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1 **Using nano-QSAR to determine the most responsible**
2 **factor(s) in gold nanoparticles exocytosis**

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29 **Abstract**

30 There are, to date, few general answers to fundamental questions related to the interactions of
31 nanoparticles (NPs) with living cells. Studies reported in the literature have delivered only
32 limited principles about the nano-bio interface and thus the biological behavior of NPs is yet far
33 from being completely understood. Combining computational tools to experimental approaches
34 in this regard helps to precisely probe the nano-bio interface and allows the development of
35 predictive and descriptive relationships between the structure and the activity of nanomaterials.
36 In the present contribution, a nano-quantitative structure-activity relationship (nano-QSAR)
37 model has been statistically established using Partial Least Squares Regression (PLSR) model.
38 Also, variable importance on PLS projections (VIP) has been used to find the most responsible
39 factors on NPs exocytosis. Physicochemical properties of a set of different sized gold NPs with
40 different surface coatings were greatly correlated to their exocytosis in macrophages. The results
41 suggest that among the pool of physicochemical properties defined as nano-descriptors, charge
42 density and surface charge seem to be the paramount factors leading to higher exocytosis values.
43 Furthermore, charge accumulation and circularity of NPs are in the next level of priority among
44 other nano-descriptors. The regression based nano-QSAR model reported here is satisfactory in
45 both statistical quality and interpretability. The results could serve as a quantitative framework
46 for better understanding the mechanisms that govern the interactions at the nano-bio interface.

47 **Keywords:** Gold Nanoparticles, Exocytosis, Surface Charge, Nano-QSAR, Partial Least Squares

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52 1. Introduction

53 The interaction of NPs with living cells is dictated by many factors, including size, shape,
54 chemical composition, crystallinity, hydrophobicity, porosity, surface charge, aggregation state,
55 surface coating, plus characteristics of the suspending media.¹⁻⁸In addition to the type of surface
56 chemical functions, their relative arrangement also plays a key role in nanoparticle-cell
57 interactions.⁹Amongst these numerous factors affecting NPs behavior at the “nano-bio” interface,
58 the decision about their priority is far from being completely understood. Which factor is most
59 responsible? How could one decide which factor to tune among the pool of parameters in order
60 to adjust a specific cellular response? With the increasing number of medicinal and therapeutic
61 applications of NPs, these questions gain even more attention. Answers to these questions could
62 provide remarkable clues for preparing safe and efficacious NPs as diagnostic and drug delivery
63 tools. Moreover, there is still a lot to find out about what exactly happens at the nano-bio
64 interface. Knowing the exact contribution of each parameter in NP’s behavior could help to
65 deeply discover the interactions and to design NPs with enhanced efficiency. Meanwhile, it
66 would be noteworthy if it was possible to quantitatively adjust and distinguish between the most
67 important variables involved.

68 Various case studies have taken into account the role of different factors on NPs cellular uptake,
69 cytotoxicity and exo/endocytosis. Chan et al.¹⁰ investigated the impact of NP size on active and
70 passive tumor targeting efficiency. Rotello et al.¹¹ quantified the exocytosis behavior of NPs with
71 different surface functionalities. Crespy et al.¹² showed how shape can influence the uptake of
72 anisotropic polymeric NPs. Kanaras et al.¹³ reported that the penetration of gold NPs through
73 skin is influenced by the charge, morphology and function of the NPs. In another study, Chan et

74 al.¹⁴ investigated the role of size and surface chemistry in mediating serum protein adsorption to
75 gold NPs and their subsequent uptake by macrophages.

76 All these studies together with other similar ones reported in the literature¹⁵⁻¹⁹ have delivered
77 only limited principles about how various parameters affect NPs behavior at the nano-bio
78 interface. In other words, they have argued that the biological response to a NP is generally a
79 complex function of multiple parameters and is still not fully understood. Thus, there is a need
80 for a comprehensive tool that could gather this individual information and provide a broader
81 framework for understanding the interactions beyond the nano-bio interface. This knowledge is
82 also important from the perspective of developing quantitative relationships that are able to
83 predict the biological response profiles of NPs from their physicochemical properties.

