

Analytical Methods

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5 1 **A correlation model of UPLC fingerprint and anticoagulant**
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7 2 **activity for quality assessment of *Panax notoginseng* by**
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10 3 **hierarchical clustering analysis and multiple linear regression**
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12 4 **analysis**
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46 17 **Running title: UPLC fingerprint and anticoagulant activity of *Panax***
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22 **Abstract**

23 *Panax notoginseng* (Burk.) F.H. Chen (commonly known as Tianqi or Sanqi) is a
24 famous traditional Chinese medicine and has been widely used for treatment in
25 cardio- and cerebro-vascular diseases. However, the quality assessment of Sanqi is
26 quite difficult because of ingredients complexity. In this work, the chemical
27 fingerprints of 15 batches of *P. notoginseng* from different sources were investigated
28 by ultra-performance liquid chromatography (UPLC). Fourteen common peaks in
29 these samples were detected including 20(S)-protopanaxatriol saponins (PTS) and
30 20(S)-protopanaxadiol saponins (PDS). These samples were divided into three
31 clusters by hierarchical clustering analysis (HCA). Cluster I and III possessed
32 stronger anti-coagulation effects than cluster II. Multiple linear regression analysis
33 (MLRA) showed that notoginsenoside R1, ginsenoside Rb1, ginsenoside Rd and an
34 unknown compound might be the major effective compounds for the quality control
35 of Sanqi. PDS (Rb1, Rd, and the unknown compound) possesses a stronger
36 anticoagulant activity than PTS (R1 only). This conjecture was confirmed by the
37 dose–effect relationship evaluation of PDS and PTS. This study provides a general
38 correlation model of fingerprint and efficacy relationship for the quality control of
39 Sanqi and other TCMs.

40 **Keywords:** *Panax Notoginseng*; fingerprint–efficacy; quality control;
41 ultra-performance liquid chromatography; anticoagulant activity; saponins

1. Introduction

Traditional medicine (TM) plays an important role in public health-care. Almost 80% of the population in Africa, Asia, and Latin America rely on TMs to meet their primary health-care needs[1]. Traditional Chinese medicine (TCM) is the part and parcel of TM. Although the TCM industry has developed rapidly in recent years, several issues on quality have not been addressed. Quality control of TCM evaluates only a few ingredients, provides vague descriptions of complex TCM compositions, and ignores synergic actions among different ingredients[2]. The chromatographic fingerprint can reflect the total complex compositions of herbal medicines, and it has been accepted as a strategy for quality assessment of TCM[3]. Chromatographic fingerprinting technique was also introduced by the World Health Organization for assessment of natural products[4]. However, chromatographic fingerprinting only contains the information of chemical substances, but hardly provide the efficacy of TCM[5]. The fingerprint–efficacy relationship provides us a more powerful way for TCM quality assessment. The relationship between fingerprint and efficacy has been established to determine the main active components by chemo-metric methods[6]. These years, the fingerprint–efficacy has been applied to discover the principal components of TCM for quality evaluation and control [7, 8].

Panax notoginseng (Burk) F.H. Chen, commonly known as Tianqi or Sanqi, is a highly valued and important Chinese medicinal herb produced mainly in Yunnan Province. *P. notoginseng* has been widely used in China to stop internal and external bleeding, reduce swelling and pain, disperse blood clots, eliminate blood stasis, and

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4 66 promote blood circulation because of its hemostatic and cardiovascular effects [9].
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6 67 Modern pharmacological studies have demonstrated that *P. Notoginseng* possess
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8 68 anti-carcinogenic[10] and hepatoprotective properties[11], as well as protective
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10 69 effects on the cardiovascular and cerebrovascular systems[12]. The main bioactive
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12 70 ingredients of this herb have been thought to be the dammarane-type *P. notoginseng*
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14 71 saponins, including protopanaxadiol (PDS), protopanaxatriol (PTS), and other
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16 72 low-abundance groups[13]. In previous studies, saponins in *P. notoginseng* have
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18 73 been identified as the main components responsible for the anticoagulation
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20 74 activity[14]. However, it is still unclear that which ingredient plays a leading role.
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22 75 Therefore, it is important to elucidate the relationship between fingerprint and
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24 76 efficacy, determine the main active ingredients in *P. notoginseng* fingerprints and
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26 77 establish a reliable method for quality assessment.
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34 78 In this work, an appropriate UPLC was applied to establish fingerprints of *P.*
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36 79 *notoginseng* from various sources. The anticoagulant activity of these samples was
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38 80 analyzed by PT assay. A correlation model of UPLC fingerprint and anticoagulant
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40 81 activity was proposed by multiple linear regression analysis (MLRA) for quality
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42 82 assessment of *P. notoginseng*.
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46 83 **2. Materials and methods**

