

1 Original article

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3 Title: Cell encapsulation enhances antidepressant effect of the mesenchymal stem cells and counteracts  
4 depressive-like behavior of treatment-resistant depressed rats

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6 Running title: Treatment effect of encapsulated MSCs

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1 ABSTRACT

2 Despite the advances in pharmacological therapies, only the half of depressed patients respond to currently  
3 available treatment. Thus, the need for further investigation and development of effective therapies,  
4 especially those designed for treatment-resistant depression, has been sorely needed. Although  
5 antidepressant effects of mesenchymal stem cells (MSCs) have been reported, the potential benefit of this  
6 cell therapy on treatment-resistant depression is unknown. Cell encapsulation may enhance the survival rate  
7 of grafted cells, but the therapeutic effects and mechanisms mediating encapsulation of MSCs remain  
8 unexplored. Here, we showed that encapsulation enhanced the antidepressant effects of MSCs by attenuating  
9 depressive-like behavior of Wistar Kyoto (WKY) rats, which are considered as a promising animal model of  
10 treatment-resistant depression. The implantation of encapsulated MSCs (eMSCs) into the lateral ventricle  
11 counteracted depressive-like behavior and enhanced the endogenous neurogenesis in the subventricular zone  
12 (SVZ) and the dentate gyrus (DG) of the hippocampus, whereas the implantation of MSCs without  
13 encapsulation or the implantation of eMSCs into the striatum did not show such ameliorative effects. eMSCs  
14 displayed robust and stable secretion of vascular endothelial growth factor (VEGF), brain derived  
15 neurotrophic factor, fibroblast growth factor-2, and ciliary neurotrophic factor (CNTF), and the implantation  
16 of eMSCs into the lateral ventricle activated relevant pathways associated with these growth factors.  
17 Additionally, eMSCs upregulated intrinsic expression of VEGF and CNTF and their receptors. This study  
18 suggests that the implantation of eMSCs into the lateral ventricle exerted antidepressant effects likely acting  
19 via neurogenic pathways, supporting their utility for depression treatment.

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## 1 INTRODUCTION

2 Depression is one of the most common diseases and leading cause of disability around the world<sup>1,2</sup>. Despite  
3 advances in pharmacological therapies, only half of depressed patients respond to currently available  
4 treatment<sup>3</sup>. Hence, there is an urgent unmet clinical need for further investigation and development of  
5 effective therapies, especially for treatment-resistant depression<sup>4</sup>. Treatment-resistant depression is  
6 associated with risk factors, such as congenital vulnerability to depression and resistance to conventional  
7 antidepressants<sup>5</sup>. In preclinical studies, Wistar Kyoto (WKY) rats exhibit high level of depression-like  
8 behavior congenitally<sup>6-9</sup> and show resistance to conventional antidepressant treatment<sup>10-12</sup>. Accordingly,  
9 WKY rats stand as a promising model of treatment-resistant depression<sup>4</sup>.

10 Mesenchymal stem cells (MSCs) pose as effective candidates for cell therapy in treating  
11 neurodegenerative diseases, such as Parkinson's disease<sup>13</sup>, multiple sclerosis<sup>14</sup>, and stroke<sup>15</sup>. The therapeutic  
12 effects of MSC implantation have been explored in depression. Intrahippocampal implantation of MSCs  
13 promote neuroplasticity but does not produce antidepressant effects in Lewis rats<sup>16</sup>. However,  
14 intraventricular implantation of MSCs exert antidepressant effects in Flinders sensitive line (FSL) rats<sup>17</sup>,  
15 another animal model for depression<sup>18</sup>. To date, it is unknown whether cell-to-cell contact between  
16 transplants and host cells, or transplanted cell-secreted factors mediate the observed beneficial effects of  
17 MSCs.

