Unmyelinated Peripheral Nerves can be Stimulated In Vitro Using Pulsed Ultrasound

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Abstract

Appreciation for the medical and research potential of ultrasound neuromodulation is growing rapidly, with potential applications in non-invasive treatment of neuro-degenerative disease and functional brain mapping spurring recent progress. However, little progress has been made in our understanding of the ultrasound-tissue interaction. The current study tackles this issue by measuring compound action potentials (CAPs) from an ex vivo crab walking leg nerve bundle and analysing the acoustic nature of successful stimuli using a Passive Cavitation Detector (PCD). An unimpeded ultrasound path, new acoustic analysis techniques and simple biological targets are used to detect different modes of cavitation and narrow down the candidate biological effectors with high sensitivity. In the present case, the constituents of unmyelinated axonal tissue alone are found to be sufficient to generate de novo action potentials under ultrasound, the stimulation of which is significantly correlated to the presence of inertial cavitation and is never observed in its absence.

Keywords: neurostimulation, neuromodulation, in Vitro, peripheral nerves, therapeutic ultrasound, cavitation, Axons

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Introduction

Diseases and dysfunction of the nervous system, both central and peripheral, are common causes of morbidity and mortality around the world. Despite huge investment into pharmaceutical solutions for some of the more prevalent problems, progress has been slow. For a few of these diseases, successful new treatments have been found in neurostimulatory medical devices. Examples include Deep Brain Stimulation (DBS) for Parkinson's disease (Bronstein et al., 2011), Vagus Nerve Stimulation (VNS) for epilepsy and depression (Groves and Brown, 2005) as well as Sacral neuromodulation for incontinence (Thaha et al., 2015). The gold standard for all of these are implantable electrodes, which themselves are associated with much morbidity from the need for highly invasive surgery, regular battery replacements and immunosuppression.

Though implants are improving, techniques that allow non-invasive neurostimulation such as Transcranial Magnetic Stimulation (TMS) (Lee et al., 2012) and
Direct Current Stimulation (DCS) (Nitsche et al., 2009) are gaining favour since
they avoid the complications mentioned above. However, neither of these techniques
can replicate the location specificity, or stimulation of deep structures that implants
can achieve.

Ultrasound (US), through the development of High Intensity Focused Ultrasound
(HIFU) for ablative surgery and blood brain barrier disruption, has demonstrated its
ability to overcome both of these targeting issues, reaching anywhere in the brain and
other body areas with millimetre precision. Its application to elicit neuromodulation
at lower intensities is still relatively new but is rapidly gaining momentum.

Examples of the neuromodulatory effect of US were first reported as early as 1929 (Harvey, 1929), but surfaced only occasionally until the last decade. These

early, pre-2008 exploratory studies almost all focused on examining effects on peripheral nerves (Fry, 1968; Younan et al., 2013; Sheltawy and Dawson, 1966; Lele, 27 1963; Gavrilov et al., 1977; Wright et al., 2015; Mihran et al., 1990; Dalecki et al., 28 1995; Wright et al., 2002; Tsui et al., 2005; Foley et al., 2008) with a few targeting 29 central nervous structures (Tsirulnikov et al., 1988; Wall et al., 1953). This pref-30 erence shifted dramatically towards central nervous targets after 2008 when Tyler's 31 group demonstrated that hippocampal slices could be stimulated at much lower intensities than those used on peripheral nerves (Tyler et al., 2008). Furthermore, 33 a comparison of threshold neuromodulation intensities in studies on peripheral or central nervous tissue shows the same large difference (Peripheral Nervous System 35 (PNS) mean threshold = 59 W/cm² σ = 68 (Fry et al., 1950; Lele, 1963; Gavrilov et al., 1977; Wright and Davies, 1989; Dalecki et al., 1995; Tsui et al., 2005; Foley et al., 2008; Colucci, 2009; Kim et al., 2012; Legon et al., 2012; Dickey et al., 38 2011; Tych et al., 2013; Lee et al., 2014; Hu et al., 2014), CNS mean threshold = $3 \text{ W/cm}^2 \sigma = 3$ (Tyler et al., 2008; Tufail et al., 2010; Min et al., 2011b,a,b; Yoo et al., 2011; Moore et al., 2015; Kim et al., 2014a; King et al., 2014; Kim et al., 2015, 2014b; Legon et al., 2014; Lee et al., 2015; Deffieux et al., 2013; Hameroff et al., 2012; Younan et al., 2013; Yang et al., 2012)). Subsequent to 2008, studies on the effects 43 of low intensity US in the living brain have yielded a range of exciting results, such as stimulating motor activity (Tufail et al., 2010), affecting GABA release (Yang et al., 2012), reversibly inhibiting epileptic activity (Min et al., 2011a) and eliciting somatosenory sensations (Lee et al., 2015). 47

Despite recent progress in the application of the technique, still very little is known about the mechanism at work behind the observations. Understanding in this regard has been hampered by poor characterisation of the ultrasound field, especially in small animal models where small cranial volumes make reflections and standing waves a significant problem (Young and Henneman, 1961). Combined with the biological complexity of brain tissue and the variety of models used, very little consensus has been achieved on successful US parameters, exemplified by occasional directly conflicting or negative findings (Colucci, 2009; Gavrilov and Tsirulnikov, 2012).

There is at least consensus that ultrasound stimulates nervous tissue through a mechanical effect, not a thermal one. The field is far from united on the nature of this mechanical interaction, but the leading two theories for the key mechanism involve either acoustic radiation force or cavitation.

