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1 **Production of PEGylated nanocapsules through solvent-displacement in confined impinging jets**
2 **mixers**

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9 **ABSTRACT:**

10 The growth of importance of nanocapsules (and other particulate systems) in different fields requires fast
11 and reproducible methods for their production. Confined impinging jet mixers were successfully used for
12 the production of nanospheres and are now tested for the first time for the production of nanocapsules.
13 This work focuses on the understanding of formation mechanisms and on the quantification of the effect of
14 the most important operating parameters involved in their production. Solvent displacement is employed
15 here for the assembly of the nanocapsules by using a PEGylated derivative of cyanoacrylate as copolymer.
16 A comparison with nanospheres obtained under the same operating conditions is also reported. Results
17 show that the oil-to-copolymer mass ratio (MR) is the main factor affecting the final size distribution and
18 that small nanocapsules are obtained only at low oil-to-copolymer MR. The effect of mixing is significant,
19 proving that mixing of solvent and antisolvent also affects the final size distribution; this depends mainly on
20 the inlet jet velocity, but the size of the mixer is also important. The Reynolds number may be useful to take
21 this into account for geometrically similar systems. Quenching by dilution allows to stabilize the
22 nanocapsules, evidencing the role of aggregation and ripening

23 **Keywords:**

24 Nanocapsules, nanospheres, copolymer nanoparticles, confined impinging jets mixer, nano-flash
25 precipitation, solvent-displacement

26

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28

29 INTRODUCTION

30 In the last years, the pharmaceutical interest in nanotechnology has widen because of the
31 possibilities it offers in releasing drug molecules, enhancing their therapeutic activity, reducing side
32 effects, and increasing the lifetime of the drug *in vivo*. Different nanocarriers have been
33 investigated, namely, liposomes, solid lipid particles, microparticles, and nanoparticles based on
34 synthetic or natural polymers. Polymer nanoparticles include polymeric nanospheres and polymeric
35 nanocapsules. In nanospheres, the drug is incorporated in the polymeric matrix, whereas polymeric
36 nanocapsules have an inner liquid core surrounded by a polymeric layer, so that a large variety of
37 drugs can be dissolved in the inner core, according to their solubility. The drug molecules inside the
38 nanospheres are generally dispersed in the polymer matrix in a sort of solid solution but may also
39 form a solid core coated by the polymer, whereas in nanocapsules they are dissolved in the liquid
40 core; as a consequence, drug release occurs according to different mechanisms in nanospheres and
41 nanocapsules. It depends on biodegradation and bioerosion of the polymer by enzymes and on drug
42 diffusivity through the polymeric matrix, in the case of nanospheres, whereas in nanocapsules it
43 depends also on the partitioning between the media inside and outside the polymeric shell.¹ In
44 comparison to nanospheres, nanocapsules need a lower amount of polymer and can be loaded with
45 larger amounts of drug, depending on the drug solubility in the inner liquid.² This work focuses on
46 polymeric nanocapsules for pharmaceutical applications, but nanocapsules find wide use also in the
47 cosmetic and agrochemical fields. The wide growth of their application requires innovative methods
48 for faster production; the use of micromixers is here investigated for the first time.

49 Polymers from the family of poly(alkyl cyanoacrylates) (PACA) have been extensively used for the
50 preparation of drug carriers. PACA nanoparticles are very common, thanks to their ability to
51 achieve tissue targeting and enhance the intracellular penetration of drugs.³ The amphiphilic
52 copolymer poly(methoxy polyethylene glycol cyanoacrylate-*co*-hexadecyl cyanoacrylate)⁴,
53 indicated as poly(MePEGCA-*co*-HDCA) in what follows, is used in this work. This kind of
54 copolymer allows to obtain “stealth” nanocapsules, thanks to the polyethylene glycol (PEG) chains.
55 In fact, a limit of standard polymer nanoparticles, without PEG chains, is that *in vivo* opsonins
56 adsorb onto their surface and then nanoparticles can be recognized by macrophages and can be
57 accumulated in liver and spleen. A PEG coating increases their blood lifetime because it creates an
58 aqueous shell around the nanoparticle, which avoids opsonin adsorption and the subsequent
59 macrophage uptake.

60 Polymer nanocapsules, as well as nanospheres, can be prepared both by polymerization
61 methods^{5,6} and from preformed polymer, by different mechanisms such as, for example, solvent
62 displacement,⁷ emulsion–diffusion,⁸ double emulsification,⁹ and so on. The different processes and

63 the characteristics of the nanocapsules produced have been recently compared.¹⁰ In solvent
64 displacement methods (also called interfacial deposition or flash nanoprecipitation), the polymer is
65 prepared in a previous step, resulting in some advantages with respect to interfacial polymerization.
66 In fact, solvent displacement allows to use polymers with controlled molecular weight, avoids the
67 presence of residual monomers in solution, it is simpler and more reproducible, and it is easier to
68 scale-up. Solvent displacement consists of mixing a water-miscible organic phase, containing the
69 polymer, the oil, and generally the drug, with an aqueous phase. The organic phase is referred to as
70 solvent, whereas water is the antisolvent. When the two phases are mixed together, the organic
71 phase diffuses rapidly into the water, where it is soluble and where on the contrary the polymer, the
72 oil, and the drug are insoluble. The rapid diffusion of the solvent in the antisolvent is the driving
73 force in nanocapsules formation, inducing oily drops formation and the interfacial deposition of the
74 polymer around the oily drops.

75 The overall process being very rapid, it is influenced by mixing and in order to obtain good mixing
76 conditions, special micromixers must be used. Confined impinging jet mixers (CIJMs) provide
77 optimum mixing conditions. Their use in nanosphere formation was extensively studied^{11–13} and
78 they were found to be very useful in controlling the final particle size.¹⁴ CIJMs consist of two high
79 velocity linear jets of fluid that collide inside a small chamber, whose size affects the overall mixing
80 rate.

81 Mixing mechanism and nanoparticle formation in CIJMs, similar to the ones studied in this work,
82 were analyzed in previous papers through computational fluid dynamics (CFD)
83 simulations.^{15,16} CFD simulations allow to quantify the mixing dynamics of the two inlet streams
84 inside the mixing chamber. Three types of mixing mechanisms are generally present: macromixing
85 at the mixer scale, mesomixing at the scale of the largest turbulent eddies, and micromixing at the
86 molecular scale. Each step controls the next one and can be rate limiting. CIJMs limit the
87 mesomixing time and ensure fast homogenization (i.e., short macromixing time) of the two fluids.
88 Characteristic global mixing times in these equipments were calculated by CFD and are in the order
89 of magnitude of milliseconds.^{17,18}

90 In this work, the use of the CIJMs for the production of polymer nanocapsules suitable for
91 pharmaceutical applications is investigated for the first time. As the mechanisms of nanocapsule
92 formation are likely different from those of nanospheres, we are particularly interested in
93 investigating the interplay between mixing and nanocapsules formation, with the precise scope of
94 highlighting similarities and differences. Attention is paid to the control of nanocapsule size
95 distribution. In fact, different applications translate into different requirements. For example, in the
96 case of intravenous administration, nanocapsules have to be smaller than 300 nm. For other

97 applications, such as cosmetic¹⁹ and food,²⁰ size limitations are different; therefore, the
98 development of strategies to control the final nanocapsule size turns out to be very useful. Our work
99 aims also at understanding if mixing can be used (also for nanocapsule) as an active parameter to
100 control and tune the final size distribution.