84 Recently, Park et al.²⁰ have investigated the effect of native surface chemistries of gold
85 nanoparticles (GNPs) and their subsequent opsonization by serum proteins on their exocytosis
86 pattern in macrophages. They have reported the exocytosis rates of a set of different sized and
87 different charged GNPs. It was demonstrated that between size and surface charge, the latter
88 seems to play a more crucial role in determining the exocytosis pattern which is confirmed by
89 other similar related works. Again, this was another case study that considered only two factors
90 simultaneously, size and surface charge. As an alternative, what if it was possible to take a step
91 further and make a more comprehensive look? Is surface charge still the most dominant factor if
92 a wider pool of variables considered? To answer this question, a quantitative structure-activity
93 relationship framework may be helpful.

94 In this study, we have proposed a nano-quantitative structure-activity relationship (nano-QSAR)
95 to investigate the effects of various parameters on GNPs exocytosis in macrophages. The
96 statistical model quantitatively detects the most premier factors affecting the exocytosis of GNPs

97 among a pool of physicochemical properties of NPs (called nano-descriptors). A set of
98 morphological nano-descriptors have therefore been extracted from their corresponding TEM
99 images by applying image processing methods (based on our previous work).²¹ In addition, a set
100 of experimental parameters, together with a combinatorial set of nano-descriptors (a combination
101 of experimental and image extracted descriptors) have also been provided. Partial Least Squares
102 Regression (PLSR) has been carried out to analyze the data both for predictive and descriptive
103 purposes. Actually, from a predictive point of view, the regression model finds the best possible
104 correlation between physicochemical properties of NPs and their cellular response profiles (here
105 exocytosis). Consequently, the established regression model can be applied to predict the
106 exocytosis for unknown GNPs. On the other hand, with a descriptive perspective, variable
107 importance on PLS projections (VIP) have been used to indicate the most dominant factors that
108 are responsible in determining the exocytosis of GNPs.

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110 **2. Methods**

111 ***2.1. Nano-QSAR approach***

112 There are a lot of parameters to control when investigating the biological behavior of NPs
113 interacting with living cells. Many of these parameters are strongly inter-correlated. Besides, it
114 may be difficult to vary individual properties while keeping others constant. To overcome these
115 constraints, attempts have been made to develop predictive models which relate physicochemical
116 properties of NPs to their biological response(s).²²⁻³⁰ However, this is a great challenge and
117 requires the use of both powerful computational tools and experimental methods. Applying
118 QSAR models to comprehensive datasets (collected from reliable experimental parameters and

119 several physicochemical properties of NPs) could manifest the real parameters underlying a
120 considered interaction and therefore provides substantial details about the nano-bio interface.
121 The more the data provided the more the authenticity and accuracy of the constructed model.
122

123 **2.2. Descriptor generation**

124 To gather the required data set for the nano-QSAR approach, three subsets of variables were
125 provided: a) TEM extracted nano-descriptors including size, surface area, aspect ratio, corner
126 count, curvature, aggregation state, and shape; b) experimental parameters including zeta
127 potential, hydrodynamic diameter, and maximum wavelength both before and after protein
128 coating; and c) combinatorial nano-descriptors including charge density, adjusted aspect ratio,
129 charge accumulation, spectral size, spectral surface area, spectral aspect ratio and spectral
130 aggregation. The first subset was prepared by performing image processing on TEM images
131 shown in **Figure 1**. The details on extracting these twelve image nano-descriptors can be found
132 elsewhere.²¹The second subset was inserted from the characterization information of surface-
133 functionalized GNPs before and after serum coating.²⁰ In order to extract more information on
134 the morphology and surface of the NPs, an idea was to combine image nano-descriptors with
135 experimental ones. Consequently, a set of ten new meaningful combinatorial nano-descriptors
136 were provided as a combination of some previously defined image extracted and experimental
137 descriptors. The aim of defining the third subset was to provide maximum informative data for
138 the corresponding GNPs. The complete set of nano-descriptors is shown in **Table 1**. The last
139 column comprises the numerical values of the exocytosis of different sized and coated GNPs
140 extracted from the reference article.²⁰ In addition, **Table 2** demonstrates the calculation of the
141 new defined combinatorial descriptors: charge density accounts for the amount of charge per unit

142 surface area which can be calculated based on the zeta potential before or after protein coating
143 (ChDensB and ChDensA); adjusted aspect ratio was defined to distinguish between NPs with
144 similar aspect ratios but different lengths which can be calculated from multiplying aspect ratio
145 with either size extracted from TEM or hydrodynamic size before protein coating (AdjAR1,
146 AdjAR2); charge accumulation takes into account the amount of available charge surrounding
147 aggregated NPs. It is obvious that the amount of free charge is different between the situations in
148 which the particles are either dispersed in the media or have formed an aggregate. Again, this
149 combinatorial variable can be calculated from multiplying the aggregation state value by the zeta
150 potential of the NPs before or after protein binding (ChAccumB, ChAccumA). The last combined
151 nano-descriptors have been defined based on the strong dependency of NPs' plasmon shift to
152 their size, surface area, aspect ratio and amount of aggregation (SpecSize, SpecSA, SpecAR,
153 SpecAgg).

