be submitted by an applicant

The US Food and Drug Administration issued guidelines on what details should be included in a new drug application or follow up application for a liposomal drug product that will be evaluated by the Center for Drug Evaluation and Research (CDER). (36)

### Chemistry, Manufacturing, and Controls

#### a. Description and Composition

In the application applicant should include information about the liposome drug product's composition like drug substance, lipids, nonlipid components. An expression for amount of lipid and drug substance which is incorporated in the formulation should be expressed. Since any alterations in the manufacturing, including the composition of the lipids, can have a huge impact on the toxicology and pharmacological properties and quality of a liposome product, the ranges must be defined based on product development studies.

#### b. Physicochemical Properties

The structure and integrity of liposome are critical physicochemical properties that indicate the liposome drug formulation's ability to contain and maintain the drug products within the proper liposome structure. These characteristics would be used to describe a liposome formulation in general. Changes in the consistency of the liposome product, including drug leakage from the liposomes, can be caused by variations in these properties. Some of the physicochemical properties are size distribution, mean size of particles of liposomes, osmolality, zeta-potential and physical stability

#### c. Critical Quality Attributes

The parameters whose variation has an impact on critical quality attribute are determined by critical quality attribute (CQA). As a result, it must be regulated or managed in order to ensure the optimal drug product

**Table 6.** Stability testing of new liposomal drug formulations:

Study	Stored general conditions	stored in refrigerator	a	stored in a freezer	Duration of study
Long term	30°C ± 2°C /75% RH ± 5% RH	5°C ± 3° C		- 20°C ± 5°C	6 months or 12 months
Accelerated	40°C ± 2°C /75% RH ± 5% RH	25°C ± 2° C/60% RH ± 5%RH		-	6 months

### Post-approval Changes in Manufacturing

The FDA claims that "Liposome drug products are complex and responsive formulations, with less stable responses to CMC changes than more traditional formulations. As a result, adjustments to the formulation, container closure, manufacturing location, or manufacturing process (including significant equipment and size changes) will almost always necessitate a supplement to the prior approval." To discuss concerns about the type of information to produce or the necessary reporting process for a post-approval update, FDA

#### d. Description of Manufacturing Process and Process Controls

A comprehensive s flow diagram of process and a summary of operations with ranges for process parameters and process controls are recommended by the FDA. Pharmaceutical production research can back up these ranges. The process and mechanism of liposomal drug loading and the purification of free (unincorporated) drug substance from the liposome formulation, should be thoroughly explained. Until commercial delivery, the production process should be tested to show accuracy and reproducibility.

#### e. Control of Lipid Components

The consistency of lipid components, especially changed lipids, can affect the quality and efficiency of a liposome medicinal product. A novel lipid component, defined as any lipid component not mentioned in the Database of inactive ingredients (IID) or a component that exceeds the amount provided in the database for the intended administration route, should have the same degree of information as a drug product. This information needs to be included in the application or in a Type IV Drug Master File (DMF)

#### f. Drug Product Specification

Applicant should provide a drug product specification that takes into account particular characteristics for the product. Some of the specification which should be includes in the product specification are physiochemical parameters, free and contained drug in liposome, lipids content used, in-vitro release of drug from the liposome, detail about the degradation product.

#### g. Stability

The microbiological, physical, and chemical stability of the liposome formulation and the integrity of the liposomes in the drug product should all be considered in stability studies. (37)

recommends contacting the appropriate review division associated with the application. (38)

### Human Pharmacokinetics: Bioavailability and Bioequivalence

The Guidance states that calculating the quantity of drug in plasma over time is unlikely to be adequate to show bioequivalence because of the products' complexity and varying release profiles relative to other liposomal products and non-liposomal liposomal products. The drug's bioavailability at the site of action may need to be determined.

A Pre-ANDA meeting is recommended for ANDA applicants prior to submission to decide an appropriate method for determining drug bioavailability at the site of action. A Sponsor should check with the relevant CDER Review Division for NDA applications.

For an ANDA submission, product-specific bioequivalence guidances should be taken into account when submitting an ANDA. Just four of such guidance documents for liposomes have been published by the FDA so far. Draft guidelines for bupivacaine, daunorubicin citrate, amphotericin B and doxorubicin are among them. Clinical and in vitro trials to show bioequivalence are recommended in the guidance documents. (39)

#### Comparison with the non-liposome drug product

The FDA advises a Sponsor to compare its proposed innovator liposomal product to an approved non-liposomal product that includes the same active ingredient and is administered via the same route. Absorption, delivery, metabolism, and excretion (ADME) experiments should be used to compare the two drugs. A mass balance research with radio-labeled drug material may be required to characterize differences in distribution between liposomal and non-liposomal drug products. In the relevant patient population, a single-dose PK analysis comparing liposomal and non-liposomal products should also be performed.