47 84 *2.1. Materials and reagents*

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53 85 A total of 16 batches of *P. notoginseng* samples from various sources in Yunnan
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55 86 Province were authenticated by Professor Yuejin Zhang (College of Life Science,
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4 87 Northwest A&F University). The *P. notoginseng* samples are numbered and listed in
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6 88 Table 1.
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9 89 The standards were supplied by the National Institute for the Control of
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11 90 Pharmaceutical and Biological Products (Beijing, P.R. China). The standards include
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13 91 notoginsenoside R1, ginsenoside Rg1, Rb1, and Rd. Methanol and acetonitrile for
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15 92 ultra-performance liquid chromatography (UPLC) were purchased from Merck
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17 93 (Darmstadt, Germany). Deionized (ultra-pure) water was prepared by using a
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19 94 Millipore Milli Q-Plus system (Millipore, Bedford, MA, USA).
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24 95 Warfarin sodium was purchased from Sigma-Aldrich (St. Louis, MO, USA). Dade
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26 96 Ci-Trol Coagulation Control level 1 was purchased from Dade Behring Marburg
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28 97 Gmbh (Marburg, Germany). The prothrombin time (PT) assay kit was purchased
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30 98 from Steellex Science Instrument Corporation (Beijing, P.R. China).
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34 99 All other chemicals in this study were of analytical grade and were obtained from
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36 100 standard sources.
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38 39 101 *2.2. UPLC fingerprints*

40 41 42 102 *2.2.1. Preparation of sample and standard solution*

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45 103 After pulverizing and sifting through a sieve (pore diameter: 0.3 mm), the 15
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47 104 samples (20 g) from various sources were extracted with 70% methanol (200 mL) by
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49 105 ultrasonication for 20 min. After filtration, each residue was re-extracted with 70%
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51 106 methanol. The combined filtrates from each sample were then evaporated to dryness.
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54 107 The residue was then reconstituted with 70% methanol (100 mL) for the UPLC
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57 108 analysis.
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4 109 The mixed standard solutions of the four saponins (R1: 0.124 mg/mL; Rg1:
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6 110 0.6162 mg/mL; Rb1: 0.589 mg/mL; Rd: 0.1468 mg/mL) were prepared with
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9 111 methanol.

112 *2.2.2. UPLC conditions*

113 All samples were analyzed by using the Waters Acquity UPLC system (Waters,
114 MA, USA), which comprises a binary solvent manager, sampler manager, column
115 compartment, and photodiode-array detector connected to the Waters Empower 3
116 software. An Acquity UPLC BEH C18 column (100 mm × 2.1 mm i.d., 1.7 µm;
117 Waters, MA, USA) was also used. The standards and samples were separated by
118 using a gradient mobile phase consisting of water (A) and acetonitrile (B). The
119 gradient conditions[15] were as follows: 0 to 0.2 min, 2% B; 0.2 to 2.0 min, 25% B;
120 2.0 to 2.5 min, **25%** B; 2.5 to 4.0 min, 35% B; 4 to 5.7 min, 60% B; 5.7 to 7.5 min,
121 80% B; 7.5 to 9.3 min, 90% B; 9.3 to 10.5 min, 98% B; 10.5 to 11.0 min, 2% B; 11.0
122 to 13.0 min, 2% B.

123 The temperatures of the column and sample injector were maintained at 45 and
124 15 °C, respectively. The flow rate was set at 0.4 mL/min, and the injection volume
125 was 2 µL. The detection wavelength was set at 203 nm.

126 All standard and sample solutions were filtered through a 0.22 µm Millipore
127 membrane prior to use. After filtration, the solutions were injected directly into the
128 LC system for analysis.