154

155 **2.3. Data Analysis**

156 PLSR model was utilized to analyze the data. PLS as a powerful chemometric tool in data
157 analysis has been widely applied to numerous datasets in order to predict a set of dependent
158 variables (responses) from a set of independent variables (predictors or descriptors). PLS finds
159 the best correlation between these two datasets by extracting a small number of latent variables
160 (LVs). The LVs form a new set of basis vectors that span a new space of the original variables
161 and are aligned in directions in which both the captured variance and the correlation between x
162 and y are maximized. A detailed explanation of PLS can be found elsewhere.³¹ The PLS model is
163 also able to reveal the most important variables that participated in the construction of LVs and
164 actually, measures the variable significance. This is done by assessing PLS model parameters

165 such as weights, regression coefficients, selectivity ratios (SR) and the scores of variables
166 important for projection (VIP).³²In the present contribution, a PLS model with four LVs was
167 built according to the minimum value of root mean square error of cross-validation (RMSECV)
168 to find the best correlation between the data presented in Table 1 and the exocytosis of GNP in
169 macrophages reported by Park *et al.* PLSR was performed using the PLS Toolbox v. 5.8
170 (Eigenvector Research, Inc., Wenatchee, WA) and the resulting statistical model was constructed
171 using the calibration set (X-block (12×28) and Y-vector (12×1)). The model was then validated
172 by different cross-validation methods. The aim was to mathematically correlate the X-block to
173 the Y-block using PLSR. The descriptor pool was preprocessed previous to modeling by
174 autoscaling, as a common preprocessing method. This approach is necessary when the data
175 consists of variables with different scaling and is applied to equalize the scale of different
176 descriptors. Therefore the model can be then constructed based on the relative changes in the
177 variables rather than being concerned with their absolute values. Autoscaled data have a mean
178 expression of zero and a standard deviation of one. This is achieved by subtracting the column
179 mean from each descriptor and dividing with the standard deviation of each column (descriptor).
180 For values of each nano-descriptor, the corresponding auto scaled column can be achieved by
181 following:

$$X_{\text{autosc}} = \frac{X - \bar{X}}{\text{SD}(X)} \quad (1)$$

183 where \bar{X} and SD respectively stand for the mean value of each column in the data set and its
184 corresponding standard deviation.

185 The prediction ability of the PLS regression model was evaluated using the leave-one-out cross
186 validation (LOO-CV) method. Iteratively, eleven out of twelve NPs were used to generate a PLS

187 model (as the training set) and the left-out NP was tested as an unknown sample (as the test set).
 188 This process was repeated until each sample was left out once, and the results were compiled to
 189 determine the mean cross-validation regression coefficient (R^2_{CV}) and root mean square error
 190 ($RMSE_{CV}$) values. In order to assure preventing over fitting in the model, the adjusted R-squared
 191 (R^2_{adj}) value was also calculated. These statistical parameters were calculated as follows:

$$192 \quad R^2 = 1 - \frac{\sum_{i=1}^n (y_i - \hat{y}_i)^2}{\sum_{i=1}^n (y_i - \bar{y})^2} \quad (2)$$

$$193 \quad RMSE = \sqrt{\frac{\sum_{i=1}^n (y_i - \hat{y}_i)^2}{n}} \quad (3)$$

$$194 \quad R^2_{adj} = 1 - \frac{\sum_{i=1}^n (y_i - \hat{y}_i)^2 / (n-p)}{\sum_{i=1}^n (y_i - \bar{y})^2 / (n-1)} \quad (4)$$

195 Where y_i and \hat{y}_i stand for the observed and predicted exocytosis value for each i th sample,
 196 respectively. n and p are the total number of samples and the number of parameters in the model.
 197 \bar{y}_i is the mean exocytosis value of the GNPs. It must be noticed that the proper number of LVs
 198 was chosen based on the maximum explained variance and minimum $RMSE_{cv}$ value
 199 corresponding to each LV (See **Figure S1**).