18 Encapsulation of various cell lines has revealed secretion of neurotrophic factors may underlie the  
19 therapeutic action of stem cells in certain target diseases<sup>19-21</sup>. Transplanted MSCs may confer their  
20 functional benefits via secretion of neurotrophic factors rather than MSCs graft survival and integration with  
21 the host *per se*<sup>22</sup>. The feasibility of encapsulated MSCs (eMSCs) in affording antidepressant effects  
22 remained unexplored until now. In this study, we examined the functional effects and mechanism of action  
23 associated with eMSCs in a treatment-resistant depression animal model.

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## 26 MATERIALS AND METHODS

### 27 Animals

28 Male WKY rats (8 weeks years old at the beginning of the experiment; Charles River, Yokohama, Japan)  
29 were used as subjects in this experiment. Rats were group-housed with two animals per cage within strain.  
30 The animal housing facility was maintained on 12h light/dark cycle, and the animals had free access to food  
31 and water. Animals were excluded from this study only if there was excessive damage caused by the surgical  
32 procedure (e.g., uncontrollable bleeding). All analyses were performed blinded.

33 All testing procedures were approved by the Institutional Animal Care and Use Committee of  
34 Okayama University (protocol #OKU- 2017045).

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### 36 Bone marrow-derived MSCs isolation and expansion

37 MSCs were isolated from the bone marrow of male Wistar rats (6 weeks years old; Charles River) as  
38 previously described<sup>23</sup>. See Supplementary Materials and Methods for detailed procedures.

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### 40 Encapsulation of MSCs

41 Polymeric hollow fibers (15cm in length, 500  $\mu$ m in cross-sectional inner diameter) consisting of a  
42 semipermeable membrane (Amicon, Beverly, MA, United States) were cut to 7mm in length and used as

1 capsules as previously described<sup>19</sup>. These fibers were made of polysulfone (molecular cut-off: 100 kDa).  
2 MSCs were prepared as single-cell suspension at a density of  $6 \times 10^4$  cells/ $\mu$ l and 5 $\mu$ l was loaded. After 1  
3 week in culture, we checked if MSCs leaked out from the capsule as a quality control procedure. Capsules  
4 from which MSCs leaked out were not used for implantation. Thereafter, eMSCs were implanted. Empty  
5 capsules were made in the same way except that cell loading was not performed. Some eMSCs were used  
6 for Hematoxylin and Eosin staining to reveal viable MSCs inside the capsule. See Supplementary Materials  
7 and Methods for detailed procedures.

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### 9 **Surgical procedures**

10 All surgical procedures were performed on day 0. Under general anesthesia (1% halothane in 69% N<sub>2</sub>O and  
11 30% O<sub>2</sub>), MSCs ( $3 \times 10^5$  cells/5 $\mu$ l), eMSCs, or an empty capsule was implanted stereotaxically into the right  
12 striatum or the right lateral ventricle. One capsule was implanted to one rat.

13 See Supplementary Materials and Methods for detailed procedures.

14

### 15 **Behavioral tests (open field test and forced swim test)**

16 Seventy rats were randomly assigned to 7 groups for behavior tests (control group, MSCs into the lateral  
17 ventricle (MSCs-LV) group, eMSCs into the lateral ventricle (eMSCs-LV) group, empty capsule into the  
18 lateral ventricle (EC-LV) group, MSCs into the striatum (MSCs-ST) group, eMSCs into the striatum group  
19 (eMSCs-ST), and empty capsule into the striatum (EC-ST) group; n = 10 per group). Rats in the control  
20 group did not receive any surgical procedure. The other groups of rats received surgical procedures as  
21 described in “Surgical procedures” section.

22 All behavioral tests were performed and analyzed using Ethovision® XT 9.0 software (Noldus,  
23 Wageningen, Netherlands) as previously described<sup>6</sup>. The experimental setup used in the behavior groups is  
24 presented in Figure 1a. In the OFT, the total distance rats walked was measured. In the FST, the percentage  
25 of time rats spent immobile was measured.