Cavitation is most often brushed aside as a potential mechanism in the CNS 61 stimulation literature due to the low intensities used to elicit neurostimulation (Tufail et al., 2010; Deffieux et al., 2013; Yoo et al., 2011; Lee et al., 2015), below the FDA recommended Mechanical Index (MI) limits for soft tissue ultrasound (Duck, 2007). The limitations with this claim however are that the MI limit was formulated from observations of bubbles in free water, is concerned only with preventing inertial cavitation of sufficiently large bubbles to cause significant damage, and that MI is only a guide and cannot be used to truly predict the occurrence of cavitation as this will depend on the tissue type, bubble nuclei, dissolved gas content and other factors. Though some studies have reported very high pressure thresholds for in vivo cavitation in the brain (Gateau et al., 2011), others have found significant non-71 inertial cavitation at much lower intensities (240 mW/cm²) (ter Haar et al., 1982; Ter Harr et al., 1986). Though these two studies had much longer duration exposures 73 of over a minute, the finding does indicate that bubble nuclei can be affected in some 74 way by low intensities over much shorter durations. 75

In this study, a controlled *in vitro* environment is used, simplifying both the biological and the acoustic environment so that insight can be gained into the mech-

- anism by which mechanical forces are transduced into propagating electrical activity in axons. Given this goal, it was decided that the best first course of action was to isolate and understand the direct stimulation phenomena observed previously by the authors in the crab walking leg nerve axon (Wright et al., 2015). To this end, a test setup was designed with several key capabilities:
- Ultrasonic stimulation of a nerve bundle with known exposure parameters.
- Electrical stimulation of the bundle, providing saturated control measurements
 of the CAP before each US stimulus.
- Measurement of cavitational activity at the US stimulus site.
- Measurement of electrical CAPs at a distal site, resulting from either stimulus
 modality.
- Using this experimental approach combined with modelling of ultrasonic radiation forces at various stimulus parameters, the likely stimulus mechanism was determined by calculating the correlation of radiation force or cavitation activity with successful stimulation. Other features of the successful US stimuli, such as response latency and response reliability, were also investigated to determine the responsible force mechanism.

95 Materials and Methods

- $Experimental \ Setup$
- The equipment used in the current setup shown in figure 1 is detailed here.
- 98 US stimulus waveform was produced by two function generators (Agilent 33220A,
- 99 Agilent, Santa Clara, CA, USA), one gated by the other to produce the pulsed

protocol which was then amplified by a class AB linear power amplifier with 55 dBm gain (E&I 1020L 200 W, E&I, Rochester, NY, USA). The three US stimulus transducers, and the transducer used as a PCD are detailed in Table 1. The signal of the PCD was amplified by a voltage amplifier (SRS inc. Model 445A, Sunnyvale, CA, USA) providing a 5 times gain.

Electrical nerve stimulus was produced using a constant current isolated stim-105 ulator (Digitimer DS3, Digitimer, Hertfordshire, UK). Electrical recordings from 106 the nerve were taken using a differential amplifier (WPI DAM50, World Precision 107 Instruments, Sarasota, FL, USA) at 100× DC gain. Electrical and acoustic data 108 was acquired by an oscilloscope (Lecroy HDO6054, 12.5 MHz sampling frequency, 109 Teledyne LeCroy, Chestnut Ridge, NY, USA). Synchronisation of US and electrical 110 stimulation, and signal acquisition was performed using a 4 channel I/O module and 111 DAQ chassis (NI 9402 and NI 9171 cDAQ, National Instruments, Austin, TX, USA). 112 The nerve bath was separated into three electrically isolated sections. The two 113 ends of the bath performing the electrical stimulation and recording were filled with 114 mineral oil (figure 2) and the middle chamber with a crab ringers solution (525) 115 mmol/L NaCl, 13.3 mmol/L KCl, 12.4 mmol/L CaCl₂, 24.8 mmol/L MgCl₂ and 5 116 mmol/L dextrose). All electrodes used for stimulation and recording from the nerve 117 bundle (shown in figure 2) were made from silver chloride coated silver electrodes. To 118 reduce atmospheric electrical noise, the entire setup was contained within a copper 119 mesh Faraday cage. 120

A deep water bath (20 cm) with an acoustic absorbing layer (figure 1) was used to prevent ultrasound reflection interfering with the US field at the focal point. Reflections within the water bath were measured to affect the peak focal pressure by less than 5% at any of the amplitudes used in this study. The water bath was cooled with ice and monitored to ensure that it stayed between 1-4 °C. The cold slows down

the nerve's rate of conduction which serves to separate its response from stimulation 126 artefacts and keeps the nerve viable for longer. The focused PCD was fixed in place 127 within the water bath at an angle and distance such that its focal zone overlapped 128 the focus of the stimulus transducer on the nerve bundle and such that it avoided 129 receiving the direct field of the stimulus transducer (figure 1). 130

Nerve Preparation Procedure 131

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All nerves were taken from live crabs (Cancer pagurus) sourced on the day of 132 use from London markets. As invertebrates, crabs are not subject to regulatory 133 requirements on animal testing in the UK. Nerves were extracted from the crab leg 134 by stripping away each joint section, removing the shell and muscle from around 135 the nerve bundle, leaving as much as possible of the nerve intact. During extraction 136 the nerve was regularly sprayed with chilled (4-10 °C) crab ringer's solution. The 137 nerve was then ligated at both the proximal and distal ends with red cotton thread. Cutting above the distal ligation, the nerve was detached from the claw, transferred into the nerve bath and wetted with chilled saline. The nerve was handled by the 140 string attachments and passed through the two blocking gates (figure 2), then pulled 141 straight between them. This ensured that the nerve was located directly under the 142 ultrasonic focus (within ± 0.1 mm). Oil was then added to the two side channels 143 and saline to the centre. Surface tension in the small aperture of the blocking gates 144 (most of which was occluded by the nerve diameter) prevented the oil and saline 145 from mixing between the chambers. 146

Once loaded, the chamber was transferred to a holder on the surface of the water 147 bath and an US coupling cone fitted on top, ensuring that no bubbles were trapped 148 in the US propagation path using a small endoscopic camera viewing from below. The nerve bath and all implements were cleaned and sterilised with ethanol before 151 use.

