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## **Advanced manufacturing of nanoparticle formulations of drugs and biologics using microfluidics**

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**ADVANCED MANUFACTURING OF NANOPARTICLE FORMULATIONS  
OF DRUGS AND BIOLOGICS USING MICROFLUIDICS**

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## ABSTRACT

Numerous innovative nanoparticle formulations of drugs and biologics, named nano-formulations, have been developed in the last two decades. However, methods for their scaled-up production are still lagging, as the amount needed for large animal tests and clinical trials is typically orders of magnitude larger. This manufacturing challenge poses a critical barrier to successfully translating various nano-formulations. This review focuses on how microfluidics technology has become a powerful tool to overcome this challenge by synthesizing various nano-formulations with improved particle properties and product purity at large quantities. This microfluidic-based manufacturing is enabled by the microfluidic mixing capable of the precise and continuous control of the synthesis processes of nano-formulations. We further discuss the specific applications of hydrodynamic flow focusing, staggered herringbone micromixer, T-junction mixer, micro-droplet generator, and glass capillary on various types of nano-formulations of polymeric, lipid, inorganic, and nanocrystals. Various separation and purification microfluidic methods to enhance the product purity are reviewed, including acoustofluidics, hydrodynamics, and dielectrophoresis. We further discuss the challenges of using microfluidics by broader research and industrial communities. We also provide the future outlooks of its enormous potential as a decentralized approach for manufacturing nano-formulations.

## 1. Introduction

Numerous innovative nanoparticle formulations have been developed for targeted and improved drug deliveries [1-3]. Early efforts have been focused on chemotherapeutic drugs for oncology applications. However, many of these formulations were developed and tested using preclinical small animal models. It is still challenging to translate for large animal tests and clinical trials. For now, only twenty-eight nanoparticle therapeutics (including COVID-19 vaccines with emergency use authorization) have been approved for clinical use [4-7]. A major hindrance lies in the dramatical increase of the amount of nanoparticle (NP) needed for clinical trials compared to small animal tests. For example, antitumor nano-formulations may require hundreds of grams of NPs for a Phase 1A clinical trial [8, 9]. Thus, scaling up for production is one of the technical gaps to research and test many nano-formulations at more clinically relevant settings.

The large-scale production is technically challenging as batch-to-batch variations of physiochemical properties may occur due to the polydispersity of NPs which can induce inconsistency in preclinical or clinical trials [10, 11]. The conventional batch production methods or reactors include solvent evaporation for polymeric NPs [12-14], extrusion for lipid nanoparticles (LNPs) [15, 16], and static mixer for nanocrystals [17-19]. These batch synthesis methods operate at the millimeter or even centimeter scale, resulting in a uniform mixing environment where the local fluctuations of

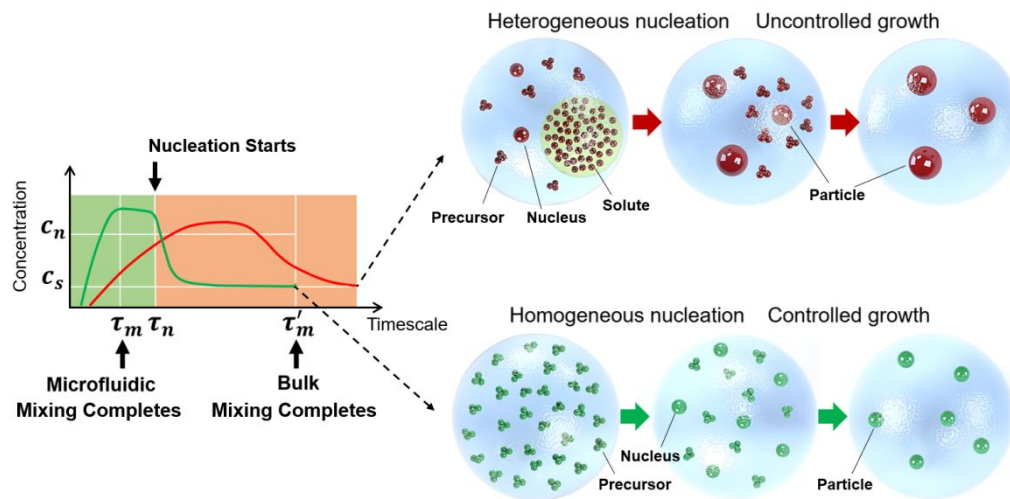
1 concentration occur and leads to the formation of NPs with large size and wide size distribution. NP  
2 size and shape are crucial physicochemical properties to control during the synthesis process as it  
3 directly influences the therapeutic efficacy of NPs, such as in vivo biodistribution and retention ability  
4 in tissues, as well as the uptake and clearance by macrophages [20-22]. The batch production  
5 methods may generate polymeric NPs with uncontrolled size and limited drug loading resulting in  
6 short biodistribution [4, 23], LNPs with the high polydispersity index (PDI) leading to limited tissue  
7 penetration [24, 25]; worse, the nanocrystals are produced by batch methods in a wide range of size  
8 depending on the type of hydrophobic drugs [26-28]. Therefore, microfluidic platforms are developed  
9 and employed to scale up the manufacturing of nano-formulations. The utilization of microfluidics not  
10 only avoids labor-intensive multistep processes for research labs, but also avoids batch-to-batch  
11 variations with its continuous manner of NP synthesis. The microfluidics also provides precise control  
12 of synthesis process which allows convenient modification of physicochemical properties of NPs.  
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22 Firstly, we explain how microfluidics can bring high consistency and reproducibility to nano-  
23 formulation synthesis by controlled rapid mixing of pico- to nanoliter volumes of fluids in the  
24 perspective of separating the NP formation stages of nucleation, growth, and aggregation. Then we  
25 specifically introduce the microfluidic mixing techniques of hydrodynamic flow focusing, staggered  
26 herringbone micromixer, T-junction mixer, micro-droplet generator, and glass capillary, as well as  
27 their applications to the synthesis of polymeric NPs, lipid NPs, inorganic NPs, and nanocrystals with  
28 improved physical properties and in vivo behaviors. Microfluidic separation techniques to separate  
29 and purify the nano drugs and biologics are also summarized, including both the passive and active  
30 techniques of acoustofluidics, hydrodynamics, and dielectrophoresis. Finally, we discuss the current  
31 challenges of the utilization of microfluidics by broader research and industrial communities due to  
32 high entry level and fabrication complexity; its enormous potential as a decentralized approach for  
33 the manufacturing of NP-based drug formulations, ideally meeting the specific needs of individuals.  
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## 43 **2. Mechanisms of formation of drug nanoparticles on microfluidics**

44 The microfluidics techniques of hydrodynamic flow focusing, staggered herringbone micromixer, T-  
45 junction mixer, micro-droplet generator, and glass capillary have precise control over nanoliter  
46 volumes of fluid in the device with microscale dimensions, and thus achieve short microfluidic mixing  
47 timescale in the order of milliseconds which enables the control of the nanoprecipitation-based NP  
48 formation process [29]. Specifically, the concurrent occurrence of NP formation stages of nucleation,  
49 growth, and aggregation induces significant batch-to-batch variations to the conventional batch  
50 methods [30, 31]; By comparison, microfluidic platforms do a better job to separate the three NP  
51 stages with their short mixing timescales [32-36]. The mixing timescale related mechanism explaining  
52 different NP formation dynamics induced by microfluidic mixing and batch mixing is illustrated in  
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**Figure 1.** The microfluidic mixing timescale ( $\tau_m$ ) can be tuned to be shorter than the drug's nucleation timescale ( $\tau_n$ ), so the drug solute concentration quickly exceeds the saturation concentration ( $c_s$ ) and reaches the critical nucleation concentration ( $c_n$ ), leading to the generation of evenly distributed precursors for nucleation (prenucleation drug molecule clusters). Then the concentration of drug solute quickly drops when homogeneous nucleation is initiated. Homogeneous nucleation dominates over the particle growth in consuming the remaining drug molecules or clusters, which fulfills the synthesis of small and uniform NPs. The batch mixing timescale ( $\tau'_m$ ) is longer than  $\tau_n$ , which means the mixing is still not completed when the nucleation starts. Nuclei are generated but there are still a large amount of solutes dissolved in the organic phase, so the particle growth dominates over the heterogeneous nucleation in consuming the remaining drug molecules, resulting in NPs with higher size and PDI.



**Figure 1.** Schematical explanation of the different NP formation dynamics induced by microfluidic mixing and batch mixing. The shorter microfluidic mixing timescale ( $\tau_m$ ) than the drug's nucleation timescale ( $\tau_n$ ) (i.e., green line) induces homogeneous nucleation and controlled growth of particles, while the longer mixing timescale ( $\tau'_m$ ) than  $\tau_n$  such as batch mixing (i.e., red line) leads to heterogeneous nucleation and uncontrolled growth of particles.

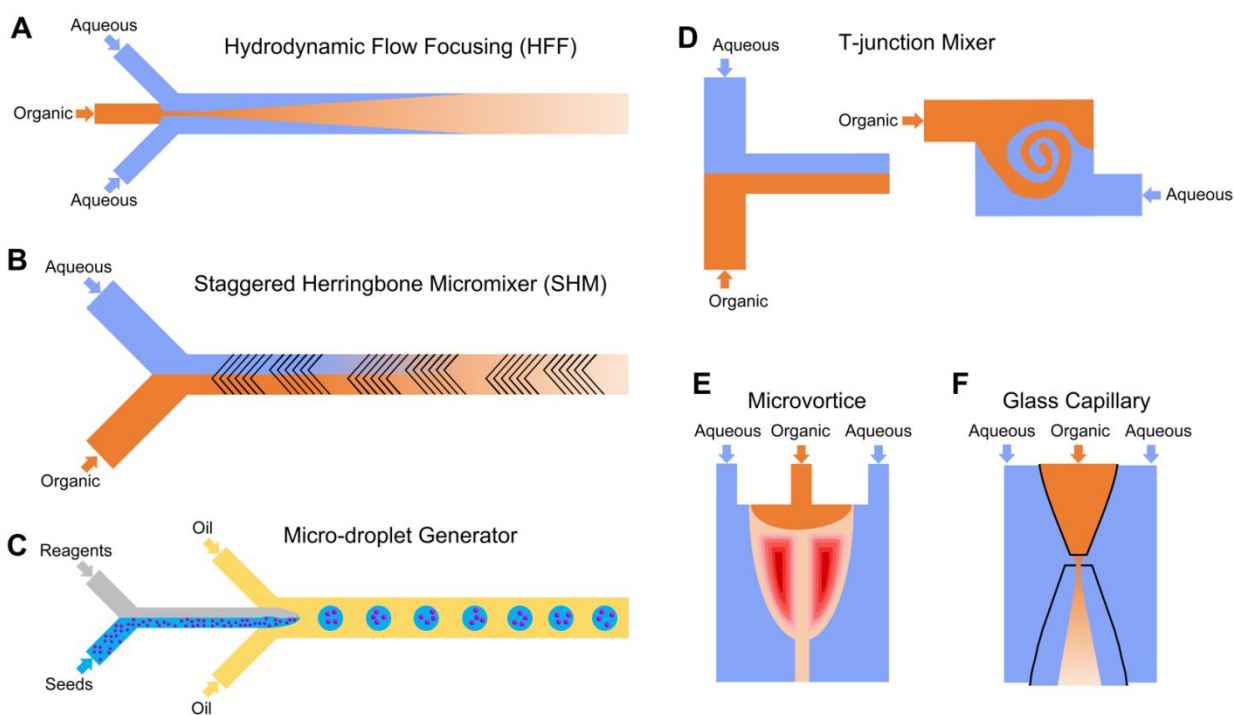
The precisely fabricated microfluidic channels with dimensions of tens to hundreds of micrometers allow high levels of control of the fluids in the laminar flow regime. The microfluidic mixing mechanism is based on the interdiffusion of solvent molecules obtained by means of laminar flows. Hence, the microfluidic mixing can be characterized by the Reynolds number,  $Re$ , and the Peclet number,  $Pe$ .