26 To show the reference data, the same behavioral tests were conducted in Wistar rats as a healthy  
27 control group and WKY rats treated with Fluoxetine (Tokyo chemical industry co., Tokyo, Japan) as a  
28 conventional treatment group (n = 10 per group).

29 See Supplementary Materials and Methods for detailed procedures.

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### 32 **Immunohistochemistry and cell counting**

33 A separate cohort of ten rats were assigned to eMSCs-LV treatment without behavioral tests (eMSCs-LV w/o  
34 BT) to delineate the true functional benefits of encapsulation from potential confounding effects of  
35 behavioral tests on neurogenesis.

36 All rats from 7 groups subjected to behavioral tests as well as those rats included in eMSCs-LV w/o  
37 BT group were processed for immunohistochemistry. To evaluate the endogenous neurogenesis in the  
38 subventricular zone (SVZ) and the dentate gyrus (DG) of the hippocampus, 5-bromo-2'-deoxyuridine (BrdU,  
39 NACALAI TESQUE INC., Kyoto, Japan) was administered to all rats at a concentration of 50 mg/kg body  
40 weight, with five consecutive intraperitoneal injections every 12h from day 13 to 15. At the end of this BrdU  
41 protocol, rats were sacrificed and perfused, their brains removed and postfixed. Some eMSCs were  
42 explanted from the rats in the eMSCs-LV group and used for Hematoxylin and Eosin staining to demonstrate

1 surviving MSCs inside the capsule. BrdU/Doublecortin (Dcx) double staining and quantification of BrdU  
2 and BrdU/Dcx positive cells in the SVZ and DG were performed as previously described<sup>6, 24, 25</sup>. The  
3 antibodies included anti-BrdU antibody (1:100, OBT0030G; Bio-Rad, Hercules, California, United States),  
4 rabbit anti-Dcx antibody (1:200, #4604; Cell Signaling Technology, Danvers, Massachusetts, United States),  
5 biotinylated anti-rat secondary antibody (1:100, 712-065-153; Jackson ImmunoResearch, West Grove,  
6 Pennsylvania, United States), streptavidin Alexa-488 (1:200, S11223; Invitrogen, Carlsbad, California,  
7 United States), goat anti-rabbit Cy3 (1:200, ab97075; abcam, Cambridge, United Kingdom), and  
8 4,6-diamidino-2-phenylindole (DAPI; 1:500, D3751; Thermo Fisher). See Supplementary Materials and  
9 Methods for detailed procedures.

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### 11 **Enzyme-linked immunosorbent assay (ELISA)**

12 Another cohort of 40 rats were randomly assigned to 5 treatment groups for processing with ELISA (control  
13 group, MSCs-LV group, eMSCs-LV group, MSCs-ST group, eMSCs-ST group; n = 8 per group). Behavioral  
14 tests were not conducted for this cohort. All groups of rats except for the control group received MSCs or  
15 eMSCs implantation (day 0). Encapsulation of MSCs and surgical procedures were performed in the same  
16 method described above in “Encapsulation of MSCs” and “Surgical procedure”. After 1 week in culture, the  
17 supernatant of eMSCs was collected to evaluate levels of neurotrophic factors released at the pre-implant  
18 eMSCs. Thereafter, eMSCs were used for surgical procedure.

19 On day 15, under deep anesthesia with pentobarbital (100 mg/kg), bilateral hippocampi of rats was  
20 dissected on ice. The capsule was explanted from the rats of the eMSCs-LV group at the same time and used  
21 for the collection of supernatant of the post-explant eMSCs.

22 Levels of vascular endothelial growth factor (VEGF), brain derived neurotrophic factor (BDNF),  
23 fibroblast growth factor-2 (FGF-2), and ciliary neurotrophic factor (CNTF) in the hippocampus and  
24 supernatant of the pre-implant and post-explant eMSCs were determined using ELISA kit (VEGF:  
25 Quantikine RRV00; R&D Systems, Minneapolis, Minnesota, United States, BDNF: Quantikine DBNT00;  
26 R&D Systems, FGF-2: Quantikine MFB00; R&D Systems, CNTF: ab100758; abcam). See Supplementary  
27 Materials and Methods for detailed procedures.