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Nerve Bundle Characterisation

Five extracted nerve bundles were fixed in 3% glutaraldehyde (0.05 mol/L sodium 153 cacodylate buffer pH 7.2-7.4) directly after extraction. The bundle was then sectioned 154 and fixed in analdite resin using a methylene blue/azure II/ basic fuchsin stain for 155 light microscopy examination. Axon fibre density was estimated using a digitally 156 applied, randomly positioned 50 μ m square, counting only the axonal cells with 157 more than 50% of their volume within the square. This was repeated three times 158 for each of the 5 nerve bundles. Neuron density was calculated to be $136/100 \ \mu m$ 159 $(\sigma = 27)$, combined with the mean cross-sectional area of a nerve bundle the total 160 number of nerve axons in an extracted bundle was found to be 1017 ($\sigma = 202$). 161

Investigation into the cause of the increased likelihood of initial response success 162 found in a previous study by the authors (Wright et al., 2015), led to the observation 163 of microbubbles on the surface of the nerve bundle by light microscopy. These bubbles 164 are introduced by the extraction process as the bundle is submerged into the saline 165 bath. In the 0-5 minute period post nerve submersion, a mean of 11 bubbles (σ =8.8, 166 n=10) with a mean diameter of 78 μ m ($\sigma=54$) were seen over 2 cm of nerve. The 167 microbubbles were not observed past the first two US stimuli of an experiment as 168 larger bubbles were observed to rise to the surface after US exposure and smaller 169 ones dissolved rapidly into the surrounding saline. As only the first couple of stimuli 170 are affected by these bubbles, it was decided not to degas the nerve ringers solution, 171 as this would cause the axons to die faster. 172

173 Ultrasound Setup

To produce a highly predictable experimental US field a good understanding of the field and focus produced by each ultrasound transducer was required. The

free field spatial pressure distribution of the three HIFU transducers used in the experiments (Table 1) were measured using fibre-optic hydrophones (plane tipped, $10 \mu m$ diameter, calibrated frequency range of 500 kHz to 50 MHz) in a degassed water tank.

The spatial, temporal peak pressures for each transducer were located in 3 di-180 mensions and measured at relatively small peak negative pressure amplitudes (0 to -2 181 MPa) by three fibre-optic hydrophones, taking the mean positive and negative pres-182 sures for each transducer at three different input powers. Mean measurements from 183 multiple hydrophones were used to minimise inaccuracy from sensitivity variation be-184 tween different probes. Larger pressure amplitudes were not directly measured due 185 to the risk of damage to the hydrophones and therefore inaccurate measurements, as 186 per the manufacturer's recommendations (limited to <3 MPa at 1 MHz). Instead, 187 the measured pressure values were used to parametrise a Khokhlov-Zabolotskaya-188 Kuznetzov (KZK) based model of acoustic fields for each transducer, changing the 189 output efficiency parameter to match the measured outputs. This model takes into 190 account non-linear effects by modelling the propagation of the first 50 harmonics 191 around the fundamental frequency. The model was then used to predict peak nega-192 tive pressures of exposures below -2 MPa used in the current study (Table 2). The 193 KZK model has been validated using low f-number transducers similar to the ones 194 used in this study (Canney et al., 2008). Furthermore, radial peak positive pressure 195 at the focal point of each transducer was obtained by solving the calibrated KZK, 196 and was confirmed to be within a 10% tolerance of hydrophone measured profiles. 197

Rigid ultrasound coupling cones were machined from perspex for each transducer that both sealed in degassed water for near field transmission and mechanically locked onto the nerve bath. These fixed the focal point along the central axis, 5 mm beyond the end of the cone. The apertures of the cones were set at 20 mm, much larger

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than the diameter of the 1st side lobe (measured using a fibre-optic hydrophone in degassed water to be 15.2 mm in diameter to the 2nd nul point for the 0.67 MHz transducer 5 mm before the focal point). The truncated end of these cones was sealed with thin mylar film (12 μ m), providing an acoustically transparent window into the nerve bath. The wide top of the cones fitted each transducer tightly, preventing leakage of water and lateral targeting errors. The presence of the cone, affixed to each transducer was found to have no measurable effect on the dimensions or peak positive pressure of the focal points, measured in a degassed water tank.

Thin mylar film was also used as an acoustic window in the nerve bath, separating the water in the cone from the nerve bath, and the saline in the nerve bath from the water bath underneath. The width of the acoustic window in the nerve bath was 10 mm.

Ultrasound targeting error was analysed by producing visible heating spots in 214 thermo-chromatic gels with each transducer (figure 3). The centre point of the colour 215 change and its lateral deviation from the centre line of the chamber were measured 216 three times for each transducer, dismantling and re-constructing the apparatus each 217 time. Deviation was found to be a maximum of 160 ($\sigma = 67$), 84 ($\sigma = 11$) and 89 μ m 218 $(\sigma = 40~\mu\mathrm{m})$ for 0.67, 1.1 and 2 MHz respectively. As the errors are much smaller 219 than the width of the nerve (1-2 mm), a portion of the nerve bundle will always be 220 exposed to the focal maximum. 221

Ultrasound and Electrical Stimulation Protocols

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Electrical stimulation of the nerve bundle was performed to provided a measurement of maximum CAP amplitude and conduction speed, monitoring the health of the bundle and allowing the proportion of the bundle stimulated by US to be determined. Electrical and US stimulation were paired in these experiments so that every US stimulus was preceded by an electrical stimulus, 3 seconds apart (a CAP in this chilled and unmyelinated model lasts 100 ms). The timing between each electrical and US stimulus pair was alternately varied between 30 and 90 seconds, causing the whole pattern to repeat every 120 seconds with an average of 1 stimulus pair per minute (figure 4a). Each nerve bundle was exposed to 22 of these stimulus pairs resulting in a total experimental time of 22 minutes. The paired pulse protocol was designed to investigate if recovery times had an effect on either the cavitation environment (i.e. on the presence of cavitation nuclei) or biological environment.

Electrical stimulation was applied via the stimulation electrode (figure 2a) using a 0.2 ms constant current pulse. Stimulation amplitude was adjusted before each experiment to achieve saturation. Full saturation may not have been achieved every time due to varying levels of saline short between the stimulation electrodes and the earthed central bath. Larger crabs with generally thicker nerve bundles were preferentially selected to reduce this effect, as their nerve bundles better occluded the holes in the blocking gates.