200

201

202 **3. Results and discussion**

203 Regression results are illustrated in **Table 3**. The statistical significance of the developed model
 204 is reflected from the acceptable values of R^2_{Cal} (0.971) and $RMSEC$ (3.45) together with other

205 parameters reported in this table. Least possible deviations of the predicted exocytosis endpoints
206 from the corresponding observed/measured ones is further implied from the satisfactory values
207 of R^2_{CV} (0.707) and R^2_{adj} (0.780). **Figure 2** shows the percent of GNPs exiting the macrophages
208 measured by ICP/MS *vs* their corresponding predicted values estimated by the PLS regression
209 model. As can be seen, an acceptable correlation³³⁻³⁵ is obtained and the resulting graph shows
210 that the points are close to the line of fit. This again implicated the predictive ability of the
211 developed PLSR model. The PLSR model uses latent variables (linear combinations of initial
212 descriptors) to predict the exocytosis values. The exact amount of the contribution of the
213 descriptors in each predictor (latent variable) can be extracted from the Loadings plot (**Figure**
214 **S2b**). The more loading value of the descriptor means the more descriptor contributes in
215 predicting the response (exocytosis). In the present study, 4 latent variables were chosen to build
216 the PLS model. The amounts of loadings for each descriptor on these latent variables can be seen
217 from their corresponding loading plot. Furthermore, the order of importance of the descriptors
218 towards the exocytosis of the GNPs has been demonstrated using the Variable Importance
219 Projection. VIP scores calculated for individual variables are demonstrated in **Figure 3**.
220 Descriptors with VIP scores over the cutoff contribute higher in the regression model. Actually,
221 the descriptors are ranked according to the descending order of VIP scores. Similarly, the
222 calculated values of SR and Regression Vectors for all the variables can be seen in **Figure S3-b**
223 **and c**. Another informative plot in the PLSR model is called the “Biplot” that graphically
224 demonstrates the association between samples (GNPs) and model variables (nano-descriptors)
225 (**Figure 4**). Showing the scores and loadings in one plot helps to interpret significant variables
226 while looking at the samples location.

227 The interpretation and importance of the descriptors appearing in the regression are discussed
228 below. The results revealed that among the nano-descriptors inserted to the model, the charge
229 density and zeta potential, together with charge accumulation and circularity have the highest
230 influence on gold NPs exocytosis. This conclusion confirms previous studies^{20,36,37} and suggests
231 that the amount of charge density is a better predictor for the exocytosis of a particular GNP than
232 the amount of its surface charge. Moreover, the positive sign of the regression vector for the
233 most important surface charge related descriptors (ZP_B and ChAccum_B) in Figure S3b,
234 indicates that surface charge has a direct effect on exocytosis of the corresponding NPs, i.e.
235 positive zeta potential leads to higher number of GNPs leaving the macrophages (the exocytosis
236 value), which again is consistent with the results published by Park et al.²⁰ In addition, the results
237 in Figure 2 clearly represent the importance priority of the selected descriptors. It must be
238 noticed that, as it can be seen, all the important descriptors derived from the PLS model attribute
239 to parameters before protein coating. This finding suggests that the properties of the NPs
240 previous to entering the biological media intensely control their behavior, compared to the
241 parameters after protein coating. This assumption can be supplemented by comparing the model
242 based variable importance derived from VIP scores, SR and regression vectors. As expected,
243 important variables from all these viewpoints are in common and belong to parameters “before
244 protein coating”. Therefore, as a complement to previous findings³⁸⁻⁴⁰ which discuss that the
245 protein corona (formed after entering NPs into biological media), determines NPs’ fate and
246 transport, one might conclude from the results displayed here that the initial conditions of the NP
247 previous to entering the cell can actually have the same level of importance. In other words, the
248 properties of NPs prior to moving into the cell can influence the nano-bio interface by dictating
249 the protein corona formed around a special NP.

250 Moreover, the low VIP scores for the size and surface area nano-descriptors quite below the cut
251 off value indicates that they do not seem to be significant factors in the exocytosis of GNPs
252 within this size range (about 10-70nm) in comparison to other descriptors. This result was further
253 investigated and confirmed based on the low SR and regression vector values appeared for these
254 variables (Figure S-3). It should be mentioned here that in contrast to the endocytosis which has
255 been reported to be impressed mainly by the size and shape of GNPs,^{36,41-43} the results herein
256 reveal that GNPs exocytosis is rarely dependent to size.