$$Re = \frac{\rho u L}{\mu} \quad (1)$$

where  $\rho$  and  $\mu$  are the density and viscosity of the fluid, respectively,  $u$  is the flow speed, and  $L$  is the characteristic length of the channel. The Reynolds number is a dimensionless quantity characterizing flow patterns, which indicates the occurrence of turbulent flow when  $Re > 2000 - 4000$  [37].

$$Pe = \frac{uL}{D} \quad (2)$$

where  $D$  is the diffusivity. The Peclet number describes the relative importance of the mass transport by diffusion (across the channel) and by convection (along the channel). In order to generate predictable mixing patterns, the microfluidic mixing is mostly designed to operate at  $Re < 2000$  to avoid turbulent flows which have random streamlines [31, 38]. Our previous work on microfluidic synthesis of drug nanocrystals shows the streamline distribution in a microfluidic mixing device in the Reynolds number range of 5–250 where straight and parallel streamlines are present at  $Re = 5$  while micro vortices can occur at  $Re = 25$  in the water-ethanol mixing region [39]. The constraint of the Reynolds number leads to the upper limit of the Peclet number of 250 – 2500 [40]. The precise control of the mixing between fluids is not possible using conventional batch methods but can be achieved in microfluidics in a continuous manner with predictable mixing efficiency, which enables the control of the NP formation processes of nucleation, growth, and aggregation, and thus the limitations on uniformity and consistency of NP characteristics can be overcome on microfluidic synthetic platforms.



**Figure 2.** Schematic of the microfluidic mixing techniques for the synthesis of nanomedicine. (A) Hydrodynamic flow focusing (HFF). (B) Staggered herringbone micromixer (SHM). (C) Micro-droplet generator. (D) T-junction mixer. (E) 3D flow focusing with microvortices. (F) Glass capillary.

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Microfluidic platforms have been utilized to produce NPs with a smaller size, narrower size distribution (i.e. smaller PDI), and improved drug loading and encapsulation efficiency [23]. To achieve this, nanoprecipitation is induced in the microchannel via rapid mixing of solvent and anti-solvent. Several microfluidic mixing techniques have been developed without the involvement of external fields, including hydrodynamic flow focusing (HFF), staggered herringbone micromixer (SHM), T-junction mixer, micro-droplet generator, and glass capillary. These microfluidic mixing methods are employed to produce various types of NPs including polymeric NPs, LNPs, inorganic NPs, and drug nanocrystals. The low Reynolds numbers (generally less than 100) [41] indicate steady state and fully developed laminar flow regimes during microfluidic mixing, and hence the mass transfer can be considered to depend solely on diffusion. The mixing time ( $\tau_m$ ), which is a measure of the solvent exchange efficiency, quadratically depends on the diffusion length between solvents.  $\tau_m$  can be defined as

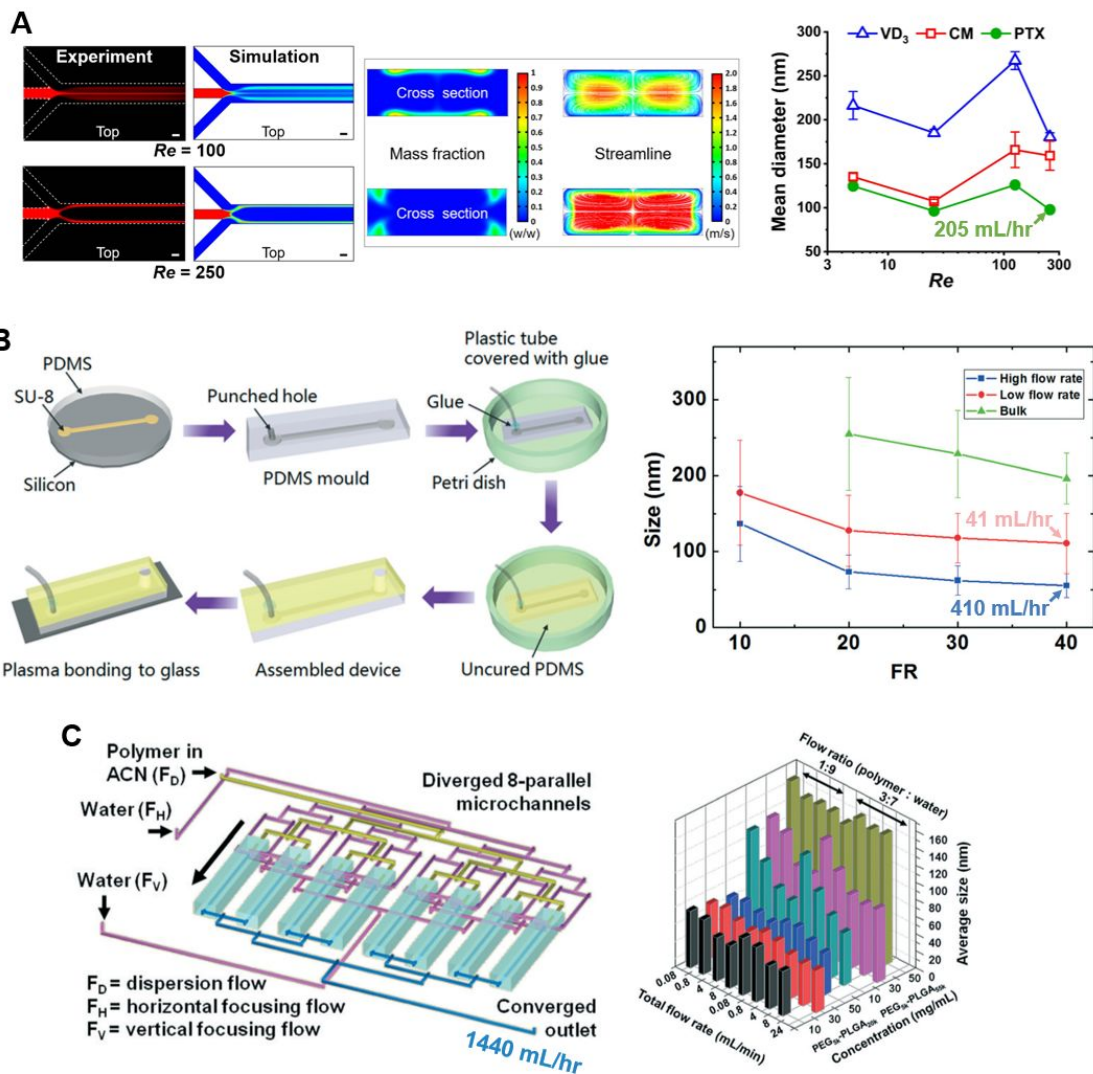
$$\tau_m = \frac{x^2}{2D} \quad (3)$$

where  $x$  is the diffusion length and  $D$  is the diffusion coefficient [42]. Therefore, the diffusion-based microfluidic mixing methods rely on the reduce of diffusion length for the control of the mixing time to provide homogeneous environment for NP formation.

The HFF is a powerful tool to reduce the diffusion length between the mixing solvents with a stable control. As schematically shown in **Figure 2A**, an HFF is commonly a three-inlet microfluidic device which generates a central flow with side flows. The flow regime of HFF develops when fluids with different velocities are introduced to the mixing channel side by side [43]. The central fluid flows at a much lower velocity than the side fluid in the same channel. As a result, the central fluid (organic phase) containing the samples of interest is sheathed into a thin sheet by the side fluid (aqueous phase) to achieve fast mixing between the two fluids. **Figure 2B** shows the schematic structure of SHM. The microfluidic SHM has two inlets and utilizes repeated patterns of asymmetric protrusions to induce passive mixing by chaotic stirring, which greatly reduces the diffusion length between the two fluids [44, 45]. Chaotic stirring can be induced by the asymmetric protrusions at low Reynolds numbers ( $Re < 100$ ) [46]. Efficient mixing of the organic and aqueous fluids can be achieved within 10 or 15 cycles of the repeated patterns [47]. **Figure 2C** shows the microfluidic droplet-based mixing which confines the chemical reactions to picoliter-sized droplets. The droplet generators are commonly used for inorganic NP synthesis [48]. The aqueous droplets containing the seed of NPs and other reagents for reaction are generated in the form of water-in-oil emulsions. In a T-junction mixer, two fluids flow directly toward each other with a perpendicular output. The simple T-junction

1 mixing shown in **Figure 2D** (left) is not able to reduce the diffusion length when it operates with the  
2 stratified laminar flows [49]. To enhance the mixing, the T junction can be designed with dimensions  
3 in the millimeter range and operates at turbulent or transitional conditions ( $Re > 2000$ ) [50]. To enable  
4 the T junction to work in the microfluidic mixing scenario ( $Re < 100$ ), the vortex micro T-mixer has  
5 been developed to form vortex flows at low Reynolds numbers [51, 52]. Figure 2D (right) shows the  
6 generation of vortex flows in the mixing channel by two fluids flowing through non-aligned inlets. The  
7 two-dimensional HFF (Figure 2A) squeezes the central fluid horizontally but not vertically. **Figure 2E**  
8 shows the microfluidic device enabling the three-dimensional (3D) squeeze of the central fluid with  
9 the generation of microvortices upstream of 3D flow focusing [53, 54]. The benefit of the 3D flow  
10 focusing lies in the elimination of the interface between the central fluid and the wall of the  
11 microchannel, which can significantly reduce the NP attachment and minimize the risk of channel  
12 clogging [55-57]. Another approach for 3D flow focusing is the microfluidic device of glass capillary  
13 (**Figure 2F**). The glass capillary device is fabricated by inserting the tapered cylindrical capillaries  
14 into a square capillary [58]. Similar to the HFF on 2D, the organic solvent is the inner phase, and the  
15 aqueous solution is the outer phase. The inserted glass capillary positions the organic solvent at the  
16 center of the mixing channel in all directions. Thus, the organic-aqueous interface, where the NPs  
17 are predominantly formed, is fully displaced from the walls of the mixing channel [59].  
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**Figure 3.** Scale-up strategies for the microfluidic synthesis of NPs. (A) Timescale-based optimization of the flow rate conditions in a single microchannel. A flow rate of 205 mL hr<sup>-1</sup> was achieved to produce quality-controlled NPs of hydrophobic drugs with a size of approximately 100 nm. Reprinted with permission from ref. [39]. Copyright 2023 Elsevier. (B) Enhanced convective mixing in a microchannel with pressure-tolerant designs. A flow rate of 410 mL hr<sup>-1</sup> was achieved to produce PLGA NPs while maintaining their small size of 55 nm. Reprinted with permission from ref. [60]. Copyright 2013 Royal Society of Chemistry. (C) Pressure-tolerant microfluidic device which parallels multiple microchannels. The total flow rate of eight microchannels reached 1440 mL hr<sup>-1</sup> which enabled a mass production rate up to 1300 mg hr<sup>-1</sup>. Reprinted with permission from ref. [61]. Copyright 2014 Royal Society of Chemistry.