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### 29 **Quantitative reverse transcription polymerase chain reaction (qRT-PCR)**

30 To evaluate the mRNA expression of VEGF, BDNF, FGF-2, and CNTF in the hippocampus, another cohort  
31 of 30 rats were randomly assigned to 5 treatment groups for processing with qRT-PCR (control group,  
32 MSCs-LV group, eMSCs-LV group, MSCs-ST group, eMSCs-ST group; n = 6 per group). Total RNA was  
33 isolated from bilateral hippocampi, and synthesized cDNA with the SuperScript III First-Strand Synthesis  
34 System (Invitrogen). The qRT-PCR reactions were then performed and detected using the StepOnePlus  
35 system (Life Technologies, Carlsbad, CA, USA). As an internal control, we used GAPDH mRNA. Primers  
36 were purchased from Invitrogen. See Supplementary Materials and Methods for detailed procedures.

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### 38 **Western immunoblotting using brain homogenates**

39 A new cohort of 50 rats were randomly assigned to 5 treatment groups for processing with western  
40 immunoblotting (control group, MSCs-LV group, eMSCs-LV group, MSCs-ST group, eMSCs-ST group; n =  
41 10 per group). Behavioral tests were not conducted for this cohort. The hippocampal expression of VEGF  
42 receptor 2 (VEGFR2), phosphorylated VEGFR2 (pVEGFR2), tropomyosin receptor kinase B (TrkB),

1 phosphorylated TrkB (pTrkB), fibroblast growth factor receptor 1 (FGFR1), phosphorylated FGFR1  
2 (pFGFR1), CNTF receptor alpha (CNTFR alpha), Signal Transducers and Activator of Transcription 3  
3 (STAT3), and phosphorylated STAT3 (pSTAT3) was evaluated.

4 The antibodies included anti-VEGFR2 (1:1000, ab39256; abcam), anti-pVEGFR2 (1:1000, ab5473;  
5 abcam), anti-TrkB (1:1000, ab18987; abcam), anti-pTrkB (1:1000, ab109684; abcam), anti-FGFR1 (1:500,  
6 ab58516; abcam), anti-pFGFR1 (1:500, ab 59194; abcam), anti-CNTFR alpha antibody (1:500, ab127425;  
7 abcam), anti-STAT3 antibody (1:1000, #12640; Cell Signaling Technology), anti-pSTAT3 antibody (1:2000,  
8 #9145; Cell Signaling Technology), and  $\beta$ -actin (1:5000, A5441; Sigma-Aldrich), with anti-mouse and  
9 anti-rabbit IgG HRP-linked secondary antibodies (both 1:5000, Cell Signaling Technology). See  
10 Supplementary Materials and Methods for detailed procedures.

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### 12 **Labeled MSCs implantation to the lateral ventricle**

13 To evaluate the existence of MSCs-LV, labeled MSCs were implanted to eight newly assigned rats. MSCs  
14 were labeled with a Q-Tracker 625 Cell Labeling kit (A10198, Invitrogen) as previously described<sup>26</sup>, and  
15 were injected to the lateral ventricle. At 3 days after implantation and 7 days after implantation, rats were  
16 sacrificed, and frozen coronal sections were evaluated (n = 4, each). See Supplementary Materials and  
17 Methods for detailed procedures.

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### 19 **Statistical analyses**

20 All data were analyzed using SPSS ver. 20.0 software (SPSS, Chicago, Illinois, United States). Statistical  
21 significance was assessed by two-tailed *t*-test for comparisons between two groups. Statistical significance  
22 between multiple groups were analyzed by one-way analysis of variance (ANOVA) with subsequent  
23 Turkey's tests. Statistical significance was preset at  $p < 0.05$ . The variance homogeneity was confirmed with  
24 Levene's test. Mean values are presented with standard error (SE). No statistical methods were used to  
25 predetermine sample sizes. Sample sizes are estimated based on previous publications.