101 It should be highlighted that no drug has been considered in this work. Although in the case of
102 nanospheres, the absence or the presence of the drug can significantly alter the results (and can
103 modify the particle structure), especially in terms of stability (as shown, for example, for
104 doxorubicin-loaded polymer nanospheres²¹), in the case of nanocapsules, the situation seems to be
105 very different, representing yet another difference between the two systems. In fact, the oil
106 separates from the initial single-phase system through spinodal decomposition; no energetic barrier
107 has to be overcome (as dictated by the Cahn–Hilliard equation) and molecular diffusion is the
108 bottleneck. As the drug is generally hydrophobic and in low concentration (in comparison with the
109 oil), drug molecules will likely move rapidly inside the oily drops. Indeed, a successive study with a
110 drug is required to prove this last point and this simpler oil–polymer system will be used as
111 reference.

112

113

114 **THEORETICAL BACKGROUND**

115 The formation of nanocapsules and nanospheres during solvent displacement is a complex process
116 and many theories and interpretations have been presented in the literature. Knowledge of what
117 happens at the molecular level is of primary importance for manipulating and controlling the overall
118 process. Classical precipitation theory explains particle formation in three steps: nucleation,
119 molecular growth, and particle aggregation.²² Supersaturation is the driving force for particle
120 formation and in solvent displacement processes, it is built up by mixing of the solvent and the
121 antisolvent. As in this work we are interested in both nanospheres and nanocapsules, it is necessary
122 to review and briefly discuss the theory presented in the literature for these two systems.

123 In the case of nanospheres, the copolymer and organic compound are dissolved in the solvent and
124 when mixed with the antisolvent, particles are formed. Johnson and Prud'homme²³ describe
125 nanosphere formation as the competition of two simultaneous phenomena: nucleation of drug
126 particles and copolymer self-assembly. The two phenomena are characterized by different time
127 scales and in order to allow the copolymer molecules to interact with (and to deposit on) the
128 growing particles, the two time scales have to match one another. Typical operating conditions,
129 used in the production of most of the organic drug particles, are characterized by extremely high

130 supersaturation, resulting in very small nucleus size, practically instantaneous nucleation, with very
131 little energy barrier. It is also important to compare these time scales with the mixing time scale. It
132 was in fact observed that faster mixing generally results in smaller drug particles with higher
133 functionalization by the copolymer; however, once a certain limit is reached, no significant change
134 in nanoparticle properties is observed. This is probably related to the development of a spatially
135 independent self-similar state caused by the achievement of fully turbulent flow.

136 In the case of nanocapsules, the inner core of the particle consists instead of a lipophilic liquid
137 (usually oil), which is insoluble in the mixture of solvent and antisolvent. Thus, in nanocapsule
138 formation, two phenomena are involved: oily drop formation and polymer deposition around the
139 oily drop. Oily drop formation takes place through spinodal decomposition (as dictated by the
140 Cahn–Hilliard equation). Therefore, although due to the high supersaturation the nucleation process
141 involved in nanosphere formation generates a very small energy barrier, some differences between
142 nanospheres and nanocapsules, where on the contrary spinodal decomposition occurs spontaneously
143 without any energy barrier, might be observed.

144 In addition, when solvent and antisolvent are mixed together, the oil dissolved in the solvent
145 separates, resulting in drops which tend to coalesce. This can be prevented (as in the case of
146 nanospheres) by the deposition of the copolymer around the drops; however, in the case of
147 nanocapsules, copolymer reorientation on the interface might play a different role. In any case, also
148 for nanocapsules, mixing efficiency is expected to be fundamental in order to have homogeneous
149 and optimal conditions for the formation of very small drops and an even distribution of copolymer
150 molecules around drops.

151 Some authors^{24,25} have acknowledged the important contribution of the Gibbs–Marangoni effect
152 on the formation of nanocapsules, in which the driving force is the difference in the interfacial
153 tension between the solvent and the antisolvent. This effect is not considered in this work because it
154 is important when nanocapsules are produced with the classical method, adding slowly the solvent
155 to the aqueous phase. Using micromixers, such as CIJMs, under very intense turbulent mixing
156 conditions, this effect is expected to be less important.

157

158 **MATERIALS AND METHODS**

159 The poly(MePEGCA-*co*-HDCA) copolymer was synthesized by condensation of the two monomers
160 (MePEG cyanoacetate and *n*-hexadecyl cyanoacetate) in ethanol and dichloromethane. The ratio

161 between MePEG cyanoacetate/hexadecyl cyanoacetate was 1:4. The synthesis was carried out under
162 the presence of formaldehyde and dimethylamine, as described in another work,¹⁷ following the
163 procedure of Peracchia et al.,²⁶ with some minor changes.

164 The copolymer was characterized in terms of its molecular weight, by using dynamic light
165 scattering (DLS) and by resorting to the Debye theory, by differential scanning calorimetry and
166 by ¹H NMR.¹⁷ DLS characterization resulted in a molecular weight of about 4.37 kDa, whereas the
167 two other characterizations confirmed the presence of the two monomers (the lipophilic one,
168 HDCA, and the hydrophilic one, MePEGCA) and their approximate ratio of 1:4.

169 In all the experiments, Miglyol® 812N (a mixture of capric and caprylic acid) was used as liquid
170 core (courtesy of Sasol Italy S.p.A). The solvent is Acetone Chromasolv (high-performance liquid
171 chromatography grade), purchased by Sigma–Aldrich Italia (Milano). Milli-Q RG system by
172 Millipore® (Billerica, MA, USA) was used to produce the ultrapure water employed in all the
173 experiments.

174 Nanocapsules and nanospheres were prepared by solvent displacement. In nanocapsule
175 precipitation, the copolymer together with Miglyol® was dissolved in acetone and then mixed with
176 pure water, whereas in nanospheres, only the copolymer was dissolved in the solvent. Apart from
177 this, the two preparations were identical. After mixing with water, the particulate system was
178 immediately formed. As already mentioned, since the process is strongly influenced by mixing,
179 CIJMs were used that ensure high turbulence levels and short mixing times. Precipitation was
180 carried out with and without quenching, in order to highlight the possible influence of aggregation;
181 to this purpose, the outlet of the mixer (8 mL containing equal volumes of acetone and water) was
182 collected in a beaker containing 4 mL of water. Tests have been carried out in order to identify the
183 best quenching volume ratio. When this is too small, it could be ineffective in stabilizing the system
184 but when this is too large, it makes it impossible to use the sample for further characterization
185 (unless extensive and therefore extremely time-consuming water evaporation is carried out). Four
186 milliliters of water (corresponding to a 1:2 acetone–water final ratio in the mixture) was found to be
187 a good trade-off, as quenching with larger volumes did not result in significantly different data, still
188 resulting in reasonable final nanocapsule concentration.