129 *2.2.3. Method validation*

130 Method validation was performed in conformity to the ICH Harmonised Tripartite

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4 131 Guideline (2006) on precision, repeatability, and stability.
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7 132 *2.2.4. Similarity analysis*
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9 133 The UPLC chromatogram profiles of congeneric samples from different origins
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11 134 were similar. The similarity degrees of these samples should first be evaluated by
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13 135 similarity analysis, which has been compulsorily performed by the SFDA of
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15 136 China[16]. Thus, the fingerprints of 15 batches of *P. notoginseng* were established
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17 137 and matched automatically by the Similarity Evaluation System for
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19 138 Chromatographic Fingerprint of TCM (Version 2004 A Chinese Pharmacopoeia
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21 139 Committee, Beijing, China). The simulative mean chromatogram, as a representative
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23 140 standard chromatogram for the 15 fingerprints, was calculated and generated
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25 141 automatically by this software by using the median method. Similarities between the
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27 142 entire chromatographic profiles of the 15 *P. notoginseng* samples and the reference
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29 143 chromatogram were also calculated by using the same software.
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37 144 *2.2.5. Hierarchical clustering analysis (HCA)*
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40 145 Clustering is the art of grouping pattern vectors that belong together because of
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42 146 similar characteristics. Clustering provides a visual representation of complex data
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44 147 and a method for measuring similarity between experiments. The similarity and
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46 148 dissimilarity between samples (objects) are usually represented in a dendrogram for
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48 149 ease of interpretation. An object is similar to other objects within its group but is
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50 150 different from those in other groups with respect to a predetermined selection
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52 151 criterion[17]. The HCA of 15 *P. notoginseng* samples was performed by SPSS
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54 152 statistics software (SPSS 17.0 for Windows, SPSS Inc., USA) based on the
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4 153 between-groups linkage method and squared Euclidean distance.
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7 154 *2.3. In vitro PT assay*
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10 155 PT assay experiments [18] were performed by using an LG-PABER-I
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12 156 platelet-aggregation factor analyzer (Steellex Science Instrument Corporation,
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14 157 Beijing, China).
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17 158 Approximately 100 mL of 70% methanol solutions from each sample were
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19 159 evaporated to dryness. The residue of each sample was then reconstituted and diluted
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21 160 with phosphate buffered saline (PBS; pH 7.4; 0.01 M) to a concentration of 20
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23 161 mg/mL for the in vitro experiments.
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27 162 The lyophilized pooled human plasma (Ci-Trol level 1) was freshly reconstituted
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29 163 with water. Plasma mixtures were prepared by mixing 200 μ L of plasma with 100 μ L
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31 164 of each test sample, as well as a positive control (5 mg/mL, warfarin sodium) and a
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33 165 negative control (PBS only), before performing the PT assay.
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37 166 Each plasma mixture (50 μ L) was incubated at 37 °C for 180 s. The reaction was
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39 167 initiated by adding 100 μ L of thromboplastin. The test was then started immediately.
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41 168 The reactions were performed in four concurrent repetitions, which were recorded
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43 169 and averaged.
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47 170 The data from the in vitro PT assay were analyzed to detect statistical significant
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49 171 differences at the 0.05 probability level by using one-way ANOVA via SPSS
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51 172 statistics software (SPSS 17.0 for Windows, SPSS Inc., USA).
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55 173 *2.4. Multiple linear regression analysis (MLRA)*
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4 174 MLRA attempts to model the relationship between two or more variables and a
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6 175 response by fitting a linear equation to the observed data. The general purpose of
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9 176 performing MLRA is to learn about the relationship between several independent
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11 177 variables and a dependent variable. MLRA can be generally represented by the
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14 178 following form:

$$15 \quad 179 \quad Y = b_0 + b_1X_1 + b_2X_2 + b_3X_3 + \dots + b_nX_n \quad (1)$$

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18 180 where Y is the estimated value and represents the dependent variable; X_1 , X_2 ,
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21 181 X_3, \dots, X_n are measures of uncorrelated variables that may help in estimating Y . For
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24 182 example, X_1 is the known score of the first independent variable, and X_2 is the
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26 183 known score of the second independent variable. The coefficient b_0 is the estimated
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28 184 constant, and $b_1, b_2, b_3, \dots, b_n$ are the regression coefficients[19].