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## 29 **RESULTS**

### 30 **Implantation of eMSCs-LV results in a behavioral change**

31 Only rats treated with eMSCs-LV displayed a significantly long distance of movement in the OFT compared  
32 with the other 6 groups (Figure 1b). Additionally, except for day 1 (Figure 1c), rats of the eMSCs-LV group  
33 also exhibited a significant reduction in their immobility time in the FST day 2 compared with the other 6  
34 groups (Figure 1d).

35

### 36 **Implantation of eMSCs-LV increased the number of BrdU- and BrdU/Dcx-positive cells in the SVZ 37 and the DG**

38 The behavioral change was accompanied by neurogenic activity characterized by a significant increase in  
39 the number of BrdU- and BrdU/Dcx-positive cells in the SVZ of the eMSCs-LV group and eMSCs-LV w/o  
40 BT group compared to all other groups (Figure 2a, c, d). In addition to the neurogenic SVZ, the other  
41 neurogenic niche DG similarly displayed enhanced activity as detected in significant increase in the number  
42 of BrdU- and BrdU/Dcx-positive cells in the DG of the eMSCs-LV group and eMSCs-LV w/o BT group

1 compared with all other groups (Figure 2b, e, f).

2 There was no statistical significance between eMSC-LV group and eMSCs-LV w/o BT group in  
3 terms of the number of BrdU- and BrdU/Dcx-positive cells in the SVZ and the DG ( $P=1.0$  for BrdU-positive  
4 cells in the SVZ,  $P=1.0$  for BrdU/Dcx-positive cells in the SVZ,  $P=1.0$  for BrdU-positive cells in the DG,  
5  $P=1.0$  for BrdU/Dcx-positive cells in the DG), suggesting that enhanced neurogenesis is a function of eMSC  
6 implantation and that the exposure of animals to behavioral tests in this study did not significantly affect the  
7 observed neurogenic activity.

### 8 9 **MSCs survive encapsulation and eMSCs continued to secrete neurotropic factors**

10 Hematoxylin and Eosin staining of the capsules retrieved at 15 days after transplantation demonstrated  
11 surviving MSCs inside the capsules, although the number of MSCs inside the retrieved capsules decreased  
12 compared to MSCs inside the capsule before implantation (Figure 3a, b).

13 Supernatant of the pre-implant and post-explant eMSCs implanted to rats for ELISA was used to  
14 evaluate the change of secretion of neurotrophic factors from eMSCs. The secretion of VEGF, BDNF, and  
15 CNTF from post-explant eMSCs did not show a significant decrease compared to those of pre-implant  
16 eMSCs, although trends of lower expression levels were observed (Figure 3c, d, f). On the other hand,  
17 FGF-2 secretion from the post-explant eMSCs were significantly lower compared to that from the  
18 pre-implant eMSCs (Figure 3e).

### 19 20 **Implantation of eMSC-LV enhances the expression of endogenous VEGF and CNTF in the** 21 **hippocampus**

22 Coupled with the robust secretion of trophic factors by transplanted eMSCs, upregulated endogenous levels  
23 of specific trophic factors were also observed. The protein and mRNA expression levels of VEGF and CNTF  
24 were upregulated in the eMSCs-LV group compared to the other groups (Figure 4a, d, e, h). On the other  
25 hand, the protein and mRNA expression levels of BDNF and FGF-2 did not show any detectable  
26 upregulation (Figure 4b, c, f, g).