To scale up the production of NPs at clinically or industrially relevant levels, three strategies can be adopted in microfluidic settings. First, the flow rate through the microchannel can be regulated

1 according to the timescale-based mechanism discussed in Figure 1. This strategy enables the  
2 determination of the optimal flow rate range to achieve high throughput synthesis of NPs while  
3 maintaining the quality of NPs including size and drug loading. As shown in **Figure 3A**, our group  
4 proposed a timescale-based mechanism to optimize the HFF conditions for both synthesis quality  
5 and throughput. We noticed an increase in NP size and a decrease in drug loading when the flow  
6 rate was increased to 102.5 mL hr<sup>-1</sup> due to the accumulation of organic solvent in the bifurcated  
7 streams. This issue could be resolved when the flow rate was further increased to 205 mL hr<sup>-1</sup>, while  
8 maintaining a good quality of NPs with approximately 100 nm in size, 0.1 in PDI, 70% encapsulation  
9 efficiency, as well as 50% drug loading [39]. The second strategy to further increase the throughput  
10 is to introduce strong convective mixing to the microchannel. However, a high inlet flow pressure is  
11 required, and high-pressure capacity of the tubing interconnection needs to be developed to avoid  
12 the liquid leakage. As shown in **Figure 3B**, a robust tubing method was developed to sustain a  
13 pressure of up to 4.5 MPa. This high-pressure tubing technique allows for strong convective mixing  
14 at the high flow rate of 410 mL hr<sup>-1</sup>, resulting in size-controlled synthesis of small PLGA NPs of 55  
15 nm in diameter with a good dispersion. The mass production of PLGA NPs can reach 200 – 800 mg  
16 hr<sup>-1</sup> [60]. Combining with the first two strategies, the third strategy to scale up the throughput is to  
17 parallel the microchannels. In **Figure 3C**, a pressure-tolerant (up to 16 MPa) 3D-HFF device  
18 paralleling eight microchannels was fabricated to prepare PLGA NPs. The NP size was reproducibly  
19 controlled between 50 and 150 nm at the flow rate up to 1440 mL hr<sup>-1</sup> which enabled a mass  
20 production rate of approximately 1300 mg hr<sup>-1</sup> [61]. These scale-up strategies show potential to meet  
21 the clinical or even industrial purposes via microfluidic synthesis.  
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### 36 **3. Microfluidic synthesis and separation strategies for nano-formulations**

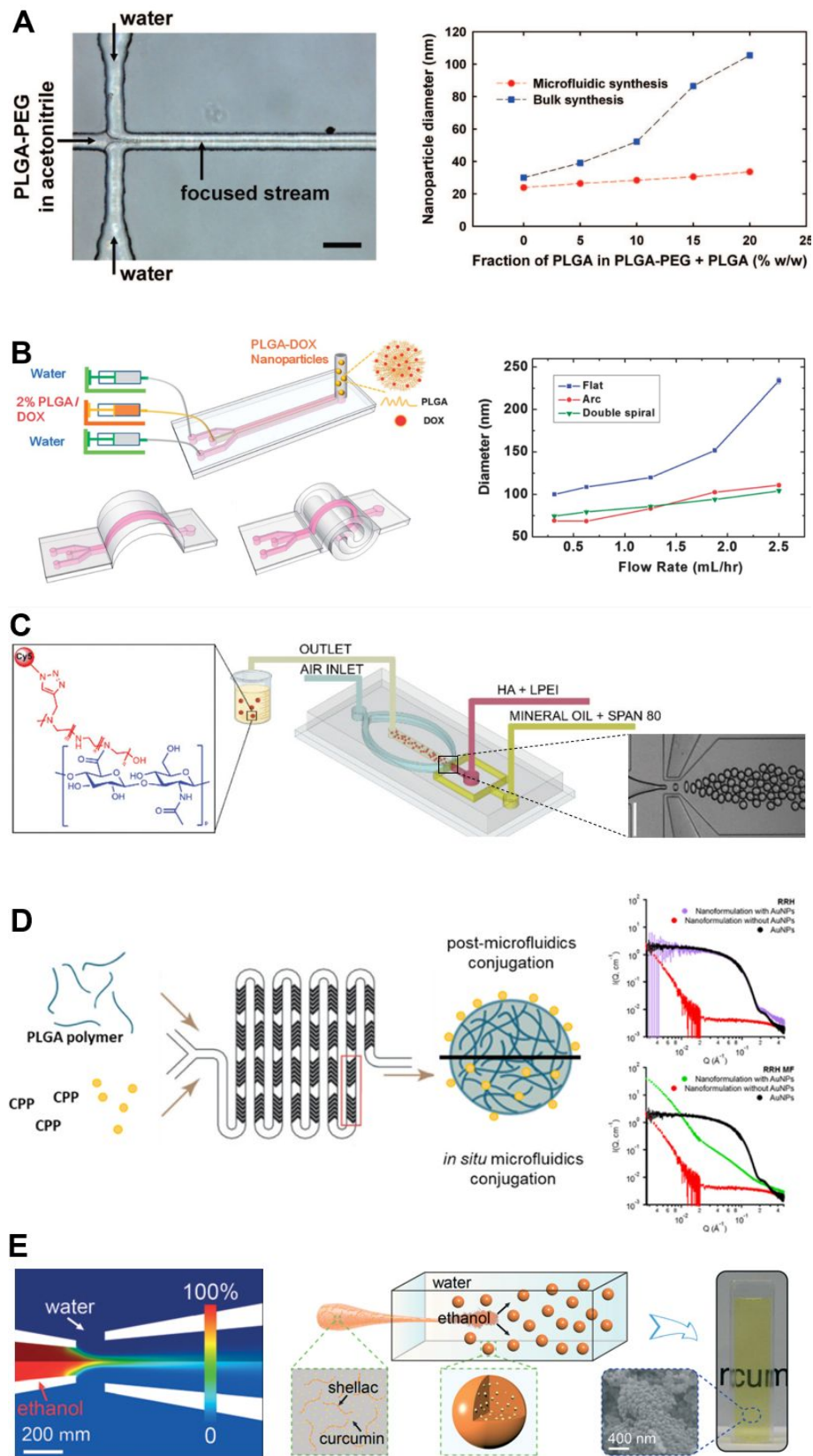
37 The nano-formulations can encompass both organic and inorganic materials of synthetic or natural  
38 origin for nanomedicine, and hence can be classified as organic or inorganic NPs [62]. Inorganic NPs  
39 offer great opportunities in nanomedicine serving as therapeutic or imaging agents. The commonly  
40 used materials for inorganic NP include metals, metallic oxides, and semiconductors [63]. Organic  
41 NPs can be further divided into polymeric NPs, lipid NPs, and (small molecule) drug nanocrystals.  
42 Here we discuss the microfluidic synthetic strategies for these different types of nano-formulations,  
43 as well as the microfluidic separation and purification of nano drug and biologics.  
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#### 51 **3.1. Polymeric NPs**

52 Polymeric NPs is one of the most studied formulations as a nanomedicine from the applications of  
53 drug delivery to imaging. Poly (lactic-co-glycolic acid) (PLGA) stands out as the most clinically  
54 advanced polymer for its hydrophobicity, which enables easy nanoprecipitation for NP formation and  
55 loading of hydrophobic drugs (such as paclitaxel) into PLGA NPs [64]. PLGA also shows good  
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2 biodegradability and biocompatibility with negligible effects to organisms in most cases [65, 66].  
3 Another good example is polyethylene glycol (PEG), which has become the most popular polymeric  
4 molecule for the coating of NPs [67]. PEG makes the NPs sterically stabilized by forming a hydrophilic  
5 layer on the surface of NPs [68]. The controlled release properties of polymeric NPs rely on the  
6 controlled properties of polymers which alter the release profiles of the encapsulated drugs [69]. The  
7 conventional batch method of solvent evaporation involves multiple time-consuming steps of the  
8 production and post processing of emulsions; and moreover, the batch produced polymeric NPs  
9 typically have big sizes of over 150 nm, limited drug loading, as well as significant batch-to-batch  
10 variations.  
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17 The microfluidic synthesis of polymeric NPs can be conducted in different devices of HFF, SHM,  
18 micro-droplet generator, and glass capillary. HFF is the most commonly used microfluidic method in  
19 polymeric NP studies, where a central stream of polymer-containing organic solvent is squeezed by  
20 the side aqueous streams flowing at a much higher speed. **Figure 4A** shows a study to synthesize  
21 PLGA-PEG NPs by rapidly mixing polymer-acetonitrile solutions and water using the HFF device [23].  
22 The PLGA-PEG NPs prepared by batch mixing method increased dramatically in size with the  
23 addition of free PLGA to the precursor solution, but the size of NPs produced by the HFF method  
24 remained relatively unchanged with the increase of PLGA concentration up to 50 mg mL<sup>-1</sup>. Moreover,  
25 the half life of the encapsulated drug of docetaxel is longer in the microfluidic NPs than that in the  
26 batch NPs (19 hr *versus* 11 hr). **Figure 4B** shows a study which proposed a variation of the design  
27 of HFF [70]. The HFF chips were manually folded to form the geometries of arc and double spiral to  
28 facilitate the mixing. The combination of HFF and 3D curved microchannels was found to significantly  
29 reduce the mixing time which enabled the synthesis of doxorubicin (DOX)-loaded PLGA with good  
30 size control at a higher throughput. The HFF-synthesized PLGA NPs were also found to significantly  
31 improve the stability of the encapsulated drug of curcumin with a half-life of 2 days; in comparison,  
32 the half-life the free drug of curcumin was as short as 30 minutes [71]. To avoid the channel clogging  
33 by polymer aggregates, PDMS-based 3D HFF devices were developed to reduce the organic stream-  
34 channel wall interface and showed no channel fouling after running the synthesis of PLGA-PEG NPs  
35 for over 10 minutes [55].  
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**Figure 4.** Microfluidic methods for the synthesis of polymeric NPs. (A) Hydrodynamic flow focusing (HFF). Improved polymeric NP properties by HFF synthesis with much less increase of particle size with the increase of PLGA concentration compared to batch NPs (< 50% versus > 200%), leading to

1 a longer half-life of the encapsulated drug of docetaxel. Reprinted with permission from ref. [23].  
2 Copyright 2008 American Chemical Society. (B) Spiral HFF. Combination of HFF and 3D curved  
3 microchannels achieves good size control of PLGA NPs at ten times higher throughput compared to  
4 the flat chip. The half-life is tens of times longer than the free drug of curcumin. Reprinted with  
5 permission from ref. [70]. Copyright 2014 Royal Society of Chemistry. (C) Micro-droplet generator.  
6 Highly monodispersed polymeric NPs are formed within the micro-droplets with a very small PDI of  
7 0.015. Reprinted with permission from ref. [72]. Copyright 2022 Royal Society of Chemistry. (D)  
8 Staggered herringbone micromixer (SHM). PLGA NPs prepared with SHM shows improved in-particle  
9 distribution of the encapsulated CPPs. Reprinted with permission from ref. [73]. Copyright 2019  
10 Elsevier. (E) Glass capillary. The short mixing time of 9 ms in the glass capillary device enables a  
11 high encapsulation efficiency of 98% for curcumin. Reprinted with permission from ref. [58]. Copyright  
12 2019 Royal Society of Chemistry.