189 The solubility of the copolymer for three water–acetone mixtures was studied. The investigated
190 water volume fractions were 0.5, 0.66 (equivalent to 2/3), and 0.9, corresponding to the three
191 conditions used in our experiments. In fact, samples without quenching result in mixtures of 0.5,
192 whereas in quenched samples, the water is twice the acetone, resulting in 2/3. The last condition
193 corresponds to a sample wherein the largest part of the acetone has been removed. These
194 experiments were performed at 30°C.

195 In our laboratory set up, solvent solution and antisolvent were loaded into two different plastic
196 syringes of 100 mL of volume and fed into the mixers by using a syringe pump (KDS200, KD
197 Scientific, Holliston, MA, USA). The pump was calibrated in order to make sure that the imposed
198 flow rate (FR) was actually delivered. Then, the solvent was removed by a rotating low-pressure
199 evaporative device (Stuart® Rotary Evaporators). The possible azeotrope for the acetone–water
200 mixture is in the acetone-rich region; therefore, complete removal of acetone is possible (as the
201 starting point is an already water-rich solution). The effect of acetone removal on nanocapsules was
202 quantified and found to be within the range of experimental uncertainty. Stability of the
203 nanocapsule size after solvent removal was monitored by storing samples at 4°C for several weeks
204 and measuring the nanocapsule size at regular time interval. No significant size changes were
205 detected.

206 Four different CIJMs were used in this work. They all are similar but are characterized by different
207 size of the inlet and outlet pipe and of the mixing chamber. A sketch is reported in Figure 1,
208 whereas the detailed quotes are reported in Table 1. They are labeled in what follows as scale-down,
209 CIJM-d1, scale-up (corresponding to three CIJMs exactly scaled-up by a geometric factor equal to
210 two), and CIJM-d2 (corresponding to the same chamber size of CIJM-d1 but with bigger inlet pipe).
211 The comparison of the results obtained with these four mixers allows to evidence scale-up and
212 scale-down effects, as well as the effect of the chamber and inlet pipe size on the final size
213 distribution.

214 Nanocapsules and nanospheres were characterized in terms of their size distribution (although
215 reported data refer only to the mean size) and zeta potential and spherical shape was confirmed by
216 Field Emission Scanning Electron Microscope (FESEM) pictures. The size of nanocapsules was
217 determined by DLS (DLS, Zetasizer Nanoseries ZS90, Malvern Instrument, Worcestershire, UK)
218 that measures accurately in the size range from 2 nm to 3 μm . Zetasizer Nanoseries ZS90 does not
219 use a movable detector but uses classical fixed detection arrangement at 90° to the laser and the
220 center of the cell area. In DLS measurements, the intensity size distribution is converted by using
221 the Mie theory to a volume size distribution. In order to obtain the volume size distribution, it is
222 necessary to provide the instrument the refractive index of the material (which does not
223 significantly influence the final result of the measurement) and of the dispersant. Before measuring,
224 the sample was diluted to 1:100 in order to reduce the solid concentration. In DLS, it is important to
225 have a sample with appropriate particle concentration; in fact, it has not to be too concentrated
226 because each single photon should be scattered only once before reaching the detector, but it has to
227 be concentrated enough to result in sufficient statistics. The parameters which assure the quality of
228 the measurements (i.e., polydispersion index, correlation function parameter) were controlled for

229 each single sample and measurements were repeated when the quality criteria were not reached.
230 Each sample was measured three times and the average value is reported in the figures. Thus, in the
231 following figure, z-average values are reported.

232 The surface charge of nanoparticles was inferred through zeta potential measurements in water, by
233 the same instrument, after dilution (1:10). In zeta potential measurements, the instrument measures
234 the electrophoretic mobility, which is the velocity of a particle in an electric field. The zeta potential
235 is then calculated from the Henry equation that makes use of the Smoluchowski approximation,
236 valid for particles in aqueous samples.

237 All the experiments were performed after dissolving the copolymer and the oil in the acetone. No
238 stabilizing agent was added to the aqueous phase as the PEGylated polymer can act as a stabilizer
239 due to its amphiphilic nature.

240 In order to investigate the interplay between mixing and nanocapsule formation, experiments were
241 carried out in a wide FR range up to 120 mL/min for both solutions. Results from our previous
242 work¹⁷ show that under these conditions, the mixers work under different fluid dynamics regimes.
243 In fact, the flow is highly turbulent only at the highest FRs (larger than 40 mL/min for the smallest
244 mixers and larger than 90 mL/min for the biggest mixers) and is instead transitional for the lowest
245 FRs. In all cases, however, the outlet stream is well mixed, as also at relatively low FRs, good
246 mixing performances are generally obtained. The reason for investigating the performance of these
247 devices also at low FRs, when the flow is not fully turbulent, is to verify the possibility of using
248 mixing as an operating parameter to control the final nanocapsule size.

249 In these experiments, the acetone solution contained 6 mg/mL of copolymer and 8 μ L/mL of oil
250 (7.6 mg/mL), equivalent to an oil-to-copolymer mass ratio (MR) value of $MR = 1.26$. We
251 performed the experiments both with and without quenching to understand the mechanism of
252 nanocapsule formation and the main differences with respect to nanospheres. In some cases,
253 experiments were repeated three times in order to quantify the experimental variability, reported
254 together with the data in the form of error bars.

255 The effect of oil concentration on nanocapsule size was studied at four different oil concentrations:
256 0 (i.e., nanospheres), 4.8 μ L/mL (4.56 mg/mL), 8 μ L/mL (7.6 mg/mL), and 15 μ L/mL (14.25
257 mg/mL) with 6 mg/mL of copolymer concentration. The respective oil-to-copolymer MR was 0.76,
258 1.26, and 2.37. These experiments were performed in all the CIJMs. Moreover, the same
259 experiments were performed in the CIJM-d1, varying the copolymer concentration (10, 6, and 3.2
260 mg/mL). In this case, the oil concentration was kept constant at 8 μ L/mL; in this way, the oil-to-
261 copolymer MR was the same of the previous experiments (0.76, 1.26, and 2.37).