257 On the other hand, the relatively high importance value for aggregation state and its derivatives
258 (charge accumulation and spectral aggregation) manifest the effect of these features that had
259 been poorly mentioned and discussed in previous reports.^{37,44,45} It can be concluded that the
260 amount of variables' contribution for a specific biological endpoint might vary when looking
261 into a wider framework. From another viewpoint, a negative but large regression vector value of
262 the circle index favors lower exocytosis of GNPs in macrophages. Compared to variables with
263 positive regression vectors, this variable contributes to the exocytosis in a reverse manner. The
264 more the circularity, the less the exocytosis of GNPs. It is noteworthy to mention that this shape-
265 type descriptor that has appeared among the set of important contributing factors, along with the
266 rest of the newly defined descriptors in this study (columns 3, 5-12 and 19-28 of Table 1) have
267 been introduced and investigated for the first time in such a nano-QSAR approach. It can be
268 noticed from Figures 3 and S-3 that circularity and charge accumulation before protein binding
269 approximately contribute equally (but with opposite directions) in the exocytosis of GNPs,
270 signifying the important effect of the newly defined shape descriptor. Among the other shape
271 descriptors, square-like feature also displays a pretty high VIP score. Appearing the circle and
272 square descriptors above the VIP cut off value can be explained from the TEM images of the

273 considered GNPs, displaying rather spherical particles. As a result, these two shape descriptors
274 are expected to disclose higher impacts compared to others.

275 Though extending the findings of this study to wider sets of NPs and diverse biological
276 endpoints requires taking into account larger data sets, but the method developed in this study
277 has revealed the potential benefits of using chemometric approaches, such as nano-QSAR
278 modeling to obtain both predictive and interpretative knowledge for a sample set of GNPs
279 entering macrophages. This knowledge can be utilized to improve the experimental design of
280 safe and effective GNPs for specific purposes and can be further applied to other sets of NPs.
281 Considering all these points, the proposed model provides useful information for screening NPs
282 libraries seeking different biological end points.

283

284 **4. Conclusion**

285 The biological behavior of NPs is a complicated function of multiple parameters and requires
286 powerful tools to derive accurate correlations between the nanostructures and their biological
287 responses. To gain an in depth understanding of the relationship between physicochemical
288 properties of gold NPs and their exocytosis in macrophages, PLS regression model as a powerful
289 data analysis tool was proposed. The nano-QSAR PLS model was derived from a pool of nano-
290 descriptors consisting of image extracted features, experimental parameters and combinatorial
291 descriptors. In addition to the predictive ability of the developed PLS regression model, major
292 contributing features for the exocytosis of GNPs were also identified. Inspection of the results
293 suggest that surface charge, charge density, circularity and charge accumulation seem to exhibit
294 the highest impact on the exocytosis of GNPs among other variables. In addition, the results

revealed that parameters attributing to the NPs “before” protein binding have more influence on their exocytosis, compared to the ones “after” protein binding. Thus, controlling the initial conditions of the NPs previous to entering into the cell media is of great importance. The constructed model that quantitatively correlates the exocytosis of gold NPs to their basic physicochemical properties could allow researchers to predict biological response profiles (cellular uptake, cytotoxicity...) of NPs and design potential NPs for particular means.

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379 **Figure Captions**

380 **Figure 1.** TEM visualization (top) and size distribution histograms (bottom) of all GNPs in the
381 dataset with different sizes and different coatings.²⁰ The number and letter after the GNP
382 identifier designate the size and type of coating (anionic, cationic, zwitterionic and PEGylated
383 surfaces), respectively. Scale bar is 50nm. *Reprinted with permission from ref. [20]. Copyright 2014*
384 *ACS.*

385 **Figure 2.** The predicted versus observed exocytosis values of gold nanoparticles displayed as the
386 percent of GNPs leaving the macrophages.

387 **Figure 3.** Variables Important for Projection (VIP) scores calculated for all the nano-descriptors
388 in the PLS model. The descriptors with VIP scores higher than the cutoff (VIP=1) are important.

389 **Figure 4.** Biplot (combined Score and Loading plots) showing the samples (red rectangles) and
390 the nano-descriptors (blue squares) together in one plot.