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31 185 In this section, MLRA was applied to establish the fingerprint–efficacy
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33 186 relationship between the values of the peak area in UPLC fingerprints and the PT
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35 187 time of 15 *P. notoginseng* samples by using SPSS statistics software (SPSS 17.0 for
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38 188 Windows, SPSS Inc., USA) for finding the possible anticoagulation components.

39 189 *2.5. Testing the “dose–response” relationships of PTS and PDS*

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45 190 The S14 sample (40 g) was extracted by using the same extraction procedure. The
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47 191 residue was then reconstituted and diluted with 200 mL of water. The solution was
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49 192 separated into two types of saponins, namely, 20(S)-PDS and 20(S)-PTS, by using
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52 193 macroporous resins after centrifugation[20]. The separation conditions were as
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55 194 follows: a glass column (50 cm × 2.2 cm i.d.) wet-packed with 15 g (dry weight) of
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58 195 selected D-101 resin. After adsorption equilibrium, the adsorbents were eluted by

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4 196 gradient flushing with water followed by 20%, 30%, 40%, and 50% aqueous ethanol
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6 197 at a flow rate of 1 mL/min. According to the fingerprint obtained from UPLC, the
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9 198 PTS and PDS were in the 30% (E-30) and 50% (E-50) aqueous ethanol eluents,
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11 199 respectively. The PTS and the PDS were evaporated to dryness, and then
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14 200 reconstituted and diluted with PBS for the in vitro experiments.

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16 201 Samples of the 30% aqueous ethanol eluent were evaporated to dryness, and then
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19 202 reconstituted and diluted with PBS to obtain residue concentrations of 5, 10, 15, 20,
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21 203 25, 30, and 40 mg/mL. Samples of the 50% aqueous ethanol eluent and S14 extract
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24 204 were also prepared by using this procedure. Subsequently, the 21 samples, along
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26 205 with the positive and blank controls, were subjected to PT tests.

27 28 29 206 **3. Results**

30 31 32 207 *3.1. UPLC fingerprint of P. notoginseng*

33 34 35 208 *3.1.1. UPLC fingerprint and similarity analysis*

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39 209 The results of the methodology validation showed that the relative standard
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41 210 deviation (RSD) was less than 1.73% for precision, 0.76% to 1.35% for repeatability,
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44 211 and 0.79% to 1.46% for stability. All results indicated that the developed
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46 212 methodology was applicable for establishing the UPLC fingerprint of *P. notoginseng*
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49 213 from various sources. The UPLC fingerprints of *P. notoginseng* methanol extracts
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51 214 from various sources were obtained under optimized conditions (Fig. 1a). The
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54 215 generated reference standard fingerprint is shown in Fig. 1b. Peaks existing in more
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56 216 than 10 chromatograms of *P. notoginseng* samples from different sources and with
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4 217 good segregation from consecutive peaks were regarded as “common peaks.” A total
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6 218 of 14 common peaks were found from the reference chromatogram by ultraviolet
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9 219 spectra and UPLC retention time comparisons (Fig. 1b).

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11 220 However, differences still existed among the chromatograms of the samples from
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13 221 different sources. The discrepant normalized peak areas calculated by the Similarity
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15 222 Evaluation System for Chromatographic Fingerprint of TCM (Version 2004 A
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17 223 Chinese Pharmacopoeia Committee, Beijing, China) are shown in the supplementary
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20
21 224 table 1. The similarities of the 15 batches of *P. notoginseng* samples between the
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23 225 entire chromatographic profiles and reference fingerprints were evaluated. The
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25 226 correlation coefficients of the 15 samples were as follows: 0.994, 0.971, 0.977, 0.995,
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27 227 0.995, 0.994, 0.995, 0.998, 0.998, 0.997, 0.993, 0.990, 0.992, 0.995, 0.993, and
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31 228 0.995. The data showed that the differences of the correlation coefficients came from
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33 229 the different growing years and types of the samples. The data also showed the
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35 230 diversity of the fingerprints. However, the fingerprint differences among samples
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39 231 were difficult to explain clearly and concretely based only on the similarity data.