Ultrasound parameters were initially chosen based on precedence in the literature for successful neurostimulation protocols (King et al., 2013; Kim et al., 2014a; Tufail et al., 2010). Variation and optimisation of these stimulus parameters in preliminary experiments (data not shown) led to a novel protocol described below.

The primary stimulus protocol used in this study was, 80 pulses of 0.67 MHz driving frequency at 10 kHz Pulse Repetition Frequency (PRF), over an 8 ms Total Stimulus Duration (TSD) (50% duty cycle). Short duration stimuli (8 ms) were chosen to ensure temporal separation of the electrical noise artefact from the received electrical nerve signal. Intensity was varied between the values shown in table 2. Orders of intensities being tested on a single nerve were randomised to prevent systematic error from nerve inhibition or other effects. The 1.1 and 2 MHz exposure

parameters shown in table 2 were calculated to match the radiation forces produced
 by the 0.67 MHz exposures.

To test the effect of longer exposure durations on the nerve response dynamics at 0.67 MHz, a second set of stimulus experiments, with the same parameters as above, were performed using 100 ms instead of 8 ms stimulus durations (1000 pulses).

To test the effect of different pulsing protocols on stimulation success without 258 exploring the entire parameter space, the parameters found in a recent successful in vivo US neurostimulation study by Lee et al. were tested (250 kHz fundamental, 260 500 Hz PRF, 50% duty cycle for 300 ms, with 3 s between each stimulus (Lee et al., 261 2015)) at the higher frequency of 0.67 MHz in our current setup. These parameters 262 were used initially at 0.7 W/cm², shown to be effective in Lee's study, and then 263 incrementally increased in the same steps seen in table 2 until a response threshold 264 was found. As with all exposure protocols, each stimulus intensity was repeated 22 265 times on a new nerve bundle. 266

KZK modelling determined that there was significant non-linear propagation of 267 ultrasound at the power levels used in the current study, increasing at higher ampli-268 tudes at all frequencies (Table 2). This results in higher positive pressures compared 269 to the peak negative values. To facilitate easy comparison with other papers in the 270 literature, Spatial Peak Pulse Average Intensity (I_{SPPA}) will be used throughout the 271 rest of the paper but it should be noted that these are linear approximations and the 272 positive and negative pressure peaks will be the most accurate metrics, especially at higher amplitudes. These peak pressures are displayed along side peak and pulse 274 average intensity values at all frequencies and driving powers (Table 2).

6 Detection and Analysis of Electrical Signals

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To detect CAPs, the electrical signal was split into 10 ms windows with no overlap 277 and an FFT performed on each. As the extracellular population recording of a CAP is 278 a summation of many cells' ionic fluxes in the environment around the nerve bundle, 279 the low frequency component (0-5 MHz) was used for detection. An amplitude 280 threshold for CAP detection was set at 5 times the standard deviation (σ) of the low frequency background activity or 5σ of the total background noise in the time 282 domain. The integrated area under the curve of a CAP, 5 ms each side of the peak 283 voltage amplitude was used to measure the response amplitudes for both electrical 284 and US stimulated CAPs. 285

The, electrically stimulated CAP response was used as a reference point to normalise the absolute amplitudes recorded from US stimulation.

CAP response latency was measured from the onset of the ultrasound or electrical 288 stimulus to the peak of the resultant CAP. This was the median latency of all the 289 fibres in the bundle which includes US travel, nerve response and CAP transmission 290 time. The first of these was constant and calculated to be 47 μ s and 40 μ s for the 0.67 291 and 1.1/2 MHz transducers respectively. The CAP transmission time along the nerve 292 was estimated on a nerve by nerve basis using the preceding CAP transmission time 293 from the interleaved electrical stimuli and the known relative distances between the 294 electrodes. Subtracting these from the total lag time, an estimate for the US response latency was calculated for each. This method assumes that the stimulation occurs 296 in the centre of the US focal point every time, uniform conduction velocity along the 297 length of the nerve and that the relative position of the CAP peak amplitude does 298 not change with time or different stimulation modalities. 299

The US transducers may induce noise in the recording electrodes (Francis et al., 2003). Though this source of noise was greatly reduced by using an earthed saline

bath, a temporal and spectral filtering algorithm was designed to prevent such noise being mistaken for CAP responses.

304 Analysis of PCD Signals

PCD recordings were analysed to determine the presence of inertial cavitation, which is characterised by a high energy, short duration, broadband signal. Analysis of time domain signal spikiness (kurtosis) and energy (variance) in multiple frequency bands was therefore used to detect inertial cavitation events.

In cases where multiple cavitation events are occurring simultaneously, as was 309 usually the case in this study, smaller amplitude events can be difficult to detect 310 and quantify using standard methods (Chen et al., 2003; Tu et al., 2006). A multi-311 resolution signal processing method is used here which demonstrates a promising 312 performance for this application (Hagshenas and Saffari, 2015). The technique uses 313 the wavelet transformation to decompose the signal into several components across 314 the following frequency ranges: $\frac{f_N}{2^{n+1}} - \frac{f_N}{2^n}$, $n = 0, \dots, M-2$, where f_N is the Nyquist 315 frequency (6.25 MHz) and M is the levels of decomposition (5 levels). 316

After performing the discrete wavelet transformation, short Fourier transform 317 (STFT) and statistical analysis (i.e. variance and kurtosis) of each component of 318 the signal are carried out to identify and characterise different cavitation regimes 319 (Hagshenas and Saffari, 2015). Inertial cavitation is indicated by a high value of 320 time domain kurtosis. The kurtosis threshold was set using the standard deviation 321 of kurtosis in the lowest amplitude exposures as a baseline noise measurement, as 322 no inertial cavitation was observed in standard spectrographic analysis. A kurtosis 323 threshold for cavitation detection was therefore set at 6. 324

In the case of the 100 and 300 ms exposures, the key 10 ms section of the US stimulus likely to have caused any resultant CAP, was determined by subtracting

the expected CAP transmission lag time from the point when the CAP peak was received. A 10 ms section of PCD signal data was analysed around the resulting time point, illustrated by the vertical red lines in (figure 4c). In cases where no US stimulated CAP was detected, a random 10 ms time section of PCD data was analysed for comparison.