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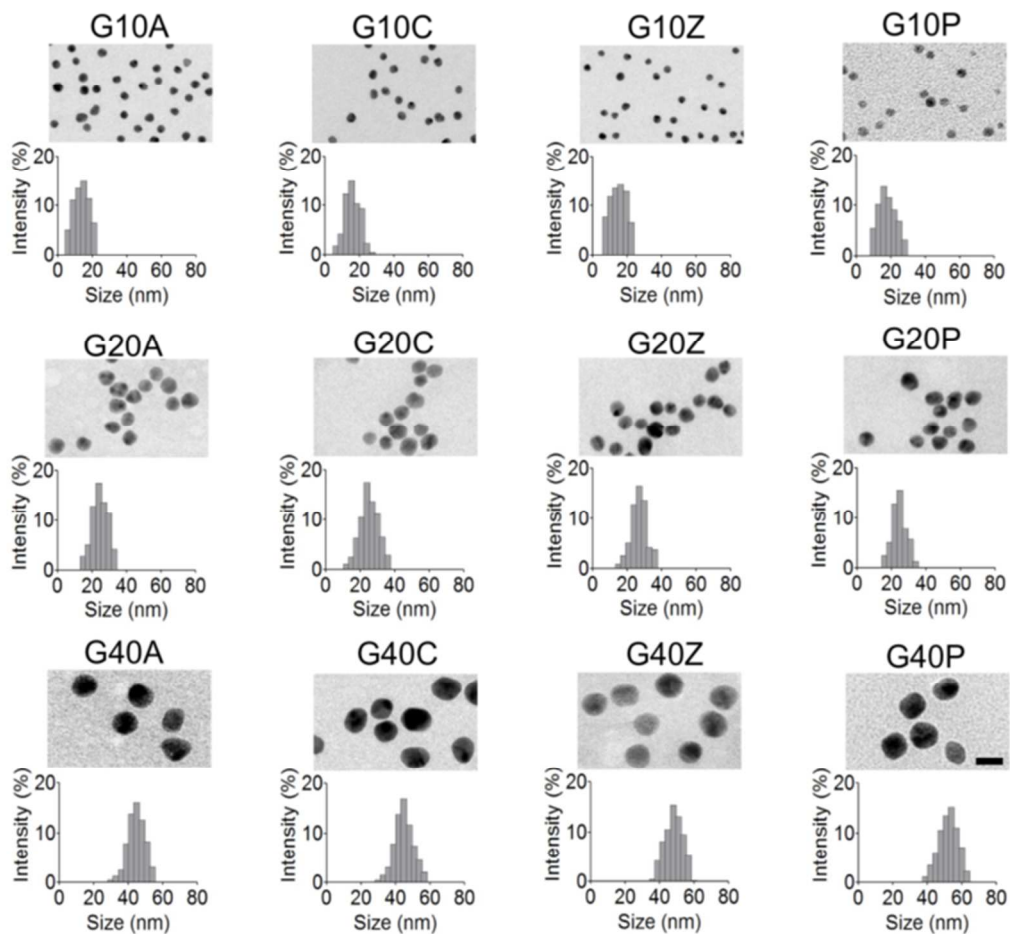
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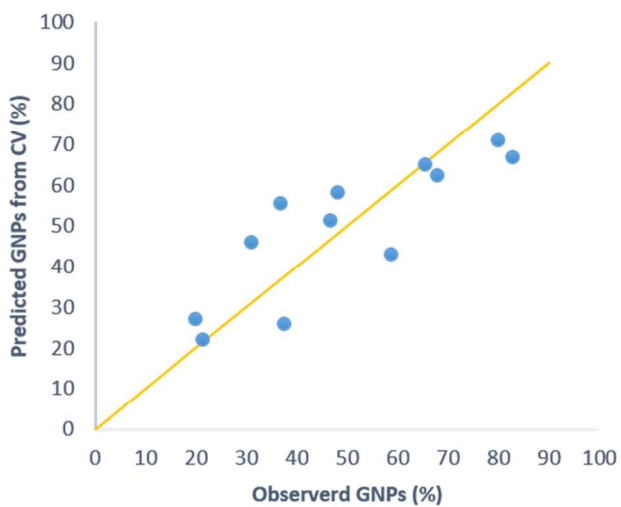


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398 --**Figure 1.** TEM visualization (top) and size distribution histograms (bottom) of all GNPs in the
 399 dataset with different sizes and different coatings.²⁰ The number and letter after the GNP
 400 identifier designate the size and type of coating (anionic, cationic, zwitterionic and PEGylated
 401 surfaces), respectively. Scale bar is 50nm. *Reprinted with permission from ref. [20]. Copyright 2014*
 402 *ACS.*

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406 **Figure 2.** The predicted versus observed exocytosis values of gold nanoparticles displayed as the
407 percent of GNPs leaving the macrophages.