40 41 232 3.1.2. HCA

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43 233 The HCA procedure can find the natural cluster of samples according to their
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45 234 fingerprint data; the calculated method is called the “linkage method.” We conducted
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47 235 the average linkage and calculated the squared euclidean distance. The HCA result is
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51 236 shown in Fig. 2. The samples were divided into three clusters according to the distance.
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53 237 Cluster I comprised samples S1 (three years, spring), S15 (three years, spring), S14
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55 238 (three years, spring), S5 (three years, spring), and S13 (three years, spring). Cluster II

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4 239 was formed by samples S6 (two years, spring), S7 (four years, spring), S11 (three
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6 240 years, winter), S12 (two years, spring), S8 (four years, spring), S9 (four years, spring),
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9 241 S10 (three years, winter), and S4 (four years, spring). Cluster III consisted of samples
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11 242 S2 (three years, spring) and S3 (three years, spring). The results showed that S2 and
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14 243 S3 were firstly separated from the other samples. S3 was from Wensan area, where the
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16 244 best quality Sanqi was traditionally produced. S2 was from Pingyuan in Yanshan area,
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19 245 which is very close to Wenshan. Then, all the spring Sanqi within three years were
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21 246 separated from the others. The samples in Cluster I (S1, S15, S14, S5, S13) and
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24 247 Cluster III (S2 and S3) were all “three years, spring,” whereas Cluster II (S6, S7, S11,
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26 248 S12, S8 S9, S10, and S4) were not “three years, spring,” but “two years, spring,”
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28
29 249 “three years, winter,” and “four years, spring.” It was indicated that producing area
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31 250 and harvest time were the principal influencing factor for Sanqi quality.

3.2. *In vitro* PT assay of *P. notoginseng* samples

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37 252 The above results validated the similarity analysis between the entire
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40 253 chromatograms of *P. notoginseng* samples and the reference fingerprint. Thus, the
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43 254 differences of the constituents in different samples of *P. notoginseng* would lead to
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46 255 different efficacies. The anti-coagulation activity is one of the main effects of *P.*
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48 256 *notoginseng*. The PT assay was introduced in this section to evaluate the
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51 257 anti-coagulation activity of the *P. notoginseng* samples.

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53 258 Our preliminary experiments showed that the anticoagulation effect was
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56 259 significantly different from the blank control group and warfarin positive control
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58 260 group when the concentration of *P. notoginseng* samples was more than 15 mg/mL.

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4 261 Thus, the test concentration was set at 20 mg/mL to obtain a significant effect.

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6 262 The effects of *P. notoginseng* samples on anticoagulation were evaluated by PT
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9 263 assay. Fig. 3 shows that effects of the different samples obtained from various
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11 264 sources were all significantly different compared with those of the control group ($P <$
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13 265 0.05). The PTs of the samples collected in Cluster II, which was from 16.150 s to
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16 266 17.975 s, were much shorter than that of the samples in the other two clusters (Fig.
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19 267 3). The PTs of the samples in Clusters I and III were almost the same, and the
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21 268 samples in Cluster III showed slightly longer PTs than that in Cluster I. These
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23 269 differences were evaluated by one-way ANOVA, which showed that the mean
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26 270 difference between Cluster II and the other two clusters were 1.026 (I) and 1.341
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29 271 (III), respectively. This result indicated that the samples in Cluster II possessed a
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31 272 significant difference from Clusters I and III, which shared almost no difference.

34 273 3.3. MLRA

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37 274 The relationship between the 14 independent variables $X_1, X_2, X_3, \dots, X_{14}$
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39 275 (normalized common peak areas) and a dependent variable Y (PT values of samples)
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42 276 was evaluated by using the MLRA model. A value of r^2 is 0.829 and RMSE is 0.342.
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45 277 The p values of peak $X_1 - X_{14}$ coefficients are: 0.017, 0.027, 0.003, 0.005, 0.010,
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47 278 0.004, 0.011, 0.003, 0.008, 0.000, 0.007, 0.016, 0.019, 0.015.