22 The study shown in **Figure 4C** provided a synthesis of polymeric NPs via droplet-based microfluidics  
23 [72]. The polymers of hyaluronic acid (HA) and linear polyethyleneimine (LEPI) were covalently  
24 crosslinked in each droplet to produce highly monodispersed polymeric NPs with tunable sizes of 92  
25 – 190 nm and a very small PDI of 0.015. The release of the encapsulated DOX exhibited an enhanced  
26 antiblastic effect even at sublethal dosages, highlighting the applicability of this droplet-based  
27 microfluidic method in nanomedicine scenarios. The efficient production of PLGA NPs is also feasible  
28 using the mixer of SHM. The study in **Figure 4D** optimized the total flow rate (TFR) and flow rate ratio  
29 (FRR) of the aqueous and organic solutions introduced to the SHM device for the synthesis of PLGA  
30 NPs tagged with cell-penetrating peptides (CPP). The distribution of the CPPs (Au-labeled)  
31 throughout the PLGA NPs was only observed when the PLGA NPs were prepared with the  
32 conjugation approach of in situ SHM [73]. The example of the application of the glass capillary, as a  
33 variation of 3D HFF, on the synthesis of polymeric NPs is provided in **Figure 4E** [58]. The curcumin-  
34 loaded shellac NPs were produced by injecting the ethanolic polymer solution from the tapered  
35 cylindrical capillary into the water-containing outer square capillary. The mixing time was estimated  
36 at 9 ms with a mixing length of 1.6 mm when the glass capillary device was operating at the  
37 parameters of  $TFR = 20 \text{ mL hr}^{-1}$  and  $FRR = 40$ . A high encapsulation efficiency of 98% for curcumin  
38 was achieved indicating that the glass capillary synthetic method can be robust and reproducible  
39 encapsulate hydrophobic drugs in biocompatible polymeric NPs. Not only encapsulation efficiency,  
40 but also release kinetics and anticancer effect of the polymeric NPs can be improved when prepared  
41 using the microfluidic methods. For example, one study encapsulated gemcitabine in PLGA NPs  
42 using the microfluidic mixing device of HFF [74]. Compared to the gemcitabine-loaded PLGA NPs  
43 prepared by the double-emulsion/solvent evaporation method, the encapsulation efficiency was  
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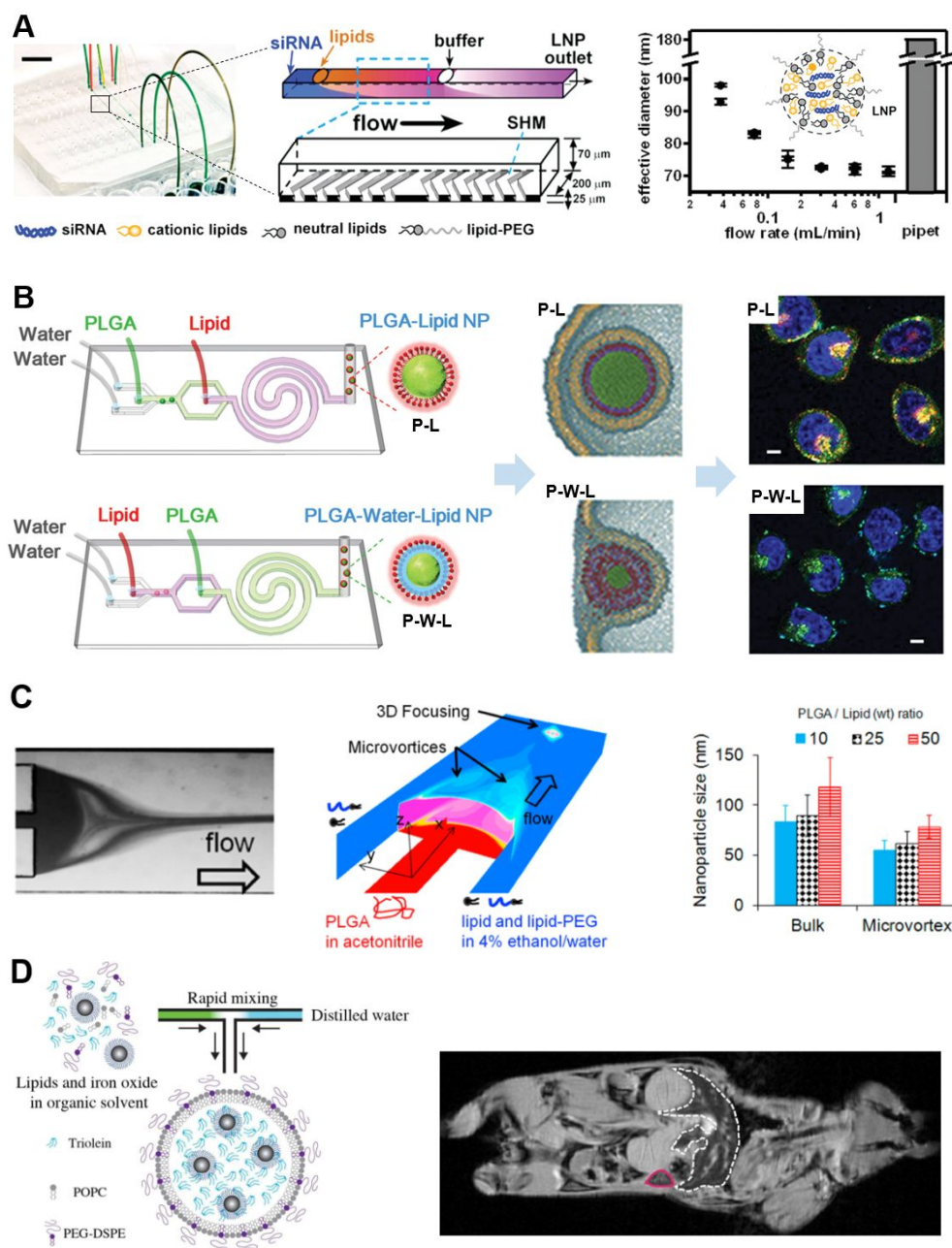
1 increased by two-fold; moreover, the release of gemcitabine was slower, and more potent cytotoxicity  
2 was observed against the human breast cancer cells of MCF-7.  
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### 6 **3.2. Lipid NPs**

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8 Lipid NPs (LNPs) or liposomes can be used to deliver hydrophobic drugs by encapsulating them in  
9 the lipid bilayer [75]. LNPs have become the most clinically advanced nonviral vectors to deliver  
10 therapeutic nucleic acids of small interfering RNA (siRNA), messenger RNA (mRNA) or plasmid DNA  
11 (pDNA) as more than ten LNP–siRNA/mRNA/pDNA formulations have entered the stage of clinical  
12 trials [76-78]. LNP formulations for co-delivery of siRNA and mRNA have also been explored, which  
13 may enable the simultaneous knockdown of undesirable protein(s) and expression of desirable  
14 protein(s) [79]. Moreover, lipid-covered polymeric NPs and pure drug NPs have shown great benefits  
15 in drug delivery for their high efficiency and minor side effects [80, 81]. The batch methods to produce  
16 LNPs involve the stepwise mixing of the lipid-containing organic solution and the nucleic acid-  
17 containing aqueous solution to precipitate LNPs, which was generally achieved by extrusion or pipette  
18 mixing. The manufacturing challenge for batch methods lies in the poor control over the LNP  
19 properties, especially the LNP sizes of greater than 100 nm [79]. Microfluidic strategies have been  
20 applied to reduce LNP size and size dispersity, and improve the encapsulation efficiency of  
21 therapeutic reagents.  
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32 The microfluidic synthesis of LNPs, including the lipid-coated NPs, can be performed in different types  
33 of microfluidic mixers including SHM, HFF, 3D HFF with microvortices, and T-junction mixers.  
34 Producing LNPs using the SHM device has successfully overcome the main hurdle to the batch  
35 stepwise mixing of the high cost of the tens of milliliters of nucleic acid solution [44, 82]. **Figure 5A**  
36 shows the study that developed the SHM method for the synthesis of LNPs which managed to lower  
37 the requirement on the volume of input solutions from milliliter to microliter, thus saving expensive  
38 siRNA reagents [44]. As little as 10  $\mu\text{L}$  of organic and aqueous solution was reliably mixed in  
39 milliseconds. Compared to the pipet mixing method which produced LNPs of  $\sim 180$  nm in diameter,  
40 the SHM method decreased the LNP size below 100 nm. The LNP size was highly reproducible  
41 between repeated experiments and were further decreased to  $\sim 70$  nm at the flow rates of 12 – 60  
42  $\text{mL hr}^{-1}$ . Moreover, the SHM method enabled the improvement of screening of lipid-like materials for  
43 siRNA delivery due to its rapid and small-scale manners. The crucial role of the size control of LNPs  
44 in siRNA delivery efficiency was shown by another study [45]. The large LNPs of 170 nm in diameter  
45 had poor gene silencing in vivo compared to the small LNP of 60 nm in diameter produced by the  
46 SHM method. The ability of SHM devices to precisely and reproducibly control the LNP size enabled  
47 researchers to further study the effect of LNP size on gene silencing by preparing siRNA-loaded LNPs  
48 of different sizes ranging from 27 to 117 nm [24]. It was found that 27 nm LNPs were unstable, and  
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117 nm LNPs failed to transport through liver vasculatures. The LNPs of 38 – 78 nm in diameter resulted in the most efficient hepatic gene silencing.



**Figure 5.** Microfluidic methods for the synthesis of lipid nanoparticles (LNPs). (A) Staggered herringbone micromixer (SHM). The LNP synthesis by SHM reduces the required volume of input solutions from milliliter to microliter, and decreases the particle size from approximately 180 to 70 nm. Reprinted with permission from ref. [44]. Copyright 2012 American Chemical Society. (B) Hydrodynamic flow focusing (HFF). A two-stage HFF device assembles NPs with a lipid shell – polymer core structure, and regulates the cellular uptake of NPs by their rigidity which leads to different dynamics of entry into the cell. Reprinted with permission from ref. [83]. Copyright 2014 Wiley.