### 27 28 **Implantation of eMSCs-LV activates multiple signaling pathways and enhances the expression of** 29 **receptors for neurotrophic factors**

30 In further support of a trophic factor-mediated mechanism underlying functional effects of eMSC  
31 transplanation, the expression of VEGFR2 and pVEGFR2 were upregulated in eMSCs-LV group compared  
32 to other groups (Figure 5a, b, c). Moreover, although the expression of TrkB did not change (Figure 5a, d),  
33 the expression of pTrkB was upregulated in eMSCs-LV group compared to other groups (Figure 5a, e). In  
34 the same fashion, while the expression of FGFR1 was not changed (Figure 5a, f), the expression of pFGFR1  
35 was upregulated in eMSCs-LV group compared to other groups (Figure 5a, g). Finally, the expression of  
36 CNTFR alpha, STAT3, and pSTAT3 was upregulated in eMSCs-LV group compared to other groups (Figure  
37 5a, h, i, j).

### 38 39 **No MSCs were observed at 7 days after implantation**

40 Although some labeled MSCs can be detected in the lateral ventricle on day 3 (Supplementary Figure S2),  
41 labeled MSCs existed neither in the lateral ventricle nor in the brain parenchyma at 7 days after  
42 implantation.

1

## 2 **DISCUSSION**

3 This study demonstrated for the first time that encapsulation enhanced the treatment effects of MSCs in an  
4 animal model of treatment-resistant depression. MSCs-LV were initially reported to show an antidepressant  
5 effect and promote neurogenesis in a rat model of depression<sup>17</sup>. Although we implanted more MSCs than  
6 this previous study<sup>17</sup>, our study showed that MSCs-LV neither result in any behavioral change nor enhance  
7 neurogenesis in this treatment-resistant depression model. In contrast, eMSCs-LV show behavioral change  
8 and enhanced neurogenesis in treatment-resistant depressed rats. These findings suggest that encapsulation  
9 of MSCs stands as an improved therapeutic approach in promoting treatment effects when using the  
10 stringent treatment-resistant depression model, which likely represents a much more advanced pathological  
11 manifestation of depression. However, the treatment effect of eMSC-LV is different from the typical  
12 antidepressant profile. Conventional antidepressant drugs increase neurogenesis only in the DG<sup>27</sup>. A typical  
13 antidepressant profile is improvement in FST without the change in OFT. Therefore, our behavioral results  
14 are difficult to interpret. The obscurity of the pathology of WKY rats makes this problem more complicated.  
15 Further investigation with other depression animal models or behavioral tests may provide additional  
16 information.

17 We detected MSCs neither in the lateral ventricle nor in the brain parenchyma at 7 days after  
18 implantation into the lateral ventricle. Consistent with our results, MSCs implanted into the lateral ventricle  
19 of the rodent model of neurodegenerative disease display low engraftment even when assessed within only a  
20 few days post-transplantation<sup>28-30</sup>. Accordingly, the survival rate and engraftment of MSCs implanted into  
21 the lateral ventricle is deemed modest at best. Polymer encapsulation may be able to protect the grafted cells  
22 from immune system attack<sup>31</sup>. In this study, we detected the survival of MSCs in the capsule up to at least  
23 day 15 post-transplantation. Additionally, we showed that neurotrophic factors (VEGF, BDNF, FGF-2, and  
24 CNTF) were secreted from post-explant eMSCs. The polymer encapsulation likely increased the survival  
25 rate of MSCs, which in turn facilitated the eMSCs to maintain robust secretion of neurotrophic factors.  
26 Altogether, such encapsulation promoted the enhancement of antidepressant effect and positive modulation  
27 of neurogenesis. Despite these positive outcomes, the long-term effects of encapsulated MSCs is warranted  
28 in view of trends of decreased survival in the capsule and lower secretion of neurotrophic factors over time.  
29 As depression treatment can be a multi-year therapy, long-term treatment effects should be evaluated.