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51 279 The following equation was established according to the SPSS output:

$$\begin{aligned} 52 & \\ 53 & \\ 54 280 & Y = 0.362 X_1 + 1.346 X_2 + 0.013 X_3 + 0.315 X_4 - 0.102 X_5 + 1.183 X_6 - 0.186 X_7 \\ 55 & \\ 56 281 & + 1.460 X_8 + 0.464 X_9 - 1.342 X_{10} + 1.082 X_{11} - 0.649 X_{12} - 0.184 X_{13} - 1.644 X_{14} \\ 57 & \\ 58 & \\ 59 & \\ 60 & \end{aligned}$$

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4 282 This equation showed that the anticoagulation effect of *P. notoginseng* samples on
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6 283 prolonging PT had a close correlation with the 14 common peaks in the UPLC
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8 284 fingerprints, particularly with X₂, X₆, X₈, and X₁₁. The standardized coefficients of
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10 285 X₂, X₆, X₈, and X₁₁ were 1.346, 1.183, 1.460, and 1.082, respectively, thus indicating
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12 286 that these peaks had significant influence on the PT value. Peak 2 (notoginsenoside
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14 287 R1), peak 6 (ginsenoside Rb1), peak 8 (ginsenoside Rd), and peak 11 (unknown
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16 288 compound) had a vital role in prolonging PT and might be the anticoagulation
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18 289 components of *P. notoginseng*. The areas (content) of peak 11 were small but had a
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20 290 large influence on anticoagulation effect. Conversely, peak 3 (ginsenoside Rg1),
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22 291 which had the largest peak area, contributed little to the anticoagulation effect of *P.*
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24 292 *notoginseng*. These results suggested that compounds with high contents might not
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26 293 be the main effective components of CMM. In addition, the chemical structure of
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28 294 compound 11 needs to be determined by other analytical methods.

29 3.4. The “dose–response” relationship of 20(S)-PTS and 20(S)-PDS

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31 296 According to the retention time of these 14 common peaks and the structures of
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33 297 the defined components, we found that peaks 1 to 3 belong to PTS, whereas peaks 4
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35 298 to 9 belong to PDS. The coefficients of these peaks showed that PDS played a more
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37 299 important role than PTS in the anticoagulation effect. This finding was in conformity
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39 300 with previous reports[14]. Thus, the evaluation of the anticoagulation effect of PTS
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41 301 and PDS from *P. notoginseng* was conducted in this section.

42 3.4.1. UPLC profiles of PDS and PTS

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4 303 Fig. 4a shows the mixed standard UPLC profile under the optimized UPLC
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6 304 condition, in which the resolutions between notoginsenoside R1 (1) and ginsenoside
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9 305 Rg1 (2) and between ginsenoside Rb1 (3) and ginsenoside Rd (4) are 2.55 and 3.02,
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11 306 respectively. The main contents in the 30% and 50% aqueous ethanol eluents are
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13 307 shown in Fig. 4b. Compared with the retention times of the peaks in Fig. 4a, the peaks
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15 308 in Fig. 4b confirmed that PTS and PDS were in the 30% aqueous ethanol eluent (E-30)
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17 309 and 50% aqueous ethanol eluent (E-50), respectively.
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21 310 3.4.2. PT assay of S14, PTS, and PDS

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25 311 Each sample was tested for PT in four replications. The data were averaged to
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27 312 generate the “dose–response” curve shown in Fig. 5.
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30 313 The PTs of each sample in this test increased with increasing dose concentration
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32 314 (Fig. 5). This result indicated that saponins in *P. notoginseng* had an obvious
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34 315 “dose–response” relationship in prolonging PT. Moreover, the PT of E-50 was
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36 316 always higher than that of E-30 from the lowest dose to the highest one, as well for
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38 317 the PT of S14 under a dose less than 25 mg/mL. This result showed that PDS had a
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40 318 more significant role than PTS in the anticoagulation properties of *P. notoginseng*,
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42 319 specifically in lower concentrations.
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48 320 4. Discussion

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51 321 The chromatographic fingerprinting technology of TCM has gradually been
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53 322 accepted in the world during the past years. Chromatographic fingerprinting is
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55 323 strongly recommended for the quality control of TCM because it appropriately
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4 324 represents “chemical integrities.” Although HPLC is an effective method for the
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6 325 quality control of *P. notoginseng* and its products[21], UPLC offers higher peak
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9 326 capacity, greater resolution, better sensitivity, and higher analytic speed for saponins
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11 327 in *P. notoginseng*[22]. Therefore, the developed UPLC method was used in this
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14 328 study to achieve a stable and reproducible chemical fingerprint of *P. notoginseng*.
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16 329 According to the results, UPLC has better resolution, and only took 15 min to
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19 330 separate saponins in *P. notoginseng*. This analysis duration is 1/5 of the general
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21 331 analytic time of HPLC.