262 A further set of experiments, keeping constant the oil-to-copolymer mass ratio (MR), was also
263 carried out. In this case, both copolymer and oil concentrations varied in order to check if it resulted
264 in nanocapsules with similar size. The two MRs considered were 0.76 (with the following different
265 concentrations: 4 mg/mL copolymer and 3.2 $\mu\text{L}/\text{mL}$ oil, 6 mg/mL copolymer and 4.8 $\mu\text{L}/\text{mL}$ oil, 10
266 mg/mL copolymer and 8 $\mu\text{L}/\text{mL}$ oil) and 2.37 (3.2 mg/mL copolymer and 8 $\mu\text{L}/\text{mL}$ oil, 6 mg/mL
267 copolymer and 15 $\mu\text{L}/\text{mL}$ oil). This set of experiments was carried out only in CIJM-d1 mixer.
268 Both the FR and the inlet diameter (d_{in}) of the mixer were varied in the experiments resulting in
269 different mixing regimes inside the device. FR, velocity of the inlet jet (v_j), and d_{in} are related
270 through the following relationship:

$$271 \pi \frac{d_{\text{in}}^2}{4} v_j = FR, (1)$$

272 At the same FR, the fluid velocity is different in different mixers, resulting in different mixing
273 efficiencies. According to Johnson and Prud'homme,²⁷ the overall mixing time (τ_{mix}) can be
274 calculated as follows:

$$275 \tau_{\text{mix}} \propto v_j^{-3/2} (2)$$

276 when the flow is fully turbulent and, of course, different mixers are characterized by different
277 residence times:

$$278 \tau_{\text{res}} = \frac{V_M}{FR} (3)$$

279 where τ_{res} is the residence time and V_M is the volume of the mixer.

280

281 **RESULTS AND DISCUSSION**

282 Solubility tests revealed that the polymer residual concentration in the water–acetone mixture is
283 significant when there is an equal amount of water and acetone and this amount slightly decreases
284 when the water amount increases. A reduction in residual solubility is in fact detected when almost
285 all the acetone (90%) is removed. Results are summarized in Table 2. This suggests that during
286 acetone removal, additional polymer molecules can deposit on already formed nanocapsules and
287 nanospheres. However, this amount does not significantly impact on the final particle size, as size
288 measurements performed before and after removal (data not shown) highlighted very limited
289 variations.

290 Nanocapsule formation was firstly investigated by comparing different mixers and different FRs
291 (with and without quenching) and subsequently by comparing different initial compositions
292 (copolymer and oil concentration). Results for the three CIJMs geometrically similar are reported in
293 Figure 2. The figure shows the zeta potential and the mean particle size for nanocapsules prepared

294 with an acetone solution of 6 mg/mL of copolymer and 8 μ L/mL of oil (resulting in MR = 1.26) at
295 different FR values, with and without quenching.

296 Let us first highlight the effect of the quenching water; if nanocapsules are not quenched, their final
297 mean size (after solvent evaporation) is significantly larger; this general behavior will be observed
298 in all the cases investigated, and will be discussed as follows.

299 A common trend for all the mixers can be observed: increasing the FR, faster mixing is achieved,
300 resulting in smaller particles. It is also interesting to observe that it is the same for both the
301 quenched and the nonquenched particles. The data seem to evidence a point after which further
302 increases in FR has little effect; this is expected by previous works in similar fields. The goal of
303 using special intensive mixers (such as the ones used in this work) is to ensure that the mixing time
304 is fast enough (in comparison with the particle formation time) so that the system can be considered
305 homogeneous. It is not completely correct to specify a single break point, as in the range
306 considered; in fact, the size is affected by fluid dynamics in a similar way, but this is true on a
307 logarithmic scale. The effect of a variation of the inlet FR is strong at low FRs (generally below 20
308 mL/min), whereas it is very weak at higher FRs, generally larger than 40 mL/min. Results seem to
309 show that mixing can also be used as an active parameter to control particle size. If one wants
310 smaller particles, higher FRs (and faster mixing rates) should be used; on the contrary, if one wants
311 bigger particles, smaller FRs (and slower mixing rates) should be used. This can be done until an
312 effect of the wideness of the size distribution is detected. As simulations for a similar system show,
313 in some cases there is a significant effect of mixing on particle size but a very limited one on
314 polydispersity (especially when this is quantified as relative to the mean particle size). The
315 combination of these two factors results in the possibility of playing with mixing only for the fine
316 tuning of particle size, leaving almost unchanged relative polydispersity.

317 It must be said that at very low FR the uncertainty of the experimental data is relatively high,
318 especially for the larger mixers, for which a lower reproducibility is observed; this may be a
319 consequence of the fluid dynamic regime, as the inlet jets are laminar and thus the flow in the
320 chamber is in the transitional region, with turbulence developing. In any case, it seems that the size
321 increase that is observed, even when no quench is used, is similar in the whole range investigated,
322 including the low FR region, thus confirming that the mixing performances of these devices are
323 good also in the laminar regime.

324 In Figure 2, the performances of the three mixers are compared plotting the size of the nanocapsules
325 obtained versus the inlet FR (the FR in each of the two inlets is considered), in order to evidence the
326 influence of the size of the apparatus at constant throughput. The measured zeta potential is, as

327 average, between -30 and -45 mV, indicating that nanocapsules are stable from the electrochemical
328 point of view. They reach lower values (-40 and -50 mV) if water dilution is carried out.

329 The scale-down mixer results in the smaller nanocapsules, probably due to the fact that it gives the
330 best mixing conditions, at fixed FR. As scale-down mixer inlet jet diameter is 0.5 mm, the inlet
331 stream can reach very high velocities, and as a consequence, high turbulent energy dissipation rates,
332 and very short mixing times. But the inlet jet velocity is not the controlling variable, as shown in
333 Figure 3; in fact, it can be noted that comparing the size obtained in the different mixers at the same
334 inlet velocity, the conclusion is reversed, and the smallest nanocapsules are obtained in the scale-up
335 mixer, whereas the scale-down mixer gives larger particles (and with higher energy costs). Only the
336 quenched particle case is shown, but the behavior is similar (at least for the three-scaled mixers) for
337 the nonquenched case. In these cases, the ratio between the inlet jet diameter and the chamber size
338 is maintained constant, thus it is not possible to evidence which one of these geometrical variables
339 eventually is more important, but it may be concluded that a larger size is surely favorable because
340 it allows to increase throughput, reducing at the same time the final particle size (or eventually to
341 obtain the same size at reduced jet velocity, and thus with lower energy input).

342

343 It is thus evident that the size of the apparatus plays a more complex role; if the Reynolds number is
344 used to characterize the fluid dynamic conditions, and thus mixing, it is observed that the curves
345 corresponding to the three mixers collapse onto a single one. Of course, Reynolds number can take
346 into account only fluid dynamics similarity and only for geometrically similar devices, thus the
347 behavior described above is observed only for the three-scaled mixers and for the same inlet
348 concentrations of oil and polymer (that is for a fixed characteristic process time).

349 More complex to explain is the behavior of the CIJM-d2, which has the same chamber of the CIJM-
350 d1, but larger inlet pipe diameters, equal to those of the scale-up device; in particular, significant
351 differences are observed with and without quench. When nanocapsules are quenched, the size of the
352 particles obtained, at a given FR, is approximately the same in the CIJM-d2 and in the scale-up
353 mixer. It can be noted that in this case the inlet velocity is also the same, as the pipe diameter is
354 equal (see also Fig. 3); this would suggest that the jet velocity is more relevant than the chamber
355 size to determine mixing conditions. On the contrary, at a given jet velocity, smaller particles are
356 obtained in the CIJM-d2 than in CIJM-d1; this might indicate that, for a given chamber volume, it is
357 favorable to have a larger interaction zone of the two streams. It can be noted anyway that operating
358 at the same jet velocity in the two considered mixers requires larger FRs in the one with larger pipe
359 diameters (the CIJM-d2), and this leads to proportionally shorter residence times; thus, the smaller

360 size might be also a consequence of the reduced time for coalescence, and connected to a lower
361 yield of the process.