1 (C) 3D HFF with microvortices. The 3D focusing by microvortices is generated at the Reynolds  
2 number of up to 150, fulfilling reduced particle size and PDI (55 – 80 nm, 0.1) compared to batch  
3 method (80 – 120 nm, 0.2). Reprinted with permission from ref. [53]. Copyright 2013 American  
4 Chemical Society. (D) T-junction mixer. The turbulent T-junction mixer operating at a high Reynolds  
5 number of 11,000 scales up the LNP production, and the encapsulation of iron oxide NPs into LNPs  
6 enhances the image contrast for magnetic resonance imaging (MRI) of liver (dotted white line) and  
7 spleen (pink solid line). Reprinted with permission from ref. [50]. Copyright 2017 Royal Society of  
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16 As shown in **Figure 5B**, researchers used a two-stage HFF to assemble the NPs having a PLGA  
17 core/lipid shell structure [83]. The lipid shell could be monolayer (P-L) or bilayer (P-W-L) solely  
18 depending on injection order of PLGA and lipid solutions. The P-L and P-W-L NPs had different rigidity  
19 but the same composition, surface chemistry, and size. The cellular uptake of NPs was found to be  
20 regulated by rigidity. The rigid P-L NP was internalized smoothly, but the less rigid P-W-L NP  
21 significantly deformed during the internalization which impeded its entry into the cell. As a result, the  
22 HeLa cells took up more "hard" P-L NPs than the "soft" P-W-L NPs indicated by the higher  
23 fluorescence intensities of the cells incubated with the P-L NPs. **Figure 5C** shows the production of  
24 PLGA-lipid NPs with superior reproducibility and homogeneity using the 3D HFF device with  
25 microvortices [53]. The device operated at the Reynolds number of 30 – 150 yielding a high  
26 throughput up to 3 g hr<sup>-1</sup>. The NP size was well controlled in the range of 55 – 80 nm with a small PDI  
27 of ~ 0.1. In comparison, the batch method produced larger NPs of 80 – 120 nm in diameter with a  
28 PDI of ~ 0.2. The production of LNPs can be conducted with the turbulent T-junction mixer at a high  
29 throughput (**Figure 5D**) [50]. The rapid mixing was induced by having two fluids flow directly toward  
30 each other with a perpendicular turbulent output, which required a high Reynolds number of 11,000.  
31 The size modulated over the range 35 – 150 nm was fulfilled by varying the flow and the core-to-  
32 surface lipid ratio. The encapsulation of iron oxide NPs into LNPs provided enhanced image contrast  
33 for magnetic resonance imaging (MRI) of liver and spleen. The turbulent T-junction mixer offers an  
34 approach to scale up the LNP production; however, it may not be a preferred method for the  
35 applications such as high throughput screening of various LNP formulations since it cannot be scaled  
36 down to handle small volumes of the expensive reagents of nuclear acids or lipids.  
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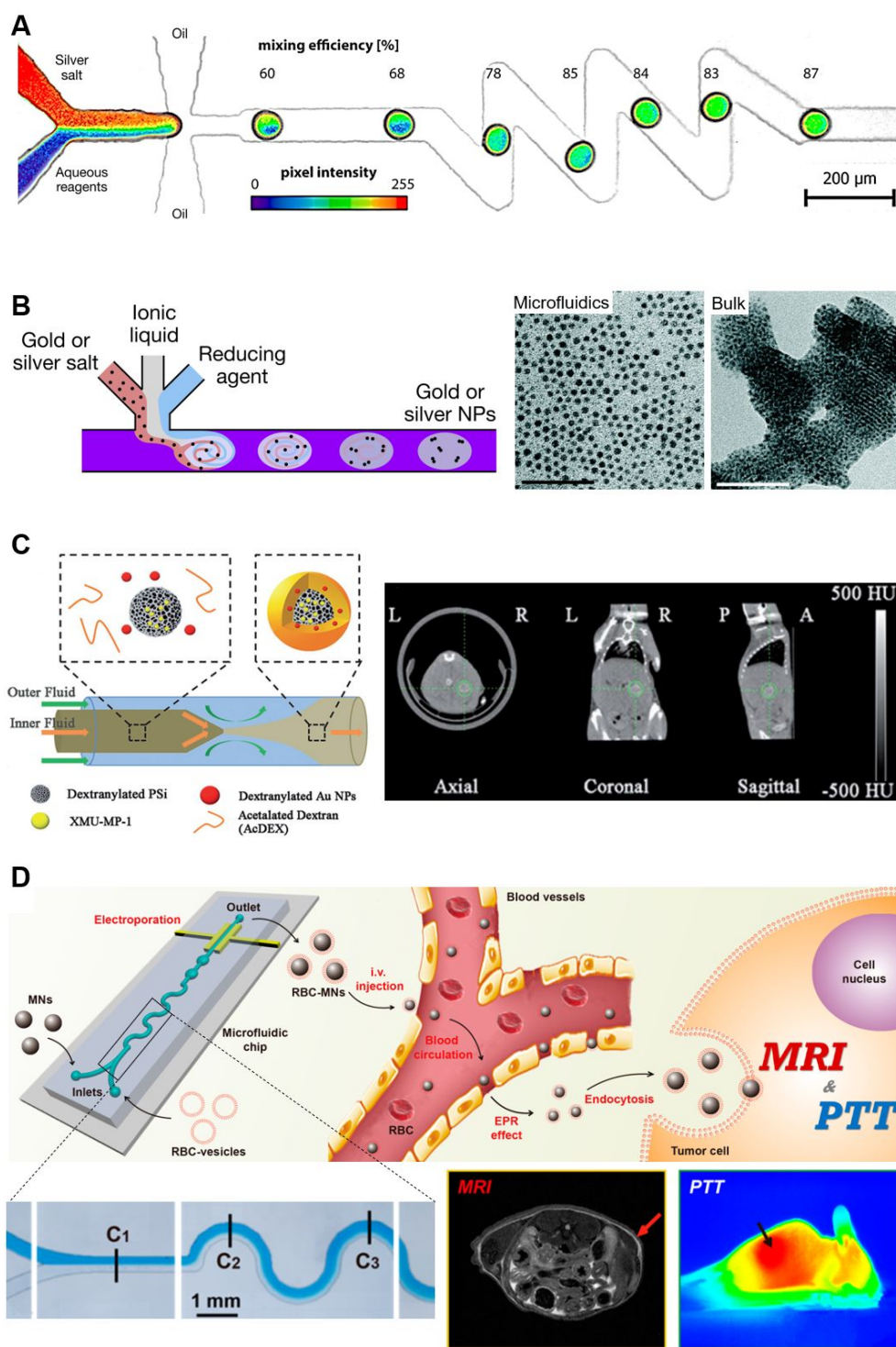
### 50 **3.3. Inorganic NPs**

51 Inorganic NPs typically possess unique optical properties enabling them to respond to specific  
52 external stimuli including light, magnetic field, ultrasound, radiofrequency, and radiation, as well as  
53 internal stimuli such as pH, interstitial pressure, and conjugation of biomarkers [84-87]. Hence,  
54 inorganic NPs have been widely used as therapeutic, diagnostic, or imaging agents. Gold NPs  
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1 (AuNPs), having the unique surface plasmon resonance (SPR), are one of the most studied type  
2 among the inorganic NPs. Modulating the optical and photothermal properties of AuNPs has showing  
3 promising applications for clinical use such as tumor imaging [88], tumor ablation [89], and on-  
4 demand release of incorporated therapeutics [90]. Iron oxide NPs (IONPs) are another type of  
5 inorganic NPs which has been extensively investigated because of their uniqueness of innate  
6 magnetic responsiveness. IONPs are able to facilitate the combination of imaging with therapy, called  
7 theranostics, allowing for more precise drug delivery [91, 92]. IONPs can serve as therapeutic agents  
8 via magnetic hyperthermia in alternating magnetic field. The local increase in heat can be used to  
9 induce cancer cell death, as well as the triggered release of the loaded drug [93, 94]. Silica (SiO<sub>2</sub>)  
10 NPs (SNPs) are also attractive for the drug delivery purpose as not only their size and shape, but  
11 also their porosity and chemical property of surface can be controlled, which gives them the ability to  
12 store and release both hydrophilic and hydrophobic drugs [95-97]. Inorganic NPs are commonly  
13 produced by chemical methods (such as chemical reduction) to induce the NP precipitation. The  
14 batch methods face significant challenges to scale up the production. The batch methods are not able  
15 to separate the nanoprecipitation stages of nucleation and growth leading to the problem of high  
16 levels of batch-to-batch variation of NP size.  
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28 The microfluidic devices such as micro-droplet generator, glass capillary, and T-junction mixer have  
29 been developed for the synthesis or surface modification of inorganic NPs. **Figure 6A** shows one  
30 study using the micro-droplet generator to synthesize silver NPs [98]. The silver salt (silver nitrate)  
31 solution was flow focused with the other aqueous solution containing the reducing agent of tannic  
32 acid and the stabilizing agent of trisodium citrate forming a series of micro-droplets. The droplet  
33 volume could be modulated within 30 – 80 picoliters by varying the input flow rates. The experiment  
34 result in Figure 6A exhibits the mixing inside droplets via the observation of the fluorescence of the  
35 tracer of rhodamine B. The mixing efficiency of 85% was achieved within 40 ms, which was  
36 considered fast enough for precipitation reaction and NP formation. Another study utilizing the micro-  
37 droplet generator to synthesize silver and gold NPs is shown in **Figure 6B** [99, 100]. The micro-  
38 droplets were generated by a T junction. The droplet contained the ionic liquid solutions of the metal  
39 salt precursor and the reductant. The gold NPs synthesized by the micro-droplet method was 29%  
40 smaller than the batch method. More striking differences were observed for silver NPs which had a  
41 well-defined spherical shape in the microfluidic synthesis but appeared as large coral-like assemblies  
42 in the batch synthesis.  
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**Figure 6.** Microfluidic methods for the synthesis and surface modification of inorganic NPs. (A) Micro-droplet generator (by flow focusing). Efficiency of the in-droplet mixing between silver salt and reducing reagent reaches 85% within 40 ms for homogeneous precipitation reaction and silver NP formation. Reprinted with permission from ref. [98]. Copyright 2019 Springer. (B) Micro-droplet generator (by T junction). The gold NPs are generated in the micro-droplets with a well-defined spherical shape and 29% smaller than batch method. Reprinted with permission from refs. [99, 100].

1 Copyright 2012 American Chemical Society. Copyright 2021 Elsevier. (C) Glass capillary. Surface  
2 modification of silicon NPs with a polymer matrix is conducted in a glass capillary device, and this  
3 microfluidically-synthesized nanohybrid serves as a theranostic reagent with increased local drug  
4 concentration in the lesion area of liver. Reprinted with permission from ref. [101]. Copyright 2017  
5 Wiley. (D) T-junction mixer. The utilization of U-shaped turns after the T-junction enhances the mixing  
6 between iron oxide NPs and the surface modification material of blood cell membrane-derived  
7 vesicles, and the core-shell nanohybrid exhibits enhanced efficiency of tumor magnetic resonance  
8 imaging (MRI) and photothermal therapy (PTT). Reprinted with permission from ref. [102]. Copyright  
9 2017 American Chemical Society.