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24 332 The correlation between the chemical constituents and pharmacologic actions of
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26 333 TCM is still unclear. Previous studies hardly show the efficacy of a TCM from its
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29 334 fingerprint. Therefore, the fingerprint–efficacy study has been proposed [23, 24].
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31 335 The fingerprint–efficacy study combines the study of chemical components and
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34 336 pharmacologic actions through chemometrics to illustrate the curative effects of
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36 337 components and their correlations. Aside from the information of active components,
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39 338 the study also provides information on inactive or relatively toxic (opposite effect)
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42 339 components; these information are essential for the total quality control of TCM.
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44 340 TCM needs the quantitative determination of effective components and a limit test of
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46 341 the toxic components of a medicinal material [25]. Kong et al. [7] elucidated the
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49 342 relationship between the chemical fingerprint and anti-bacterial efficacy of artificial
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51 343 *Calculus bovis* by using chemometric methods. Their results showed that cholic acid,
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54 344 taurocholate sodium, hyodeoxycholic acid, and one unknown compound might be
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56 345 the corresponding anti-bacterial components. Moreover, the spectrum–effect
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4 346 relationship between UPLC fingerprints and the anti-bacterial activities of *Rhizoma*
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6 347 *coptidis* were investigated by using canonical correlation analysis. The results
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9 348 showed that berberine, jateorrhizine, and palmatine might be the main anti-bacterial
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11 349 components [8]. In the current study, MLRA was conducted to combine components
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13 350 of the fingerprint and anticoagulation effect of *P. notoginseng* for the first time. The
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16 351 results showed a good linear relationship among the 14 common peaks and PT
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19 352 values of *P. notoginseng* samples. According to the coefficients of the common peaks,
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21 353 components with positive coefficients prolong the PT, whereas components with
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23 354 negative ones shorten the PT. This finding suggested that active (positive
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25 355 components), inactive, or even relatively toxic components (negative components)
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28 356 exist simultaneously. Therefore, MLRA reflected the quality of *P. notoginseng* more
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30 357 completely and accurately than other methods.

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34 358 According to the MLRA results, notoginsenoside R1, ginsenoside Rb1,
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36 359 ginsenoside Rd, and an unknown compound might be the principal components
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39 360 responsible for the anticoagulation effect of *P. notoginseng*. Rb1 and Rd are the
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41 361 typical constituents of PDS, and 1 belongs to PTS. It indicated that anticoagulation
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43 362 effects of PDS was stronger than PTS. This result was also demonstrated by the
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45 363 results of the “dose–response” relationship of PTS and PDS, specifically under lower
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47 364 concentrations. This suggested that PDS is a potential novel anticoagulation drug.
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50 365 The effect should be further identified by in vivo test. However, previous
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53 366 experiments that were performed on animals (in vivo) such as rats and rabbits
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56 367 demonstrated that PTS played an important role in blood activation instead of
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4 368 PDS[21]. However, the effects of PDS on in vivo anticoagulation have been seldom
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6 369 reported prior to this study. Previous studies have demonstrated that despite the hard
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9 370 absorption of PDS in the gastrointestinal tract, the pharmacokinetics of PPD, the
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11 371 metabolite of PDS, and the actual effective motif of several PPD-type ginsenosides
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13 372 after oral administration shows low oral bioavailability[26]. Similar to PDS, the
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15 373 metabolite of PTS (PPT) is the in vivo main active substance. However, the
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17 374 bioavailability of PPT is higher than that of PPD[27, 28]. This finding may be the
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19 375 reason that PTS has a more important role in blood activation than PDS. Therefore,
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21 376 if the lower bioavailability of PDS can be improved, its clinical use is possible. Jin et
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23 377 al.[29] developed cubic nanoparticles to deliver PPD, which could enhance the
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25 378 dissolution and permeation to improve oral bioavailability. Moreover, taking Rb1
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27 379 orally with P-gp inhibitor is an effective way to improve the bioavailability of Rb1
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29 380 [25]. Thus, these methods provide solutions for using PDS as a novel anticoagulation
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31 381 drug.