362 If the outlet flow is not quenched, the behavior is different. At a given FR, the CIJM-d2 produces
363 particles significantly larger than all the others, and in particular larger than the scale-up mixer;
364 comparing the performances at a given inlet velocity, CIJM-d2 and CIJM-d1 produce nanocapsules
365 of similar size. The comparison with the scale-up mixer evidences that in this case a larger chamber
366 is favorable, as it allows to obtain smaller nanocapsules; as suggested by Johnson and
367 Prud'homme,²⁷ what may be relevant is the ratio between the inlet pipe diameter and a characteristic
368 chamber dimension and this value must not be too large to allow the mixing to be confined within
369 the chamber. It is possible that in CIJM-d2, the particle formation process is not completed in the
370 mixer, and this can explain the significant size increase observed in case of nonquenched
371 nanocapsules; the CFD simulations carried out in a previous work for the same geometry confirm
372 that the mixing process (at very low FRs) may be not complete.¹⁸ This fact may be also responsible
373 for the larger experimental uncertainty that is observed in the test carried out in the CIJM-d2.

374 The influence on the mean nanocapsule size of the inlet pipe diameter, for mixers with the same
375 chamber volume, is shown in Figure 4; in this case, the data are plotted considering the inlet jet
376 Reynolds number (for an inlet jet with average properties of the mixed liquid streams). It can be
377 noted that in case of quenched nanocapsules, a unique curve is obtained (and as discussed before,
378 this is the same curve valid for all the mixers in these concentration conditions), whereas for
379 nonquenched ones, larger sizes are obtained in the CIJM-d2, as discussed before. Figure 4 allows
380 also to compare the experimental uncertainty in the case of quenched and nonquenched processes;
381 in the latter case, it is significantly higher. Zeta potential measurements (not shown) result in values
382 slightly lower than -30 mV.

383

384 These results show the feasibility of CIJMs for the production of nanocapsules and prove that fast
385 mixing is needed in order to control nanocapsules size and in order to guarantee high
386 reproducibility. Better mixing conditions allow the formation of smaller oily drops and a better
387 coverage by the copolymer, resulting in smaller particles. Moreover, results show that quenching is
388 an important factor and cannot be avoided if nanocapsules with controlled characteristics are
389 desired. It may be also concluded that the process can be scaled using the Reynolds number, at least
390 for geometrically similar devices; the relative size of inlet pipes and chamber has shown to affect
391 the process, but its influence on final nanocapsule size is complex, and cannot be taken into account
392 with a simple relationship, such as that proposed for the mixing time in literature.²⁷ Also the
393 influence of the mixing time will require further work to be quantified in the case of this specific

394 application. In fact, the results obtained confirm that process kinetics and mixing interact and when
395 reducing the mixing time, smaller particles are obtained. However, modifications of the mixer size
396 and geometry cannot be taken into account simply by the variation in the mixing time estimated in
397 the different mixing devices, even for the same inlet polymer and oil concentrations. In fact, using
398 the mixing times estimated by CFD simulations¹⁸ for the different mixers to correlate the particle
399 size obtained, it is not possible to obtain a unique curve for the runs obtained in different mixers.

400 The effect of oil concentration on nanocapsule formation was also investigated. At a constant
401 copolymer concentration of 6 mg/mL, the oil concentration was varied between zero (resulting in
402 nanospheres) and a maximum value. Data are collected in Figure 5, where the results obtained for
403 four different oil-to-copolymer MRs are reported for each mixer; the data are plotted versus the
404 Reynolds number, on the basis of the results discussed in the previous parts of this work, and as the
405 experiments were carried out in the same flow rate range for the different mixers, obviously the
406 extension of the jet Reynolds number range investigated is different. The results confirm that for
407 every set of concentrations, a single curve is obtained for the different scaled mixers (in fact, the
408 approximation curve drawn in the different graphs of the figure is this common line), whereas a
409 behavior similar to that discussed before is observed for the CIJM-d2. These conclusions are
410 generally valid also for other polymer concentrations, but as it will be shown in the following, for
411 very low polymer concentrations, the formation of nanocapsules may be difficult.

412 As a general trend, it is possible to state that decreasing the oil-to-copolymer MR, the mean particle
413 size decreases. That can be due to the fact that when the oil-to-copolymer MR increases, there is not
414 enough copolymer to cover a larger surface area, resulting in bigger nanocapsules.

415 Each experiment at a given oil-to-copolymer MR was repeated with and without quenching water.
416 Quenching reduces the final nanocapsule size, but the effect is stronger at higher ratios, where there
417 is a lower amount of copolymer. As already mentioned, the operation of quenching allows to stop
418 nanocapsule evolution and freeze them as they are immediately after exiting the CIJM. In fact,
419 quenching dilutes the residual polymer concentration and the particulate system decreasing the
420 probability of nanocapsule collision and further growth. If we compare the results at different oil-to-
421 copolymer MRs, it is clear that the size increase is more relevant at high MR values, where there is
422 less copolymer to cover the oily drops. As a matter of fact, the results obtained at $MR = 0.76$
423 present a very small difference with or without quenching. This suggests that the copolymer coating
424 has an important role in stabilizing the suspensions and avoiding nanocapsule aggregation and
425 coalescence.

426 In Figure 5 also nanospheres produced under similar operating conditions are shown for
427 comparison; the size is always much smaller than that obtained in nanocapsules, which is mainly

428 determined by the size of the oil drops formed, suggesting that size increase can take place for
429 further aggregation of copolymer molecules from the solution and not for the collision of the
430 nanospheres.

431 In comparison to nanospheres ($MR = 0$), where there is no oil inside, in nanocapsule, the energy
432 barrier that has to be overcome due to repulsion forces in case of aggregation seems to be lower due
433 to the presence of the oil. Thus, the stability of the nanocapsule suspension could be related with the
434 thickness of the copolymer wall formed. This will surely decrease if the oil-to-copolymer MR is
435 increased and in the case considered is the largest at $MR = 0.76$. Moreover, we can assume that
436 good mixing allows more copolymer to be available for covering oily drops.

437 As noted in Figure 2, particle size does not significantly change when working with FR values
438 greater than 40 mL/min. That probably happens because the system reaches good mixing
439 conditions, which guarantee small particle size. Comparison with the data shown in
440 Figure 5 highlights an additional element. If we consider particle size obtained at Reynolds numbers
441 greater than 1000 (i.e., high mixing efficiency), the differences among the mixers are very small for
442 each MR investigated. In fact, the variation of particle size at each MR is smaller than 40 nm,
443 suggesting that the effect of the mixer geometry is very low when the highest mixing efficiency is
444 reached. Moreover, results are very reproducible at high mixing efficiency, on the contrary to what
445 happens under laminar conditions, where the data from different geometries are more scattered.