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11 The study in **Figure 6C** used the microfluidic glass capillary device to conduct the surface modification  
12 of silicon NPs with a polymer matrix [101]. Both the silicon and gold NPs were encapsulated in the  
13 polymer matrix by alternating the NPs' surface properties. The therapeutic compound of XMU-MP-1  
14 was also loaded to the porous silicon NPs via the nanoprecipitation in the glass capillary. This  
15 nanohybrid showed potential as a theranostic reagent for the disease of acute liver failure (ALF). The  
16 microfluidic synthesized NPs increased the local drug concentration in the lesion area of liver and  
17 enhanced the CT signal to generate a distinguishable area in CT images by the accumulation of NPs  
18 in the mice with ALF disease. **Figure 6D** shows a study creating the biomimetic cell membrane-  
19 coated NPs via the surface modification of iron oxide NPs (IONPs) [102]. The microfluidic mixing  
20 between the IONPs and the blood cell membrane-derived vesicles (RBC vesicles) were fulfilled using  
21 a variant of T-junction mixer involving a series of U-shaped turns followed by an electroporation zone.  
22 The two reagents were observed to be evenly mixed after the third U turn. This core-shell nano-  
23 formulation of RBC-IONP had the magnetic and photothermal properties because of the IONP core,  
24 and the long blood circulation characteristic owing to the RBC shell. Thus, the RBC-IONPs were used  
25 for enhanced tumor magnetic resonance imaging (MRI) and photothermal therapy (PTT) while the  
26 microfluidically-prepared NPs showed significantly better treatment effect than batch-prepared NPs.

### 3.4. Drug nanocrystals

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28 Nowadays, a large portion of drugs are designed and generated as poorly water-soluble molecules  
29 which results in the majority of the failures in new drug development [103, 104]. Specifically, more  
30 than 40% of the drugs are classified as low solubility drugs by the biopharmaceutics classification  
31 system (BCS) [105], and approximately 70 – 90% of new drugs have the problem of poor aqueous  
32 solubility [106]. The incorporation of hydrophobic drugs into NPs enables faster dissolution rate and  
33 higher saturation concentration of the drugs in aqueous solutions [107, 108]. Thus, as a drug carrier,  
34 NPs improve the solubility and bioavailability of the encapsulated drugs. The bioactivity and stability  
35 of the encapsulated drugs can also be enhanced by the NP's protection from rapid metabolism and  
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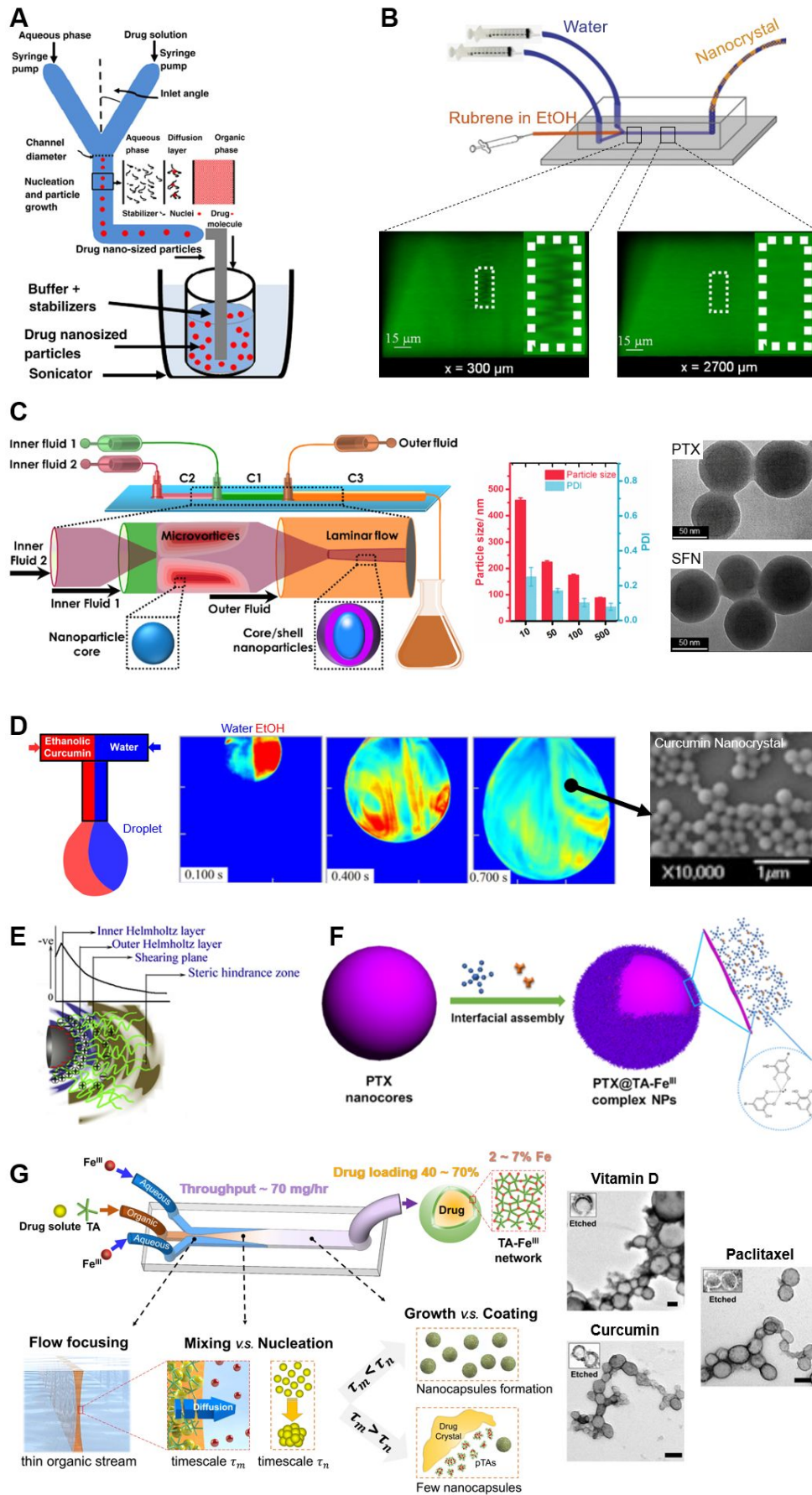
1 clearance [109, 110]. Moreover, the nano-formulation can contribute to less toxicity and improved  
2 therapeutic efficacy of a drug via spatiotemporal control of drug release [111-114].  
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6 Drug nanocrystals, or called pure drug NPs, are a versatile tool for the delivery of the hydrophobic  
7 drugs as a simple core-shell nanostructure. The drug nanocore is formed first, and then encapsulated  
8 by a shell/layer of stabilizer. Polymers and surface-active agents are the most commonly used  
9 stabilizers for pharmaceutical nanocrystals. Stabilizers influence not only the stability but also the  
10 bioavailability of nanocrystals. For example, Pluronic-grafted chitosan copolymer, as the stabilizer of  
11 paclitaxel (PTX) nanocrystals, improved the relative bioavailability of PTX by 12.6 folds compared to  
12 Taxol™ [115]. Among the various nano-formulations, the advantages of drug nanocrystals include  
13 high drug loading, low preparation cost, and flexible administration routes [116]. Drug nanocrystals  
14 are referred to as nanosuspension when they are suspended in aqueous medium [104]. Apart from  
15 their conventional clinical or preclinical use of oral delivery of hydrophobic drugs, drug nanocrystals  
16 can be more broadly used via other administration routes of transdermal, pulmonary, ophthalmic,  
17 buccal, and intravenous [117-120].  
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27 The top-down milling method is not possible or require a very long process to reduce the size of drug  
28 nanocrystals below 100 nm. For example, using the media milling technique, the fenofibrate  
29 nanocrystals with the stabilizer of Soluplus® and HPMC, respectively, were produced with sizes of  
30 344 nm and 642 nm, respectively [121]. The bottom-up microfluidic nanoprecipitation method can  
31 help to reduce the size of drug nanocrystals. **Figure 7A** shows a commonly used microfluidic device  
32 of Y-junction mixer to synthesize hydrocortisone nanosuspension. The ethanolic drug solution was  
33 mixed with the aqueous solution containing stabilizers and then introduced to a bulk solution of  
34 phosphate buffered saline (PBS) with stabilizers under continuous sonication. A hydrocortisone  
35 nanosuspension with a mean size of  $295 \pm 32$  nm was generated which was comparable to the  
36 minimum size of hydrocortisone nanocrystals produced by the wet milling method (milling time up to  
37 105 minutes). The Y-junction mixer was also adopted in other studies to synthesize of the  
38 nanocrystals of different hydrophobic drugs of danazol [122], cefuroxime axetil [123], and atorvastatin  
39 calcium [124]. These drug nanocrystals produced by Y-junction mixers were generally larger than  
40 300 nm in size. The drug nanocrystal of rubrene was prepared smaller than 100 nm with a HFF device  
41 shown in **Figure 7B** [125]. The ethanolic rubrene solution was focused in the HFF configuration by  
42 the stabilizer-containing aqueous flows. The efficient diffusion in the region of the focused drug-  
43 containing stream was confirmed by confocal fluorescence microscopy in the presence of fluorescein.  
44 The rubrene nanocrystals of 50 – 110 nm in mean diameter were produced by the HFF device by  
45 controlling the aqueous-to-organic flow ratio. The nanocrystals of paclitaxel (PTX) and sorafenib (SFN)  
46 stabilized by the coating polymer of hypromellose acetate succinate (HF) were generated with the  
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1 controlled size of 60 – 450 nm and 70 – 550 nm, respectively, in a study utilizing the glass capillary  
2 device for the drug nanocrystal synthesis (**Figure 7C**) [126]. To reduce the nanocrystal size below  
3 100 nm, a high Reynold number of  $Re > 500$  was required. A droplet-based microfluidic approach  
4 was also proposed to synthesize the drug nanocrystal of curcumin [127]. As shown in **Figure 7D**, the  
5 ethanolic curcumin solution was mixed with the aqueous solution containing stabilizers in a T-junction  
6 mixer, and then formed hanging droplets out of the micro-channel in the open-air environment. The  
7 simultaneous mixing was activated by the inherent chaotic advection within each droplet, which was  
8 observed via the planar laser-induced fluorescence. As a result, curcumin nanocrystals of 190 – 450  
9 nm in mean diameter were generated by this droplet-based method depending on the concentration  
10 of curcumin.  
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19 Surface stabilizer is necessary for the drug nanocrystal stabilization; however, grafting the ligands to  
20 the surface of nanocrystals which are made of pure drug molecules is technically challenging due to  
21 lack of functional chemical groups. **Figure 7E** shows the combination of ionic surfactants and  
22 polymeric stabilizers for drug nanocrystal stabilization, which utilize the ionic surfactants for  
23 electrostatic repulsion and the polymeric stabilizers for steric hindrance [104]. A recently employed  
24 coating material of metal-phenolic networks (MPNs) for drug nanocrystal stabilization is shown in  
25 **Figure 7F** [128]. MPNs are supramolecular structures formed by the rapid coordination of natural  
26 polyphenols (such as tannic acid (TA), gallic acid (GA), and epigallocatechin gallate (EGCG)) with  
27 metal ions (such as  $Fe^{3+}$ ,  $Al^{3+}$ ,  $Sr^{2+}$ , and  $Cu^{2+}$ ) [129, 130]. MPNs are flexible and compatible with other  
28 biomaterials, so they have been developed for the delivery of imaging and therapeutic agents [129,  
29 131-135]. MPNs are also non-cytotoxic and degradable making them attractive to encapsulate  
30 proteinosomes, microbes, and mammalian cells [136-138]. Recently, MPNs have been employed as  
31 a coating material for drug nanocrystal stabilization. As a thin shell, MPNs can achieve high drug  
32 loading; moreover, MPNs can provide a functionalized surface for the nanocrystal to graft other  
33 ligands [128, 139, 140]. MPN-coated nanocrystals have been produced by batch nanoprecipitation  
34 methods for the hydrophobic drugs of paclitaxel [128], carfilzomib [139], vitamin D [140], curcumin  
35 [141], rapamycin [142], chlorin e6 [143], SN-38 [144], simvastatin [145], andrographolide [145], and  
36 cabazitaxel [146]. The batch methods involve manual pipet mixing and the postprocessing step of  
37 sonication which makes it time-consuming and labor-intensive work to scale from benchtop  
38 production to larger volume batches. Lately, our group developed a microfluidic HFF method for the  
39 synthesis of MPN-coated nanocrystals of hydrophobic drugs [39]. As shown in **Figure 7G**, the  
40 mechanism of encapsulating of a variety of hydrophobic drugs is established based on the time scales  
41 of microfluidic mixing and drug nucleation. The microfluidically-synthesized MPN-coated nanocrystals  
42 of vitamin D, curcumin, and paclitaxel had well-controlled sizes of 80 – 200 nm, high drug loadings of  
43 40 – 70%, and a throughput of up to  $70 \text{ mg hr}^{-1}$  per channel exhibiting scale-up potential.  
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1 **Figure 7.** Microfluidic methods for the synthesis of drug nanocrystals (pure drug NPs). (A) Y-junction  
2 mixer. As the simplest bottom-up microfluidic nanoprecipitation method, the Y-junction mixer with the  
3 aid of sonication can produce nanocrystals of the hydrophobic drug of hydrocortisone with the  
4 diameter of  $\sim 300$  nm. Reprinted with permission from ref. [147]. Copyright 2011 Elsevier. (B)  
5 Hydrodynamic flow focusing (HFF). The 3D flow focusing device enables fast diffusion of the central  
6 stream and thus generates rubrene nanocrystals smaller than 100 nm. Reprinted with permission  
7 from ref. [125]. Copyright 2010 Elsevier. (C) Glass capillary. The nanocrystals of paclitaxel (PTX) and  
8 sorafenib (SFN) smaller than 100 nm are synthesized at the conditions of  $Re > 500$ . Reprinted with  
9 permission from ref. [126]. Copyright 2017 American Chemical Society. (D) T-junction mixer followed  
10 by inner-droplet mixing. The mixing by the inherent chaotic advection within the hanging droplet  
11 enables the production of curcumin nanocrystals smaller than 200 nm. Reprinted with permission  
12 from ref. [127]. Copyright 2010 Springer. (E) Combined with the electrostatic repulsion provided by  
13 ionic surfactants, polymer molecules serve as the surface stabilizer for the drug nanocrystal  
14 stabilization by providing additional steric hindrance zone. Reprinted with permission from ref. [104].  
15 Copyright 2013 Elsevier. (F) Metal-phenolic ( $Fe^{3+}$ -tannic acid (TA)) network (MPN) as a stabilizer for  
16 the drug nanocrystal of PTX. Reprinted with permission from ref. [128]. Copyright 2016 American  
17 Chemical Society. (G) A timescale-guided microfluidic HFF method for the synthesis of MPN-coated  
18 nanocrystals of different hydrophobic drugs of PTX, vitamin D, and curcumin. Reprinted with  
19 permission from ref. [39]. Copyright 2023 Elsevier.