382 5. Conclusions

383 The chemical fingerprints of 15 batches of *P. notoginseng* from different sources
384 were investigated by ultra-Performance liquid chromatography (UPLC). Fourteen
385 common peaks in these samples were detected including 20(S)-protopanaxatriol
386 saponins (PTS) and 20(S)-protopanaxadiol saponins (PDS). These samples were
387 divided into three clusters by hierarchical clustering analysis (HCA). The “three
388 years, spring type” possessed better anticoagulation effect. Multiple linear regression
389 analysis (MLRA) showed that notoginsenoside R1, ginsenoside Rb1, ginsenoside Rd

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4 390 and an unknown compound might be the major effective components for the quality
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6 391 control of Sanqi. PDS (Rb1, Rd, and the unknown compound) possessed a stronger
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9 392 anticoagulant activity than PTS (R1 only). This conjecture was confirmed by the
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11 393 dose–effect relationship evaluation of PDS and PTS. This study provided a general
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13 394 correlation model of fingerprint and efficacy for the quality control of Sanqi and
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16 395 other TCMs.

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45 406 language.

48 407 **Reference**

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4 456 **Fig. 1.** (a) UPLC fingerprints of the 15 batches of *P. notoginseng* samples and (b) the reference
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6 457 chromatogram. The reference chromatogram was generated from the fingerprints of the 15
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8 458 batches of artificial *P. notoginseng* samples by using the Similarity Evaluation System for
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10 459 Chromatographic Fingerprint of TCM with the median method.

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13 460 **Fig. 2.** Dendrogram showing the HCA results for the chemical fingerprints of the 15 batches of *P.*
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16 461 *notoginseng*. This result was obtained by the SPSS statistics software (SPSS 17.0 for Windows,
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18 462 SPSS Inc., USA) by using the between-groups linkage method as the amalgamation rule and
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20 463 squared Euclidean distance as the metric.

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23 464 **Fig. 3.** Effect of various *P. notoginseng* extracts on PT in vitro. The sample concentrations were
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26 465 20 mg/mL in PBS solution. The positive control was warfarin sodium with a concentration of 10
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28 466 mg/mL. The blank control was PBS. PT was determined by using a plasma coagulation analyzer.
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30 467 The data were expressed as mean \pm standard deviation for two determinations: significance at ##
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32 468 $p < 0.05$ compared with the blank control and ** $p < 0.05$ compared with the positive control.

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35 469 **Fig. 4.** (a) UPLC chromatogram of mixed standards (1, Notoginsenoside R1; 2 to 4, ginsenoside
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37 470 Rg1, Rb1, and Rd). (b) UPLC chromatogram of 30% (E-30) and 50% (E-50) aqueous ethanol
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39 471 eluents from macroporous resins (1, Notoginsenoside R1; 2, ginsenoside Rg1 in E-30; 1,
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41 472 ginsenoside Rb1; 2, ginsenoside Rd in E-50).

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44 473 **Fig. 5.** “Dose–response” relationships of PTS and PDS for extracts at various concentrations: 30,
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46 474 30% aqueous ethanol eluent (E-30, PTS); 50, 50% aqueous ethanol eluents (E-50, PDS); S14, *P.*
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48 475 *notoginseng* extract of S14.

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478 **Table 1** Raw herbs used in this study

Sample number	Sources	Growing years	Types	Description
S1	Mengzi, Honghe	3	Spring	Dried
S2	Pingyuan, Yanshan	3	Spring	Dried
S3	Gumu, Wenshan	3	Spring	Dried
S4	Dongshan, Mile	4	Spring	Dried
S5	Dongshan, Mile	3	Spring	Dried
S6	Dongshan, Mile	2	Spring	Dried
S7	Weimo, Yanshan	4	Spring	Dried
S8	Zhela, Yanshan	4	Spring	Dried
S9	Pingyuan, Yanshan	4	Spring	Dried
S10	Ganhe, Yanshan	3	Winter	Dried
S11	Panlong, Yanshan	3	Winter	Dried
S12	Dabukan, Mile	2	Spring	Dried
S13	Dabukan, Mile	3	Spring	Dried
S14	Changhu, Shilin	3	Spring	Dried
S15	Xiyi, Mile	3	Spring	Dried

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