446 In Figure 6, zeta potential is shown as a function of the size for nanocapsules obtained with
447 different mixers, the FRs and oil-to-copolymer ratios. As it is possible to see no significant
448 differences are detectable depending on the mixers used, showing that both nanocapsules and
449 nanospheres present the same superficial properties independently on the mixer used, small
450 differences seem to exist between nanocapsules and nanospheres, but no significant differences are
451 noted among nanocapsules obtained at different MR. The fact that the presence of the oil does not
452 impact the final zeta potential value of nanocapsules could be interpreted as a proof of the fact that
453 the oil stays inside the copolymer shell. This hypothesis is supported by preliminary experimental
454 evidences obtained with X-ray photoelectron spectroscopy²⁸ and will be reported in future
455 communications.

456 As previously mentioned, the copolymer concentration was also varied, keeping constant the oil
457 concentration. Experiments were performed only in CIJM-d1 with and without quenching and all
458 the previous trends were confirmed, as shown in Figure 7 where the data are plotted versus
459 Reynolds as in previous cases. It may be noted that at low polymer concentration, the size of the
460 nanocapsules measured becomes extremely large, and it is evident that the situation must be
461 different from the other cases, where a proportional variation of the polymer had a relatively small

462 effect. Probably, under these conditions, the polymer quantity available for the formation of the
463 copolymer shell is too small, and the forming nanocapsules collapse; further work will be necessary
464 to investigate what happens under these limiting conditions.

465 Figure 8 shows results for nanocapsules obtained with CIJM-d1 for different initial oil and
466 copolymer concentrations, but at the same relative MR to investigate the role of the total
467 concentration of both copolymer and oil.

468 Results confirm that the copolymer concentration can play also an important role in the final
469 nanocapsule size, as it stabilizes oily drops and prevent further coalescence. In particular, they
470 clearly show that at MR lower than one, the total concentration of polymer and oil is not important,
471 but it is their MR that determines the final size, indicating that the copolymer is able to block oily
472 drops growth by surrounding them; at higher MRs, results depend on the polymer concentration. As
473 already mentioned, working at high mixing intensity (Reynolds numbers greater than 1000) the
474 mean particle size is, on average, between 170 and 280 nm, depending on the mixer and on the MR.
475 The only data point which does not fall within this range was obtained at MR 2.37 with a
476 copolymer concentration of 3.2 mg/mL and oil concentration of 8 μ L/mL. This data set shows a
477 mean particle size drastically larger than that for samples obtained under similar operating
478 conditions, even in case of quench; the relative increase observed for nonquenched particles, then,
479 is very relevant. Moreover, the solubility data already discussed show that there is a copolymer
480 amount remaining in the solution (0.2 g/L in acetone–water mixture at 90% of water) that has to be
481 subtracted from the initial copolymer concentration to give the effective available copolymer
482 amount. This is naturally more important at low initial copolymer concentrations, as in the case of
483 3.2 mg/mL.

484 To conclude, this second data set shows that increasing the copolymer amount, nanocapsule size
485 decreases and probably copolymer wall thickness increases. Quenching is useful in stabilizing the
486 system, preventing further aggregation especially when the copolymer amount is lower (and
487 probably the copolymer wall is thinner), but below a certain polymer concentration, nanocapsules
488 of controlled size cannot be obtained; the limit conditions, that probably depend on residual
489 polymer solubility in the liquid mixture, and on process yields, require further investigation.

490

491 **CONCLUSIONS**

492 We synthesized a PEGylated cyanoacrylate amphiphilic copolymer, in order to prepare
493 nanocapsules for pharmaceutical applications. PEGylated copolymers are very useful in the
494 pharmaceutical field as they increase the blood lifetime of particulate carriers. At the same time,

495 they are advantageous as they act as stabilizers, allowing to work without additional stabilizing
496 agents, thus reducing the costs and avoiding possible toxicity problems.

497 Nanocapsules were prepared for the first time using CIJMs. These devices provide good mixing and
498 were already used for obtaining nanoparticles of different materials. The mechanisms involved in
499 nanocapsule formation inside these devices are still not completely clear, as nanocapsules are a
500 complex system with more variables involved. The influence of mixer geometry on nanocapsule
501 formation needs more investigation, especially to understand how the overall mixing time affects
502 the final nanocapsule size and copolymer distributions.

503 The results reported in this work demonstrate that CIJMs can be successfully used in nanocapsule
504 production and represent possibility route for their continuous production. Different types of
505 nanoparticles are now reaching the clinical trial level; therefore, a continuous route for producing
506 them with reproducible characteristics is highly desirable.

507 Further investigations on the pharmaceutical properties of nanoparticles produced by this way are
508 required, in order to give a complete evaluation of the product and of the system together with the
509 limiting operating conditions that allow to obtain stable nanocapsules.

510

511

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587

Mixer	d_{in} (mm)	d_{out} (mm)	D_c (mm)	Volume (mm ³)
Scale-down	0.5	1	2.4	22.5
CIJM-d1	1	2	4.8	180.3
Scale-up	2	4	9.8	1288.3
CIJM-d2	2	2	4.8	180.3

588

589 **Table 1. Geometrical details of the CIJMs used for the experiments.**

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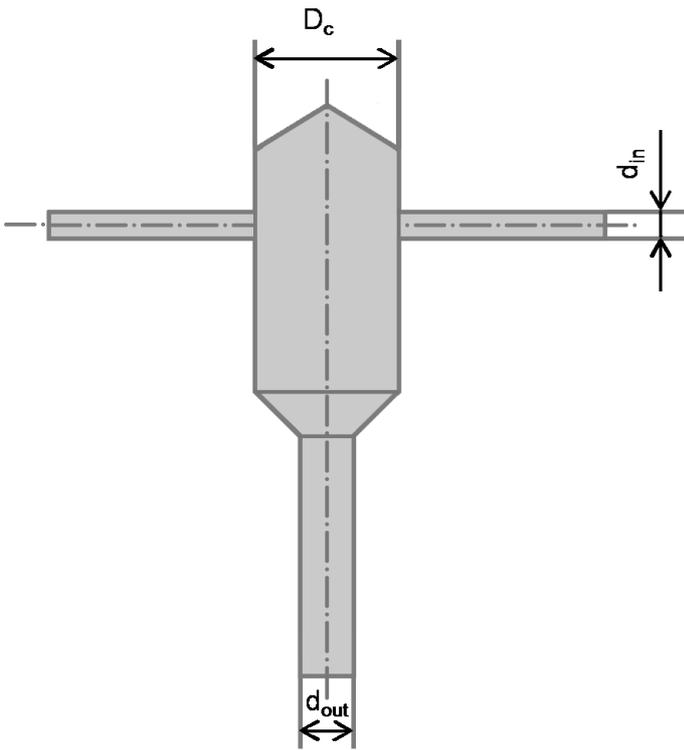
Water Volume Fraction	0.5	0.66	0.9
g/L	0.45	0.4	0.243

592

593 **Table 2. Polymer Solubility at Different Composition of the Water–Acetone Mixture**