332 Calculation of the Acoustic Radiation Force

Radiation forces produced by the 0.67 MHz stimulation protocol shown in table
were calculated by summing the force caused by acoustic absorption within the
nerve, with the force caused by acoustic reflection from the surface of the nerve. The
former is calculated as follows (Leighton, 1994):

$$I_{\text{SPPA}} = \frac{P_{ac}^2}{\sqrt{2}Z},$$
 (1) $F_{abs} = \frac{2\alpha I_{\text{SPPA}}}{c},$ (2)

where P_{ac} is the peak pressure, Z is the characteristic acoustic impedance of brain tissue (1.6 MRayls), F_{abs} is the radiation force due to the absorption of acoustic energy, α is the absorption coefficient of neural tissue in neppers per meter, calculated with the equation:

$$\alpha = \alpha_0 f^y, \tag{3}$$

where f is frequency, y is the frequency dependence exponent (an exponent of 1.3 and α_0 of 8.6 for brain tissue was used (Duck, 1990)) and c is the speed of sound in soft tissue (1562 m/s) (Roy, 1991). These equations assume plane wave and linear propagation.

Radiation forces due to the reflection at the saline-tissue interface were then 345 calculated (Leighton, 1994):

$$R = \frac{Z_2 - Z_1}{Z_2 + Z_1}, (4) F_{ref} = \frac{2I_{SPPA}R}{c}, (5)$$

where R is the pressure reflection coefficient, Z_1 and Z_2 are the specific acoustic impedances for saline and tissue respectively and F_{ref} is the radiation force acting 348 on the boundary due to reflection assuming a linear plane wave, perpendicular angle 349 of incidence and a reflecting surface area much larger than the wavelength. For the 350 purposes of this summation, the difference between the planes upon which the force 351 was acting was assumed to be negligible due to the small dimensions of the nerve. 352 These equations were used to calculate the radiation forces produced by the 0.67 353 MHz exposures and find the focal intensities required at 1.1 and 2 MHz to produce 354 identical forces. This resulted in a range of 17-475 W/cm² at 1.1 MHz and 12-343 355 W/cm^2 at 2 MHz (Table 2). 356

Damage Detection 357

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Damage to the nerve bundle was detected by two means. The primary method 358 was to measure proportional reductions in electrical stimulation amplitude from one stimulation to the next. A significant damage event detected by these means was defined as more than a 20% reduction caused by a single US stimulus. This threshold was defined by 1.5 times the maximum point to point decline detected in nerves not exposed to US. Three such control nerves were recorded over 22 minutes using the same experimental protocol but without power to the US transducer.

Damage that may have been caused by US stimulation over a longer period was
tested for by determining the correlation coefficient of the decline in CAP amplitude
with acoustic kurtosis and signal energy at all frequency bands in each nerve experiment. Correlation was also tested for between the same variables, irrespective of US
frequency or individual nerve experiments, across each stimulation protocol.

The second method used to detect significant damage events was through identification of after-discharge (repetitive nerve activation) after a successful US stimulation event. After-discharge is known as a sign of poration in the nerve membrane as the charged ions equilibrate causing the membrane to regularly depolarise (Lee et al., 1995). After-discharge was identified when the standard deviation of the raw electrical signal (100-150 ms after the CAP peak) was more than 1.5 times greater than the background σ measured before CAP initiation.

377 Results

142 nerves responsive to electrical stimulation were exposed to a range of ultra-378 sound parameters which were shown to be capable of eliciting large, synchronous 379 CAP events from the unmyelinated crab leg nerve bundle (figure 4b). Responsive 380 nerve bundles could be stimulated multiple times in the same location, with stimulus 381 reliability varying between 5 and 80%, strongly depending on fundamental frequency 382 and pulse average intensity of stimulation. Nerve responses occurred unpredictably 383 at different US exposures throughout the 22 minutes of an experiment, however, 384 there was an increased response probability for the first stimulus (15% of all exper-385 iments responded on the first attempt compared to a mean of 7\% success for any 386 other of the 22 stimuli). 387

The lowest intensity at which stimulation was observed was at $100 \text{ W/cm}^2 \text{ I}_{\text{SPPA}}$ for the 8 ms, 0.67 MHz stimulus. Inertial cavitation signals were detected in all

successful stimuli and found to be significantly correlated with nerve responses in the 100 ms, 0.67 MHz stimulus experiments in all frequency bands (P < 0.05). The results from each stimulus protocol variant are presented in this section.

Direct stimulation of the nerve via the electric field was ruled out by a sham experiment where the US cone was raised, creating a reflecting air gap between the cone and the saline bath and the primary US stimulation protocol repeated at high intensity. No direct stimulation was observed in this manner across 3 electrically responsive nerves and 66 individual stimuli (562 W/cm², 8 ms TSD, 0.67 MHz, 10 kHz PRF, 50% duty cycle, 30/90 s repetition period).

399 8 ms 0.67 MHz Stimuli

61 electrically responsive nerves across 26 crabs were tested using a range of
11 different US stimulation intensities (Table 2). Nerve response reliability and
amplitude for each intensity stimulus are shown in figure 5. signal energy and kurtosis
of the PCD data are shown in figure 6. The overall response reliability was less than
the 25% at all intensities (figure 5a).

The lowest intensity where neurostimulation was observed was 100 W/cm^2 . Correlation coefficients between the amplitude of the CAP response and both PCD signal energy and kurtosis, find significant (P<0.05, n=22) correlation in two nerve experiments (out of 61) at 485 and 562 W/cm² across all frequency bands. Mean response latency was 3.16 ms (n=106), measured from stimulation onset and excluding the time taken for the CAP to reach the recording electrodes.

Inertial cavitation was found to be ubiquitous at pulse average intensities past 100 W/cm², with broad band (1.56-6.25 MHz) inertial events (kurtosis>6) occurring in more than 70% of US stimuli (figure 7). This matches with the threshold for successful US stimulation also seen at 100 W/cm². The majority of these cavitation

events are not associated with any resultant nerve activity.