#### Biopharmaceutics

According to the Guidance, studies should be conducted to determine whether the release characteristics of the items are identical. It should be attempted to perform IV/IVC (in vitro/in vivo correlation) studies. Even if a full connection cannot be

formed, information about such relationships can be useful. To assess the potential for drug 'dose-dumping' in vivo, liposome association with blood proteins should be investigated.

#### Labeling

Labeling requirements for liposome formulation are available on the website of CDER. The liposomal product's nonproprietary name should include term that distinguishes the product form as a liposome or a pegylated liposome.

Ex

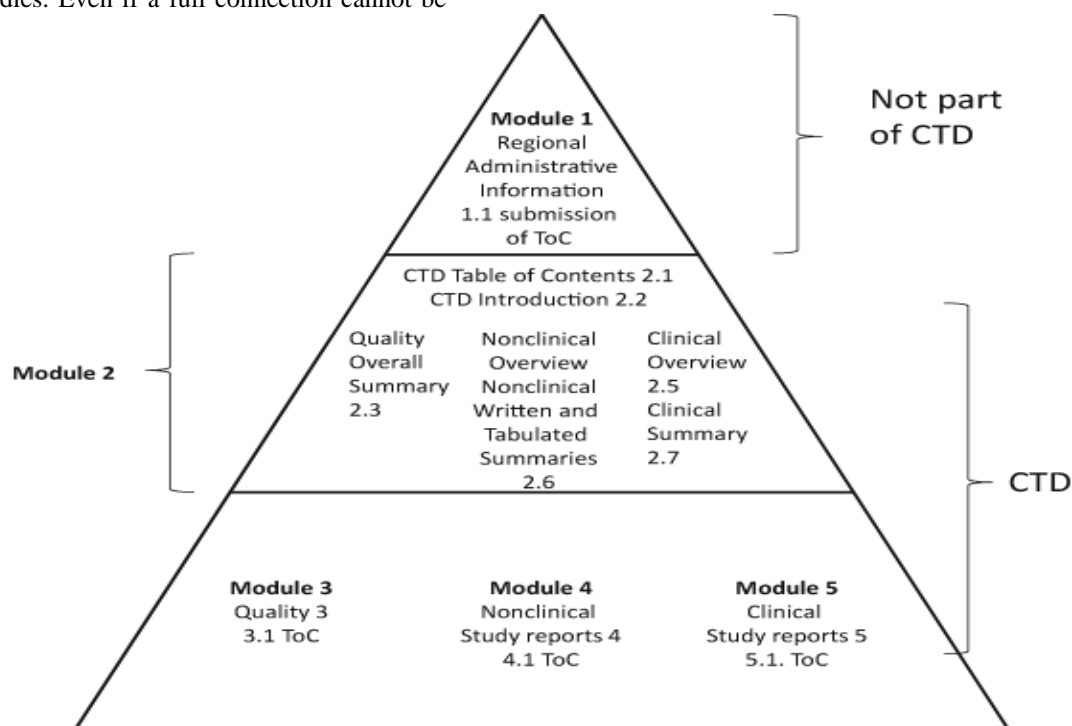
[DRUG] Liposome Type X [DOSAGE FORM]

[DRUG] Pegylated Liposome Type X [DOSAGE FORM]

When FDA approves innovator's liposome drug products it will be designated as type A and other follow up for the same drug and dosage form will be designated as type B, C, D.....Z. label should also include a caution note regarding the different behavior pattern of liposome drug product. Proper reconstitution instructions and an adequate usage time must be given for a reconstituted product. For the liposomal drug product's robustness, proper storage and reconstitution conditions should also be given. (40)

#### 10. Submission

For getting market authorization for the liposomal drug product submission is made using common technical document (CTD) format. CTD format dossier is used in many regulated and semi regulated market like Us, Japan, Europe, India etc. it consists of five modules (41):



ToC table of contents

Figure 3. CTD format for submission

- Module 1 - Administrative Information
- Module 2 – Summaries
- Module 3 – Quality
- Module 4 - Non-Clinical
- Module 5 – Clinical

## 11. Conclusion

With the introduction of the PEGylated liposomal formulation Doxil® in 1995, liposomes were successfully introduced to the market. After their introduction, these delivery mechanisms have been investigated for diverse types of diseases ranging from tumors care to pain relief. Regulation over pharmacokinetics and pharmacodynamics properties, increased bioavailability, and low toxicity are the main advantages of liposomes. Regulatory guidance, on the other hand, has not kept pace with the rapid growth of new liposome-based drug delivery systems, and regulatory demands are, for the most part, out of date.

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## Conflict of Interest

The authors declare that there is no conflict of interest regarding the publication of this article.

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