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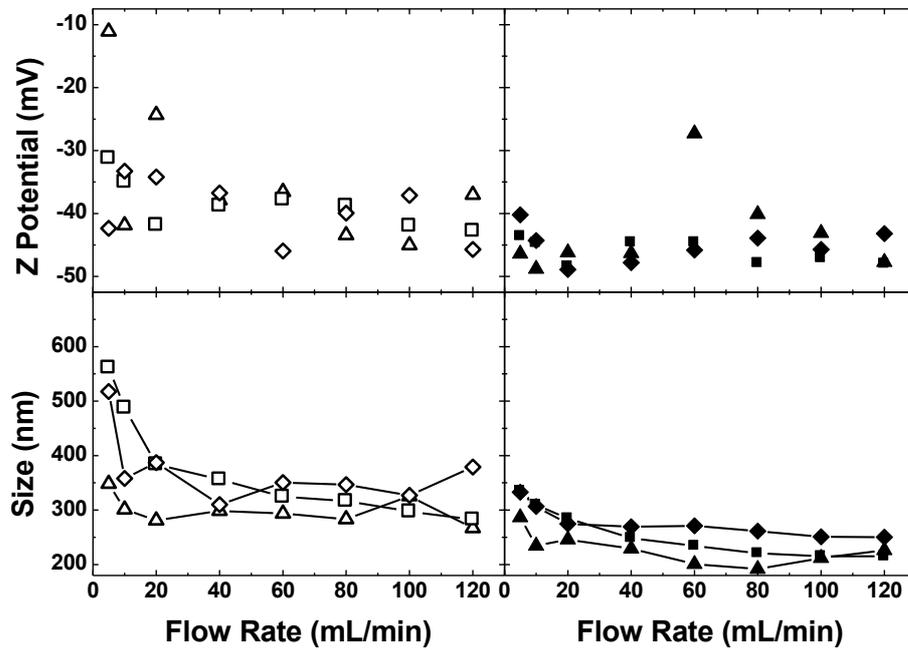
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597 **Figure 1. Sketch of the CIJMs used in this work.**

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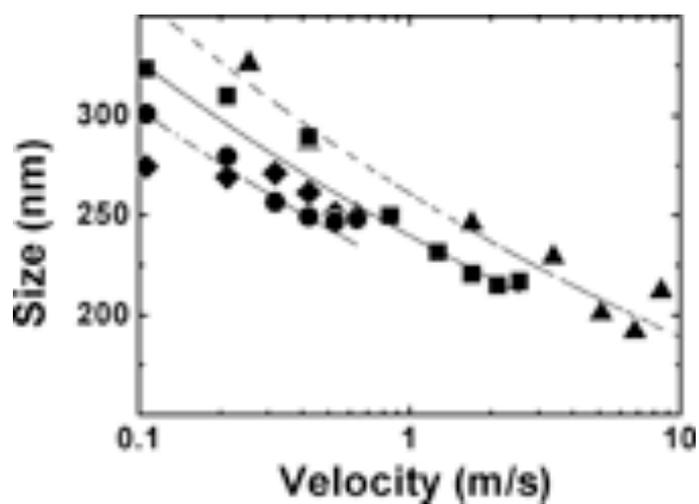


600

601 Figure 2. Mean particle size (bottom) and zeta potential (top) versus the flow rate for nanocapsules obtained
 602 without quenching water (left, open symbols) and with quenching water (right, filled symbols) for different
 603 mixers: scale down (Δ, \blacktriangle), CIJM-d1 (\square, \blacksquare) and scale up (\diamond, \blacklozenge). Experiments at constant polymer (6 mg/mL)
 604 and oil (8 $\mu\text{L/mL}$) concentration (MR = 1.26).

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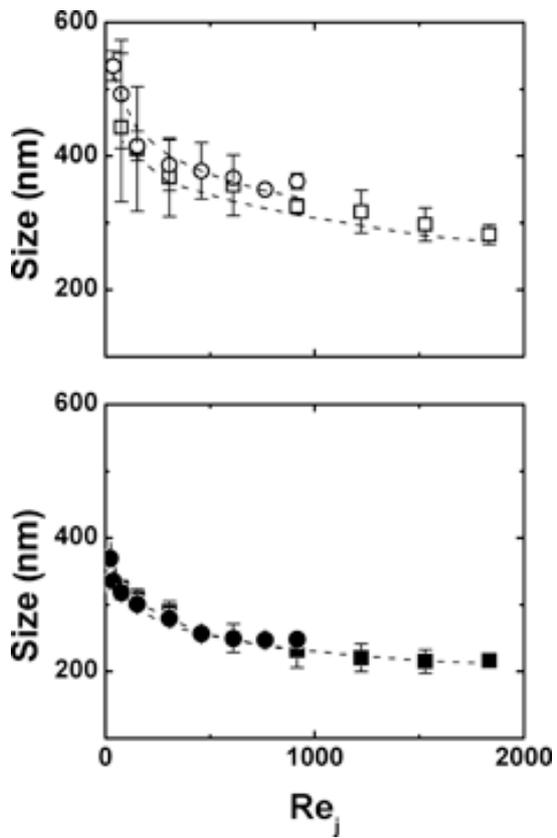
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608 **Figure 3. Mean particle size versus the inlet stream velocity for nanocapsules obtained with different CIJMs:**
 609 **scale-down mixer (▲), CIJM-d1 mixer (▪), scale-up mixer (◆), and CIJM-d2 mixer (●). Experiments at constant**
 610 **polymer (6 mg/mL) and oil (8 μ L/mL) concentration (MR = 1.26).**

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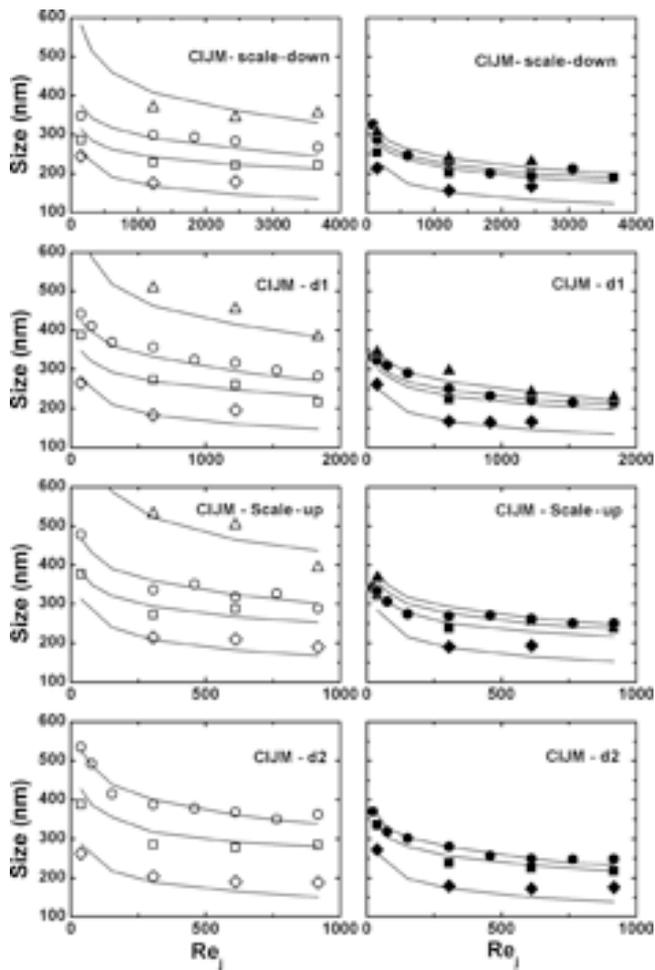
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615 **Figure 4. Mean particle size versus the jet Reynolds number for nanocapsules obtained without quenching water**
616 **(top, open symbols) and with quenching water (bottom, filled symbols) for CIJMs characterized by different**
617 **inlet pipes and same mixing chamber: CIJM-d1 (□,▪), CIJM-d2 (○,•). Experiments at constant polymer (6**
618 **mg/mL) and oil (8 μL/mL) concentration (MR = 1.26).**