416 100 ms, 0.67 MHz Stimuli

19 electrically responsive nerves across 6 crabs were tested using the same range of US stimulation intensities (Table 2) as used in the 8 ms protocol. Nerve response reliability and amplitude for each intensity stimulus are shown in figure 8a and b respectively with the PCD signal kurtosis shown in c. The lowest intensity where neurostimulation was observed was 169 W/cm².

Significant positive correlation (P < 0.05) between nerve response amplitude and cavitation measures (kurtosis and signal energy of key PCD time sections) was found in 5 individual nerve experiments (56% of US responsive nerve experiments) across all frequency bands.

All cavitation and nerve response data in the 100 ms exposures was aggregated 426 to determine the correlation, irrespective of US driving intensity and separate nerve experiments. Significant positive correlation was found between kurtosis of acoustic 428 signals and nerve response amplitude across all frequency bands (0.39-0.78 MHz: 429 $r=0.25\ P<0.005,\ 0.78\text{-}1.56\ \mathrm{MHz};\ r=0.23\ P<0.005,\ 1.56\text{-}3.13\ \mathrm{MHz};\ r=0.18$ 430 P < 0.05, 3.13-6.25 MHz: r = 0.2 P < 0.005, n=304). This strongly implicates 431 the involvement of inertial cavitation. In individual STFT and wavelet analysis of 432 the PCD data from every successful US stimulation, inertial cavitation signals were 433 found in the expected time section without exception. 434

Similar to the 8 ms exposures, ubiquitous cavitation activity detectable in all frequency bands was found over 169 W/cm² shown in figure 8c. However, Analysis of the kurtosis of separate time sections showed that the majority of the inertial activity was restricted to the first 10 ms time bin (figure 9). Some events did occur after the initial burst of cavitation such as shown in figure 4c, at a much lower event

frequency, demonstrated by the much lower mean kurtosis values seen in figure 8c compared to figure 6b.

442 300 ms 0.67 MHz Stimuli

Reproductions of the intensities and pulse parameters found in CNS stimulation literature (Lee et al., 2015) at 0.67 MHz were unable to generate CAP responses in the crab nerve bundle. Incrementally increasing the intensity of stimulation resulted in a threshold for CAP generation at 169 W/cm^2 .

447 1.1 and 2 MHz Stimuli

58 electrically responsive nerves across 11 crabs were tested using a range of 5 different US stimulation intensities that equalled the radiation forces produced in the 0.67 MHz exposures (Table 2). At these intensity values, no nerve responses were observed.

Occasional high kurtosis events were seen with 1.1 and 2 MHz exposures, though
the acoustic signal energy in frequency bands other than driving was near zero
(<0.1% of total signal energy at all points) with very low standard deviation between
experiments. Therefore the cavitation activity present was considered negligible.

456 Damage

US was found to damage the exposed nerve bundles in some cases. The lowest intensity example of after-discharge in the 0.67 MHz 8 ms protocol, at 230 W/cm², is shown in figure 10c. Two other after-discharge events in separate nerve experiments were observed above this intensity threshold (at 485 and 562 W/cm²), all three were concurrent with reduced electrically stimulated CAP amplitude.

Each of the damage events causing after-discharge were examined spectrographically. Large broadband noise signatures marking inertial cavitation events (figure 10d) were seen preceding all these instances of significant damage. The cause was therefore deemed likely to be inertial cavitation induced membrane rupture.

Significant positive correlation (P<0.05, n=22) between decline of the electrically stimulated CAP and acoustic kurtosis & signal energy was seen in two of the three after-discharge occurrences mentioned above and in three more nerve experiments at 419 W/cm². Positive correlation is also found in 3/19 nerve experiments in the 100 ms exposures. In total, damage was observed in 4% of all nerve experiments at any intensity or frequency. No significant damage as a result of US exposure occurred at either 1.1 or 2 MHz.

Sham experiments were performed on three nerves from one crab where no US 473 was used. Degradation of the electrically stimulated CAPs across 22 minutes (Mean 474 normalised decline per minute = 0.009, σ =0.013) was not significantly different from 475 mean decline of US exposed nerve bundles, where signs of major damage events as 476 above were not seen at any intensity. The rate of decline in CAP amplitude over the 477 22 minutes also did not significantly change between exposure intensities (figure 10b). No significant correlation between damage and either signal energy or kurtosis was 479 found when measured across all data for each stimulation protocol, irrespective of 480 US frequency or individual nerve experiments. 481

Discussion

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Our results demonstrate that unmyelinated axonal tissue alone is sufficient to generate *de novo* action potentials in response to ultrasound stimulation. Examining the nature of this response allows several insights into the underlying mechanisms, which, in the present case, the authors demonstrate to be cavitational.

The lowest threshold at which responses were seen in any of the experiments 487 conducted here, was an order of magnitude greater than pulse average intensities 488 used in some studies achieving successful stimulation in rat brain tissue (Kim et al., 489 2012, 2014b,a; Tufail et al., 2010; Yoo et al., 2011). These studies use lower frequency 490 ultrasound (250-350 kHz) which has indeed been shown to be a critical factor by 491 the current study and others (King et al., 2013; Kim et al., 2014a; Gavrilov et al., 492 1977; Muratore et al., 2009; Lee et al., 2014) which may account even for this large 493 discrepancy in the pulse average intensity threshold. From investigations repeating 494 the pulsing parameters of an applied study in the human brain (Lee et al., 2015), 495 pulse protocol does not appear to play a role. The mechanism observed here and in 496 many in vivo brain studies may be the same but given the very different cavitation 497 environments, until further research can be performed the mechanisms should be 498 treated as distinct. Subsequent discussion will therefore focus on the characterisation 499 of the currently observed stimulation phenomenon. 500

The intensity thresholds found in this study are much closer to those reported by 501 Gavrilov's group and others targeting peripheral nerve structures (Gavrilov et al., 502 1996; Wright and Davies, 1989; Mihran et al., 1990; Legon et al., 2012; Tych et al., 503 2013), re-enforcing the apparent divide in threshold amplitude between neuromodu-504 lation of the CNS and the PNS. The extent of the separation in required intensities 505 between these two paradigms demonstrate the importance of identifying in different 506 tissue types, the specific US effects and their thresholds. This could then be used to develop a fuller understanding of the US-tissue interaction and targeted ultrasound 508 therapies, including but not limited to neurostimulation.