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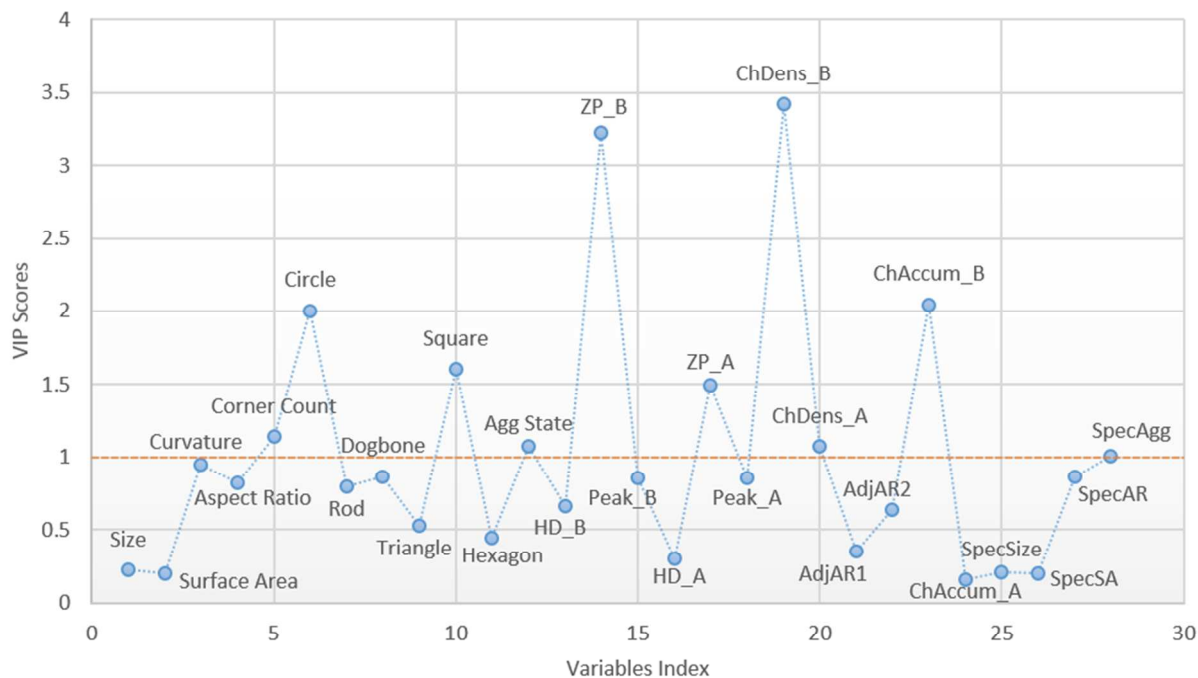
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415 **Figure 3.** Variables Important for Projection (VIP) scores calculated for all the nano-descriptors
 416 in the PLS model. The descriptors with VIP scores higher than the cutoff (VIP=1) are important.

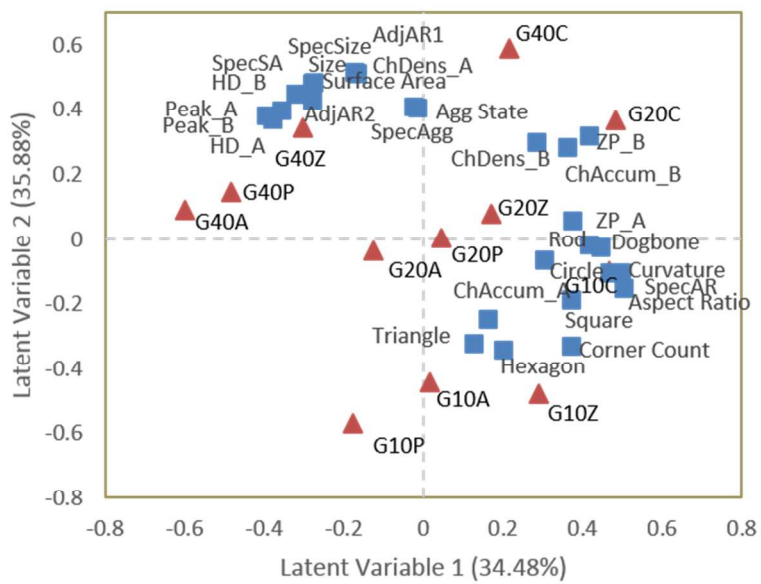
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423 **Figure 4.** Biplot (combined Score and Loading plots) showing the samples (red rectangles) and
424 the nano-descriptors (blue squares) together in one plot.