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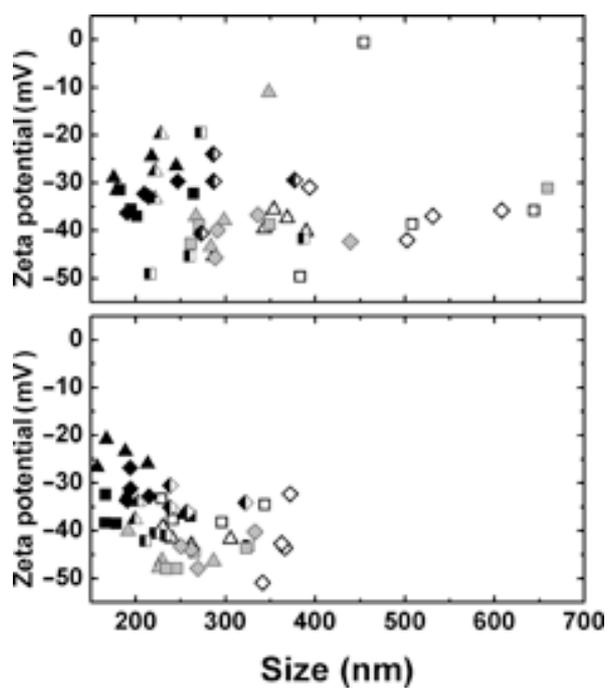


622

623 **Figure 5. Mean particle size versus the jet Reynolds number for nanocapsules and nanospheres obtained at four**
 624 **different oil-to-copolymer mass ratios, MR = 0 (\diamond, \blacklozenge), MR = 0.76 (\square, \blacksquare), MR = 1.26 (\circ, \bullet), and MR = 2.37 ($\triangle, \blacktriangle$)**
 625 **without quenching (left, open symbols) and with quenching (right, filled symbols) for (from top to bottom) scale-**
 626 **down, CIJM-d1, scale-up, and CIJM-d2. Constant polymer concentration (6 mg/mL).**

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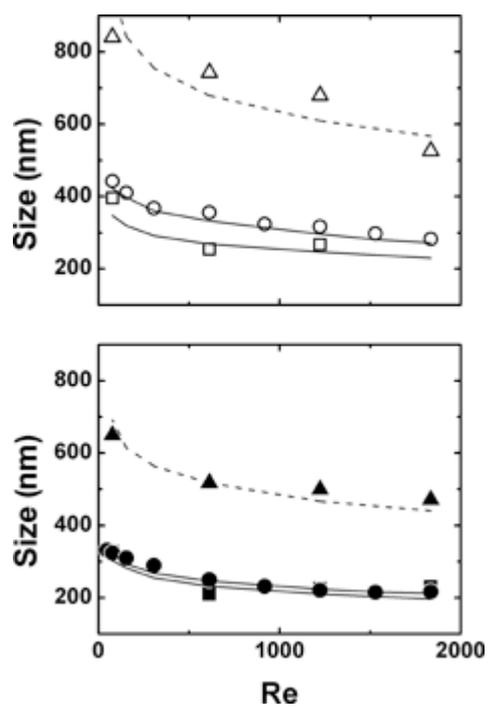
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630 Figure 6. Zeta potential as a function of particle size obtained with different mixers: scale-down (triangle),
 631 CIJM-d1 (square), and scale-up (rhomb). Top graph: particles without quenching. Bottom graph: particles with
 632 quenching. Both nanospheres and nanocapsules are present: nanospheres (black), nanocapsules at MR = 0.76
 633 (half black), nanocapsules at MR = 1.26 (light gray), and nanocapsules at MR = 2.37 (white).

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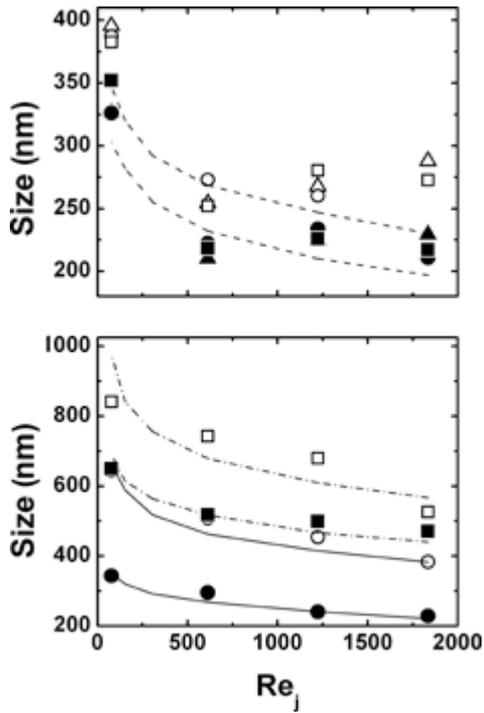
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638 Figure 7. Mean particle size versus the jet Reynolds number for nanocapsules obtained at constant oil
 639 concentration (8 $\mu\text{L}/\text{mL}$) and at copolymer concentration of 10 mg/mL (MR = 0.76, \square, \blacksquare), 6 mg/mL (MR = 1.26,
 640 \circ, \bullet), and 3.2 mg/mL (MR = 2.37, $\triangle, \blacktriangle$) in CIJM-d1 without quenching (open symbols) and with quenching (filled
 641 symbols).

642



643

644 **Figure 8. Mean particle size versus the jet Reynolds number for nanocapsules obtained with CIJM-d1 without**
 645 **quenching (open symbol) and with quenching (filled symbol) at two different constant oil-to-copolymer mass**
 646 **ratio for different copolymer and oil concentrations; upper graph: MR = 0.76 with 4 mg/mL copolymer and 3.2**
 647 **μL/mL oil (□,•), 6 mg/mL copolymer and 4.8 μL/mL oil (○,•), 10 mg/mL copolymer, and 8 μL/mL oil (□,□);**
 648 **lower graph: MR = 2.37 with 3.2 mg/mL copolymer and 8 μL/mL oil (□,•,——), 6 mg/mL copolymer, and 15**
 649 **μL/mL oil (○,•, ——).**

650