510 Ultrasound Force Mechanism

Response Dynamics

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The first thing that was noted about the nerve responses was the stochastic 512 success rate, where large events that involved many axons in the bundle occur infre-513 quently. This points to a correspondingly probabilistic cause that occurs on a scale 514 affecting a large proportion of the fibres in the bundle or not at all, consistent with 515 cavitating bubbles occurring outside of nerve fibres. If the mechanism of stimulation 516 was on a small scale such as the bilayer sonophore model (Krasovitski et al., 2011), 517 the many isolated events that act at the individual cell level would be expected to 518 produce a reliable response when aggregated to the level of the entire bundle. 519

The same argument against cellular scale probabilistic effects can be applied to 520 discount a radiation force mechanism. In a system where nothing is being changed 521 between US exposures, radiation force as a result of tissue absorption and reflection 522 should remain constant as well as any effects on the nerve it elicits, but this is not 523 what was observed. Second to this, the radiation forces produced in the 0.67 MHz 524 exposures were calculated and reproduced at 1.1 and 2 MHz (Table 2) and found 525 to be ineffective at generating responses from the nerve. Indeed these modelled 526 forces are lower than compressional experiments in the literature shown to generate 527 mechanical stimulation of axons (Rivera et al., 2000), though conductance changes 528 from weak compression may contribute to the overall effect (Julian and Goldman, 529 1962; Olesen et al., 1988). 530

The response latency dynamics of the current observed phenomena also does not match with studies that find only the onset or offset of US stimuli to be effective (Menz et al., 2013; King et al., 2013; Gavrilov et al., 1977; Dalecki et al., 1995; Krasovitski et al., 2011; Plaksin et al., 2014) which would be consistent with radiation

force or bilayer sonophore mechanisms. In the current findings, stimuli occurrences are distributed throughout the 8 and 100 ms exposures, with each part of the pulse train having a similar chance of stimulating the nerve.

538 PCD Data

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In both the 8 ms and 100 ms datasets a plateauing of kurtosis and signal energy are seen after 230 W/cm² (figure 6). This is likely to be caused both by the non-linear scaling of peak negative pressures with intensity (Table 2), and saturation in the occurrence (but not amplitude) of cavitation. Concurrently with this observation, response reliability also saturates around this intensity (figure 5 and figure 8). Therefore increasing US intensity past a point will not increase the likelihood of stimulation and may increase the violence of events and likelihood of damage.

Across all US stimuli, inertial cavitation was most often observed with no resultant nerve response. The probable reason for this is that the focal area (6×3.5 mm FWHM) and potential volume in which cavitation is likely to occur, was much larger than the volume occupied by the nerve bundle (1-2 mm diameter). Cavitation therefore may not be occurring in close proximity to the nerve.

This affected the analysis of the 8 ms much more than the 100 ms exposures as the non-proximal cavitation activity is found throughout the 8ms exposure and only in the first 10 ms of longer stimuli. This lower average background activity over the longer exposure period led to significant correlations between US stimulated CAP amplitude and PCD signal kurtosis in individual nerve experiments and across the whole dataset.

Correlation coefficients can mask infrequent stimulation events that may occur without any sign of cavitation. A key finding of this paper therefore, is that, through detailed individual PCD signal analysis, broad frequency band inertial cavitation events were detected in the expected time section preceding 100% of successful US neurostimulation events in both the 8 and 100 ms datasets.

562 Damage

Damage was found to occur as a result of US exposure in several cases, strongly 563 correlated to inertial cavitation at all intensities. The lowest instance of damage 564 occurring close to the threshold (230 W/cm²) for stimulation raises concerns as to the safety of US stimulation at these intensities. However, given the present scope 566 for optimisation and refinement of the stimulation parameters, it is hoped that the 567 risk of damage can be eliminated in future. It is also as yet unclear how a full, in 568 vivo situation will affect both the success of the stimulation effect and the occurrence 569 of damage but the latter should be examined in more depth in vitro before applying 570 the current technique to animal models. 571

572 Biological Mechanism

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Given the nature of the causative US forces discussed above and the presence of axonal tissue alone, the authors suggest that the mechanism of membrane depolarisation has been narrowed down to two options. The first option involves the opening of ion channels by membrane stretch induced by cavitational forces such as microstreaming drag, direct jetting, or radiation forces on bubbles. The second is general ionic flux and resultant depolarisation through a sonoporation effect caused by the same cavitation mechanisms (Wan et al., 2015).

Responses that were followed by after-discharge (figure 10c) from identified damage events were likely due to large scale membrane perforation or tearing that resulted from inertial cavitation forces. It is hoped that through planned future work using high speed imaging and computational bubble modelling, the critical biological interaction can be determined and a force threshold identified.

5 Conclusions

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Reported here are successful parameters for ultrasonic neurostimulation in the 586 peripheral crab leg nerve bundle, demonstrating that the constituents of unmyeli-587 nated axonal tissue are sufficient to generate de novo action potentials in response 588 to US stimulus, in the majority of cases without lasting damage. The threshold for this stimulation was much higher than similar procedures performed on CNS 590 models but in good agreement with other PNS focused studies. Low intensity stim-591 ulation parameters shown to be successful in vivo in the literature were unsuccessful 592 at generating any response from the nerve bundles. Given the difference in thresh-593 old intensities, the current observed stimulation phenomenon is assumed to have a distinct US force mechanism. 595

In characterising the observed stimulation phenomena, inertial cavitation activity was found to be highly correlated to successful US stimulation, with its acoustic signature present in every example. With further work into protocol refinement and control of cavitation nuclei, this US stimulation mechanism will have incredible potential for both clinical and research applications. Future work by the group will aim to determine the exact cellular level forces required to generate stimulation in this and other models.