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G40P	46.700	1917.400	0.613	0.882	6.600	0.724	0.086	0.089	0.402	0.485	0.647	0.180	55.150	-15.180	540.000	66.020	-30.980	545.000	-0.008	-0.016	41.170	48.620	-2.735	-5.582	25217.83	1035396.	476.057	97.300	21.4	22.2
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442 a TEM extracted image nano-descriptors calculated by image analysis on TEM images in Figure 1. Please see [21] for more information on the
443 image analysis process.

444 b Gold NPs characteristics extracted from Figure 1c in [20]

445 c Combinatorial descriptors calculated based on the formula presented in the last column of Table 2

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469 **Table 2.** New combinatorial nano-descriptors

ID	Definition	Abbreviation	Calculation
1	Charge Density B	ChDenB	$ZP_B/SurfaceArea$
2	Charge Density A	ChDenA	$ZP_A/SurfaceArea$
3	Adjusted Aspect Ratio 1	AdjAR1	$AspectRatio \times Size$
4	Adjusted Aspect Ratio 2	AdjAR2	$AspectRatio \times HD_B$
5	Charge Accumulation B	ChAccumB	$AggState \times ZP_B$
6	Charge Accumulation A	ChAccumA	$AggState \times ZP_A$
7	Spectra Size	SpecSize	$PeakB \times Size$
8	Spectra Surface Area	SpecSA	$PeakB \times SurfaceArea$
9	Spectra Aspect Ratio	SpecAR	$PeakB \times AspectRatio$
10	Spectra Aggregation State	SpecAgg	$PeakB \times AggState$

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489 **Table 3.** Statistical results of the PLS model

Statistical parameter	LVs	R^2_{Cal}	R^2_{CV}	RMSEC	RMSECV	R^2_{Adj}	Rel. Error*
PLS model	4	0.971	0.707	3.456	11.129	0.78	20.7%

490 *Relative Error in percent is calculated from: $Rel.Error = \sqrt{\frac{\sum_{i=1}^n (y_i - \hat{y}_i)^2}{\sum_{i=1}^n (y_i)^2}} \times 100$

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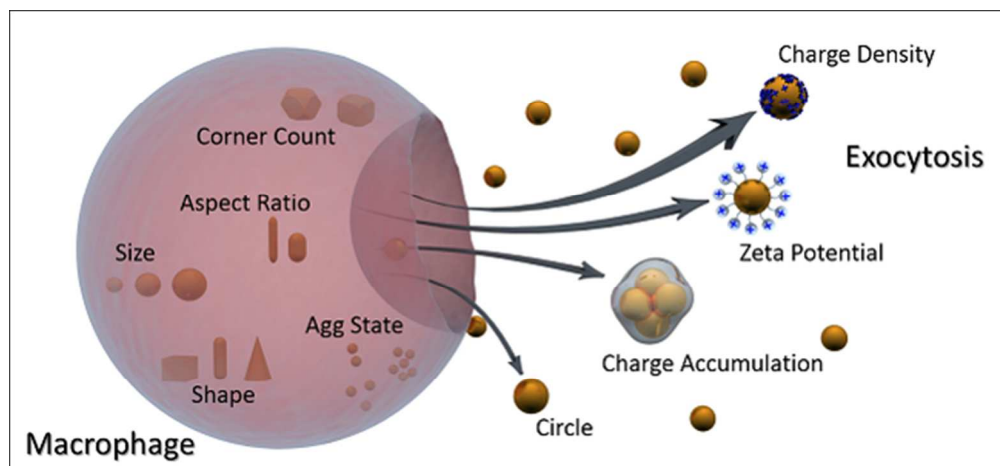
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514 **Table of Contents**

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518 A nano-quantitative structure-activity relationship (nano-QSAR) model is proposed to indicate
519 the determining factors responsible in the exocytosis of gold nanoparticles in macrophages.