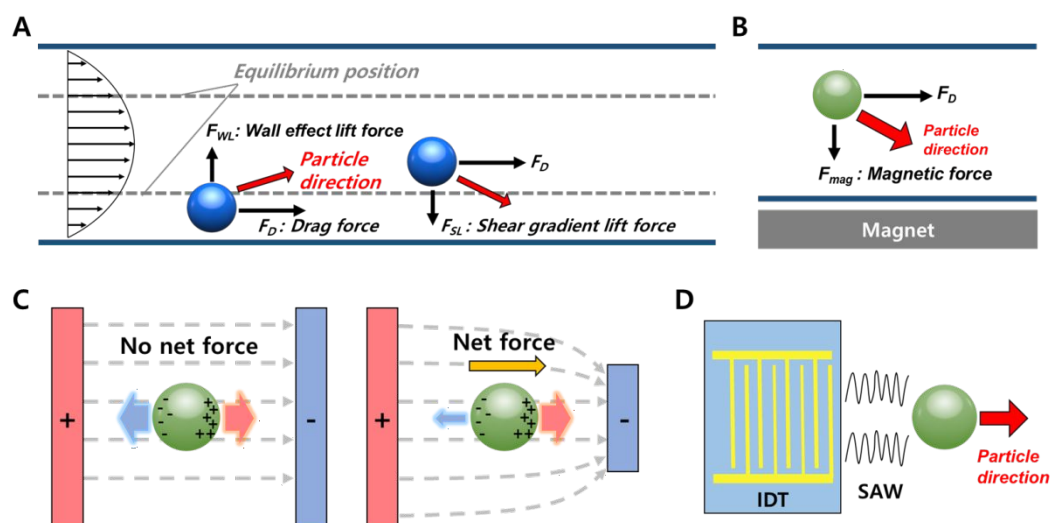
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33 Surface stabilizer is necessary for the drug nanocrystal stabilization; however, grafting the ligands to  
34 the surface of nanocrystals which are made of pure drug molecules is technically challenging due to  
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37 electrostatic repulsion and the polymeric stabilizers for steric hindrance [104]. A recently employed  
38 coating material of metal-phenolic networks (MPNs) for drug nanocrystal stabilization is shown in  
39 **Figure 7F** [128]. MPNs are supramolecular structures formed by the rapid coordination of natural  
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1 [141], rapamycin [142], chlorin e6 [143], SN-38 [144], simvastatin [145], andrographolide [145], and  
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8 of vitamin D, curcumin, and paclitaxel had well-controlled sizes of 80 – 200 nm, high drug loadings of  
9 40 – 70%, and a throughput of up to 70 mg hr<sup>-1</sup> per channel exhibiting scale-up potential.  
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### 17 **3.5. Microfluidic separation and purification of nano drugs and biologics**

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19 In recent decades, microfluidic techniques have advanced to manipulate nanoscale bioparticles,  
20 including trapping [148, 149], focusing [150, 151] and separation [152] using various forces such as  
21 acoustic radiation force [153], elastic lift force [154], dielectrophoresis force [155-157] as well as  
22 inertial and viscous forces [158]. The fluid properties are relevant to particle separation, such as  
23 viscosity (resistance to flow), density, and fluid velocity. Laminar flow ( $Re \ll 2000$ ) not only occurs  
24 but also a Stokes flow ( $Re \ll 1$ ) in the microfluidic channel. Particles in a flow experience shear and  
25 normal stresses, generating parallel forces (drag force) and perpendicular forces (wall effect and  
26 shear gradient lift forces) to the main flow direction and are aligned in the equilibrium position in  
27 **Figure 8A** [159]. Drag forces generally accelerate particles until they reach flow speed equilibrium  
28 [160]. In passive separation technologies, particles are controlled by hydrodynamic flow in  
29 microfluidics, while active separation technologies involve external forces such as magnetic, acoustic,  
30 optical, or electrical effects, often necessitating additional microchannel equipment [161]. In active  
31 separation technologies, particle behaviors are intricately governed by external forces. For instance,  
32 as depicted in **Figure 8B**, the particle movement is controlled by a magnetic force [162]. When a  
33 particle is suspended within a uniform electric field, its movement is significantly influenced by the  
34 gradients within a non-uniform electric field, ultimately resulting in a net force (**Figure 8C**) [163].  
35 Furthermore, the surface acoustic wave (SAWs) are generated by the transducer called an interdigital  
36 transducers (IDTs) and particle movements are affected by SAWs as shown in **Figure 8D** [164]. The  
37 separation and purification of nano drugs and biologics, such as liposomes, viruses, DNA nano-balls,  
38 and extracellular vesicles (EVs), are essential prerequisites for their biomedical and clinical  
39 applications [165-168]. Both passive and active techniques including acoustofluidics [169-171],  
40 hydrodynamics [172-174], and dielectrophoresis (DEP) [175-179] have been employed for the  
41 separation and purification of these substances.  
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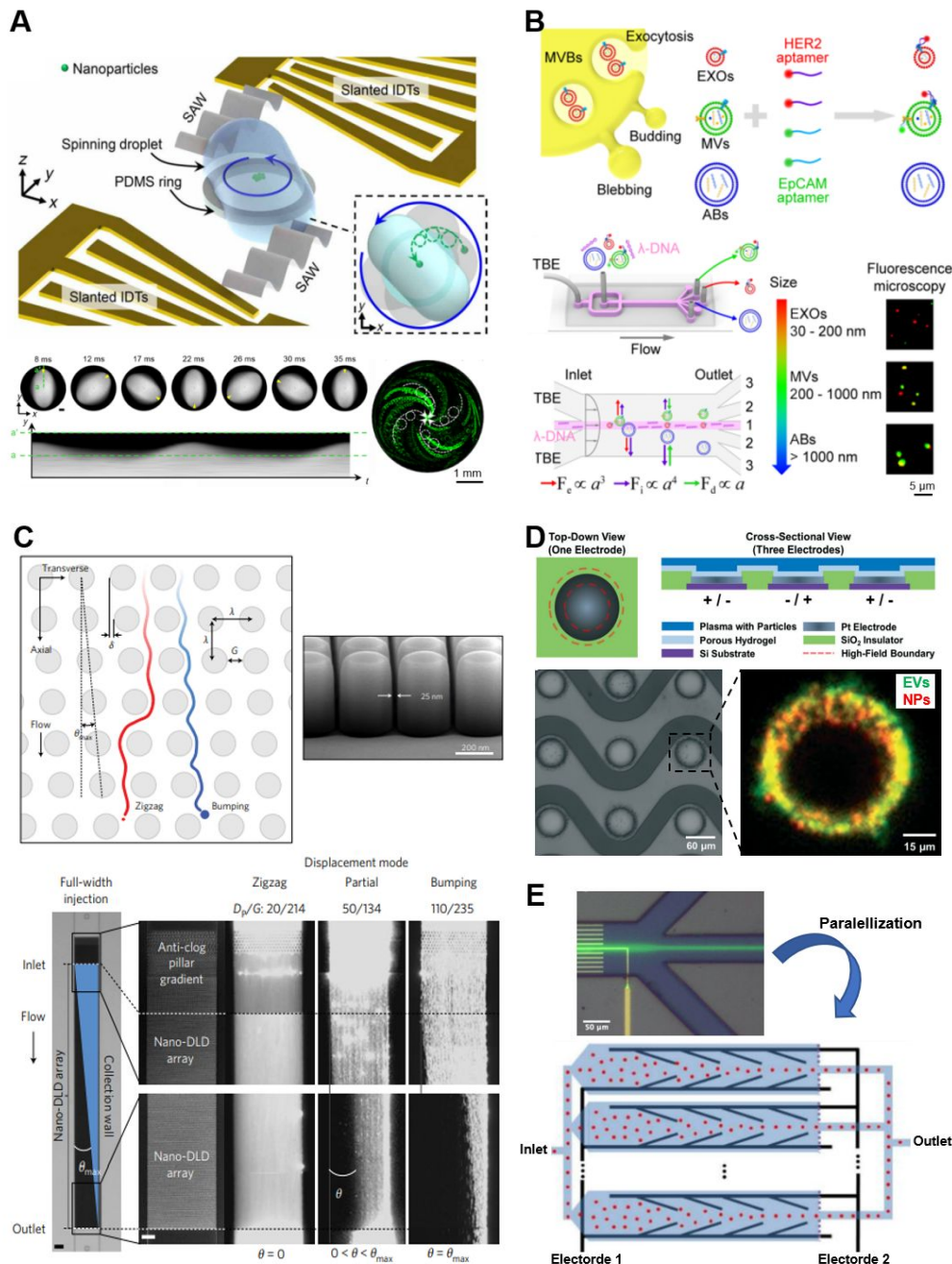


**Figure 8.** Particle separation technologies. (A) Hydrodynamic force. Particles move to the equilibrium position and are aligned by parallel forces (drag force) and perpendicular forces (wall effect and shear gradient lift forces). (B) Magnetic force. The direction of particle movement is controlled by a magnetic force, pulling the particles towards the magnet. (C) Electric force. The gradients of a non-uniform electric field lead to a net force and thus control the movement of a suspended particle. (D) Acoustic force. The interdigital transducers (IDTs) generate surface acoustic waves (SAWs) to modulate the particle motion.