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Figure Captions

- Figure 1: Schematic diagram of the experimental setup used to generate alternate electrical and US stimuli recordings.
- Figure 2: Schematic diagram of the nerve bath with electrodes and important features labelled.
- Figure 3: Visualisation of the size and position of the focal points produced by
 each ultrasound transducer within the nerve bath (a) 0.67 MHz (b) 1.1 MHz
 (c) 2 MHz. Temperature induced colour changes were produced in an polyacrylamide gel. 10s continuous wave exposures with different focal intensities were
 used with each transducer to achieve a good visualisation of the focal area.
- (a) Timeline of the interleaved US and electrical stimulation protocol. Figure 4: 803 Electrical stimulation is marked by vertical black lines, US stimulation by ver-804 tical blue lines. Each US stimulus is comprised of a pulse train of 0.5 ms pulses 805 at 50% DC. The entire stimulus protocol is repeated every 2 minutes 11 times 806 for every nerve experiment. (b&c) Example of a CAP (electrode voltage data 807 - red, left axis. Shown by a small deviation from the mean) which was stimu-808 lated by an ultrasound pulse (b) 0.67 MHz, 8 ms, 562 $\rm W/cm^2$ c) 0.67 MHz, 809 100 ms, 562 W/cm²). PCD data showing the US stimulus is included above 810 the electrode voltage data (acoustic amplitude - blue, right axis). High ampli-811 tude acoustic signal containing cavitation signatures are detected at the start 812 of both stimuli. (c) Vertical red lines show the period of the acoustic pulse 813 train within which the stimulus event is expected to have occurred given esti-814 mated CAP conduction times. Increased acoustic signal amplitude containing 815 cavitation signatures is seen within this period. 816

- Figure 5: Response success statistics for the 8 ms, 0.67 MHz stimulation protocol.

 Nerves that did not respond to electrical stimuli were excluded. Numbers of successful stimuli at each intensity are displayed above each bar. (a) Total response reliability for all nerves tested at each intensity level. Two nerve experiments with over 50% reliability were excluded as outliers. (b) Mean amplitude of US induced CAPs as a proportion of the electrically induced CAP amplitude.
- Figure 6: Mean and standard deviation error bars of (a) signal energy and (b) time
 domain kurtosis in four frequency bands decomposed from PCD recordings of
 the 8 ms, 0.67 MHz US stimulation protocols. The frequency band containing
 the US driving frequency is highlighted in red.
- Figure 7: Percentage of US stimuli (8 ms,0.67 MHz protocol) showing above threshold kurtosis (>6) in four frequency bands at each stimulus intensity. In each frequency band, 11 columns are present representing the different stimulus intensities. The colourmap on the right is in units of W/cm².
- Figure 8: ((a) and (b)) Response success statistics for the 100 ms, 0.67 MHz stimu-832 lation protocol. Nerves that did not respond to electrical stimuli were excluded. 833 Numbers of successful stimuli at each intensity are displayed above each bar 834 (a) Mean response reliability for all nerves tested at each intensity level. (b) 835 Mean Amplitude of US induced CAPs as a proportion of saturated electrical 836 stimulus recording taken before each US stimuli. (c) Mean acoustic signal kur-837 tosis of four frequency bands across all intensities. Error bars show standard 838 deviation. 839
- Figure 9: Mean values of PCD signal kurtosis of the lowest frequency band over

100 ms, split into 10 ms divisions and a range of stimulation intensities (I_{SPPA}).

Figure 10: (a) Example of electrically stimulated CAP amplitude (line) and US stimuli (+) over 22 stimuli on a single nerve. This example was exposed using the 0.67 MHz, 8 ms stimulation protocol at 562 W/cm². (b) Mean decline over time of the electrically stimulated CAP amplitude of the 0.67 MHz, 8ms stimulated nerves, normalised to the amplitude of the first stimulus with standard deviation error bars. (c) Example of after-discharge due to nerve damage using the 0.67 MHz, 8 ms stimulation protocol at 230 W/cm². (d) spectrographic analysis of the PCD signal of the first damage causing ultrasound event in (a).

Table 1: My caption

Model	Manufacturer	CF (MHz)	Focal Length (cm)	Aperture (cm)	LFA (cm)	WFA (cm)
PA409	Precision Acoustics	0.67	7.2	6.0	4	0.5
H-101-MR	Sonic Concepts	1.1	6.3	6.4	1	0.14
H-106	Sonic Concepts	2	6.3	6.4	0.6	0.08
XL50PCD	Ultran	5.8	7.7	1.3	-	-

Tables

Table 1: HIFU transducer reference table. CF = Centre Frequency, LFA = Length of Focal Area, WFA = Width of Focal Area. Focal area dimensions are given according to the FWHM. The sensitivity bandwidth of the XL50 PCD was 4.8 MHz at -6 dB with a bandwidth centre frequency of 6.8 MHz.

Table 2: Intensities, negative and positive peak pressures and radiation forces at
three frequencies. Intensities and pressures were chosen to create equal radiation forces across the frequencies used.

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	$0.67~\mathrm{MHz}$			1.1 MHz			2 MHz		
Radiation force (mN/cm ²)	Pressure (MPa)		I_{SPPA} $(\mathrm{W/cm^2})$			I_{SPPA} $(\mathrm{W/cm^2})$	Pressure (MPa)		I_{SPPA} $(\mathrm{W/cm^2})$
1	-0.8	0.8	20	-0.7	0.7	17	-0.7	0.5	12
5	-1.4	1.6	76						
6	-1.6	1.8	100	-1.5	1.7	84	-1.4	1.3	61
9	-1.9	2.2	140						
11	-2.1	2.4	169	-1.9	2.2	143	-1.7	1.8	103
15	-2.4	2.9	230						
18	-2.6	3.2	274	-2.4	2.8	232	-2.1	2.4	167
23	-2.8	3.6	352						
27	-3.1	4.0	419	-2.9	3.6	353	-2.5	3.0	255
31	-3.3	4.3	485						
36	-3.5	4.7	562	-3.3	4.2	475	-2.8	3.6	343