Acoustofluidic technologies make use of acoustic waves to precisely control fluids and particles immersed in fluids, which enables contact-free and biocompatible separation of NPs. Particles containing liquid are given motion by the created density, velocity, or pressure field as a result of the acoustic waves propagating in liquid. The transducer utilized for surface acoustic wave (SAWs) generation and reception are called interdigital transducers (IDTs). **Figure 9A** shows the design of stereo acoustic stream (SteAS) for NP separation [169]. A droplet is placed on a PDMS ring located in between of two IDTs. The SteAS makes the droplet start to spin as the surface acoustic waves (SAWs) propagate into the droplet. Then the particles within the spinning droplet migrate toward its center, following a dual-axis rotational trajectory. The SteAS was able to capture 30-nm polystyrene NPs and continuously focus 150-nm polystyrene NPs. This acoustofluidic technology enables the enrichment and continuous size-based separation of NPs, and thus holds potential for applications in analytical chemistry and nano-drugs.

The hydrodynamics method for NP separation can utilize viscoelastic microfluidics to manipulate NPs in a more precise manner than the inertial microfluidics [172, 173]. Viscoelasticity-induced microfluidic devices have been utilized to focus and separate particles. **Figure 9B** shows a design of viscoelastic microfluidics mediated with  $\lambda$ -DNA and aptamer, by which EV subpopulations were size-selectively

separated [173]. The cell-derived EVs include exosomes (EXOs), microvesicles (MVs), and apoptotic bodies (ABs), which can utilize aptamers specific to HER2 and EpCAM. EXOs with sizes below 200 nm were submerged in the viscoelastic sample fluid, experiencing the centerline-directed elastic lift force. Conversely, MVs and ABs with sizes equal to or exceeding 200 nm were repelled by the force exerted by the flow, leading them to migrate towards the Newtonian sheath stream devoid of elasticity. Thus, these three EV subpopulations were separated for surface protein analysis of individual EVs. The panel of aptamers for the multiple detection of EV markers can be expanded, and the diagnostic value of EV subpopulations for different types of cancers can be further studied using this viscoelastic microfluidics.



1 **Figure 9.** Microfluidic strategies for separation and purification of nano-sized particles. (A)  
2 Acoustofluidics. Operational principles of an acoustofluidic centrifuge platform and dynamics of  
3 droplet spinning and particle manipulation within droplet. Reprinted with permission from ref. [169].  
4 (B) Viscoelastic hydrodynamics. Process of size-selective separation of extracellular vesicle (EV)  
5 subpopulations through implementation of  $\lambda$ -DNA mediated viscoelastic microfluidics. Reprinted with  
6 permission from ref. [173]. Copyright 2019 American Chemical Society. (C) Nanoscale deterministic  
7 lateral displacement (nano-DLD) arrays for NP separation. Reprinted with permission from ref. [152].  
8 Copyright 2016 Springer. (D) Dielectrophoresis (DEP) for stagnant fluids. An example shows the  
9 collection of polystyrene NPs (red) and EVs (green) by DEP arrays. Reprinted with permission from  
10 ref. [177]. Copyright 2021 American Chemical Society. (E) DEP for continuous flows. Sub-100 nm  
11 polymer particles (green) focused in the center of channel, as well as the parallelization design.  
12 Reprinted with permission from ref. [176].  
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22 The hydrodynamics method of deterministic lateral displacement (DLD) employs pillar arrays to  
23 continuously separate particles based on their size. The pillar arrays induce fluid bifurcation and result  
24 in a distinctive number of streamlines within the gaps. Particles that are smaller than the critical  
25 diameter follow the streamlines in the Zigzag mode (migration angle  $\theta = \theta_{\max}$ ), otherwise the particles  
26 behave differently in the Bumping mode ( $\theta = 0$ ), or the mode of Partial displacement ( $0 < \theta < \theta_{\max}$ )  
27 [180]. **Figure 9C** shows a design of nanoscale deterministic lateral displacement (nano-DLD) arrays  
28 with consistent gap sizes ranging from 25 to 235 nm [152]. These nano-DLD arrays effectively  
29 separated particles within the size range of 20 to 110 nm with sharp resolution. This hydrodynamics  
30 method of nano-DLD allows continuous and rapid NP sorting with a single-particle resolution without  
31 the need of particle labelling. The on-chip sorting and quantification of biocolloids, such as EVs, can  
32 also be fulfilled using the DLD technique.  
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41 Dielectrophoresis (DEP) refers to the movement of an object caused by the influence of DEP forces;  
42 specifically, when an object is suspended in a fluid and exposed to a non-uniform electric field, the  
43 contrasting dielectric properties between the object and its surrounding medium result in the  
44 generation of DEP forces acting on the object [175, 181, 182]. **Figure 9D** shows the measurement of  
45 fluorescence intensity of EVs from blood plasma (green) and polystyrene NPs (blue) captured on the  
46 surface of DEP regions within a microfluidic device [177]. This optical DEP technique can be adapted  
47 to other lab-on-a-chip platforms that feature analysis of cancer-related biomarkers. **Figure 9E** shows  
48 another example of DEP microfluidics achieving the upconcentration and sorting of NPs in a  
49 continuous flow. The sub-100 nm particles (green fluorescence) were focused towards the center of  
50 the channel and directed towards the center outlet by the DEP force from a DC field. For the  
51 parallelization of channels utilizing the DEP force from an AC field, the inclined micro-sized electrodes  
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2 in a zig-zag three-tooth pattern was found to generate the largest DEP force to focus the NPs with a  
3 diameter of 84 or 47 nm. The massive parallelization of this DEP microfluidics can increase the  
4 throughput by a factor of 1250, which shows the potential for the applications for the purposes of  
5 clinical diagnosis and nano-drug purification.  
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#### 8 9 10 **4. Summary**

11 The success of microfluidic techniques in dealing with the batch-to-batch variations of the batch  
12 synthesis methods for nano-formulations relies on the small scale of the microfluidic mixing which  
13 makes the precise control of the rapid diffusive mass transfer possible. The micrometer scale of  
14 microfluidics enables short mixing time, as well as uniform mixing flow patterns, yielding the small  
15 size and narrow size distribution of the microfluidically synthesized NPs. However, scaling up the  
16 microfluidic throughput to the industrial level is challenging. It is notable that the microfluidic flow  
17 capacity,  $Q$ , dramatically decreases with the decrease of channel size,  $h$ , due to the increase of  
18 hydraulic resistance,  $R_H$ , which can be expressed as  $Q \propto R_H^{-1} \propto h^4$  [33]. For example, the flow  
19 capacity may be 80 times higher with a 3 times larger microfluidic channel (e.g. 300  $\mu\text{m}$  versus 100  
20  $\mu\text{m}$ ). Thus, although the continuous-flow manner makes the microfluidic techniques promising for  
21 large-scale production, it would be still meaningful to estimate the maximum microfluidic channel size  
22 for the synthesis of nano-formulations, guided by the timescale-based mechanism of mixing time  
23 versus precipitation time during the nanoprecipitation process.  
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33 Microfluidic channels can be fabricated out of a variety of materials such as polymers, glass, and  
34 silicon. Polymers are currently the most promising materials for microfluidic devices due to the  
35 advantages of flexibility, versatility, and biocompatibility, among which polydimethylsiloxane (PDMS)  
36 is undoubtedly the most widely used material [183-185]. Efforts are also made on the development  
37 of alternative materials beyond PDMS, such as non-binding polymers or plastics, due to PDMS's non-  
38 specific adsorption of proteins and other small molecule drugs [186-189]. The microchannel geometry  
39 can be fabricated by soft lithography and other lithography techniques such as reactive-ion etching,  
40 electron-beam lithography, and direct laser writing [190-193]. Fabrication of microfluidic devices can  
41 also be conducted by 3D printing or laser cutting as potential approaches for commercialization [194,  
42 195]. However, the high entry level due to the knowledge requirement for fluid dynamics, and the  
43 complex configurations of microfluidics to fabricate, are still hindering the utilization of microfluidics  
44 by broader research and industrial communities.  
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54 Despite the challenges discussed above, the development of microfluidics is rapidly evolving to solve  
55 the current problems and expand to future directions. For example, one of the main issue of channel  
56 clogging is being addressed by 3D HFF and glass capillary techniques, and the throughput scaling  
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1 up to the industrial level is promising to be fulfilled by the parallelization of microfluidic devices [196,  
2 197]. For future directions, the development of integrated microfluidic synthesis and separation  
3 devices with in-line characterization and control set-ups [198] is highly desirable, as it would allow  
4 real-time monitoring and in-process adjustment to optimize the production quality of nano-  
5 formulations. Microfluidics can also be a modular manufacturing technology for the future  
6 decentralized approach to nanomedicine manufacturing, which may facilitate the design and  
7 production of nanomedicine to meet the local or individual needs; for example, the development of  
8 microfluidics may be able to deal with the strained mRNA-LNP production which caused shortages  
9 of the vaccine [199]. For now, the microfluidic technique is more developed in the scenario of NP  
10 synthesis, while the drug delivery evaluation on the synthesized nano-formulation requires new  
11 developments of platforms or techniques for nanomedicine. Many nano-formulations showed  
12 satisfactory delivery in vitro, but failed when it came to the in vivo environments [200-202]. One main  
13 challenge in the drug delivery evolution is the modular platform that maintains necessary  
14 physicochemical properties which the conventional 2D monolayer cell culture system can not provide  
15 [203-205]. The combination of the microfluidic techniques of NP synthesis platform, as well as the NP  
16 delivery evaluation platform such as the tumor-on-a-chip models of pancreatic cancer and breast  
17 cancer developed in our lab [206-209], can play an important role in the pre-clinical phase trials for  
18 nanoparticle-based drug formulation development.  
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