30 This study implicated the lateral ventricle as a more appropriate site of implantation than the  
31 striatum. The secretome of MSCs appears to play a major role in the therapeutic effect of MSCs<sup>22</sup>. With this  
32 in mind, the secretome from eMSCs-LV likely reached various sites of brain more easily than the secretome  
33 from eMSCs-ST. The pathology of depression remains incompletely understood and multiple culprit lesions,  
34 even remote from the lateral ventricle, may manifest the disease aberrations<sup>32</sup>. Delivering the secretome to  
35 multiple brain regions may be important to recognize therapeutic effects on depression.

36 Enhancing the secretome rather than facilitating survival and engraftment of MSCs may be the key  
37 mechanism in promoting antidepressant effects. MSCs implanted to the lateral ventricle migrate to the  
38 ipsilateral hippocampus in a rat model of depression<sup>17, 33</sup>, but direct intrahippocampal transplantation of  
39 MSCs does not afford an antidepressant effect<sup>16</sup>. In the present study, transplanting eMSCs into the lateral  
40 ventricle reduced depressive-like behavior, suggesting that neither migration nor engraftment of MSCs in  
41 the hippocampus is necessary to achieve the therapeutic effect on depression.

42 In an effort to test the hypothesis that a trophic factor mechanism mediated the antidepressant



1 effects of eMSCs, we evaluated phosphorylation of VEGFR2, TrkB and FGFR1, which are receptors for  
2 VEGF, BDNF, and FGF-2 respectively. The results revealed that eMSCs robustly secrete VEGF, BDNF, and  
3 FGF-2, and the expression levels of phosphorylated receptors for these factors was upregulated by  
4 eMSCs-LV. These findings suggest that eMSCs-LV activated the pathway of VEGF, BDNF, and FGF2,  
5 which are factors associated with pathologic manifestation of depression<sup>32, 34-39</sup>, and interestingly these same  
6 factor may serve as therapeutic targets for modulating neurogenesis<sup>40-42</sup>. Indeed, mono-infusion of any these  
7 factors either into the DG<sup>43</sup> or lateral ventricle<sup>40, 44</sup> exerts antidepressant effect.

8 To further clarify the interaction between neurogenesis and depression, we focused on CNTF, which  
9 was reported to modulate anxiety and depressive-like behavior<sup>45</sup> and is suggested to contribute to  
10 neurogenesis<sup>46, 47</sup>. To evaluate the activation of CNTF pathway, we evaluated the expression of STAT3 and  
11 pSTAT3. STAT3 is a known downstream product of CNTF signaling, with STAT3 phosphorylated by  
12 activation of CNTF pathway<sup>48</sup>. Here, we observed that eMSCs secreted CNTF and the expression of  
13 pSTAT3 was upregulated, suggesting that CNTF pathway was activated by eMSCs-LV. It was previously  
14 found that CNTF secreting capsule implanted into the lateral ventricle improved motor skills of aged rats<sup>49</sup>.  
15 The behavioral change of eMSC-LV may be psychomotor improvement<sup>50</sup> that may involve the CNTF  
16 pathway as one of the mechanism. To this end, the Jak-STAT pathway acting as positive autoregulatory  
17 loop<sup>51, 52</sup> of STAT3 may correspond to one of the multiple signaling pathways mediating the neurogenic  
18 modulation of depression.

19 Along this line of neurogenic role in depression, eMSCs-LV enhanced the expression of VEGF,  
20 VEGFR2, CNTF, and CNTFR alpha (a receptor for CNTF). MSCs implantation upregulates the expression  
21 of VEGF in a stroke rat model<sup>53, 54</sup>. Intrahippocampal implantation of dental pulp stem cells, which share  
22 some phenotypic features with MSCs, enhances the endogenous expression of VEGF and CNTF<sup>55</sup>,  
23 highlighting the concept that nurturing the microenvironment of the brain may participate in producing an  
24 antidepressant effect. CNTF behaves in an autocrine manner<sup>56</sup>, whereas VEGFR2 plays essential roles in  
25 neurogenesis<sup>57, 58</sup>, further suggesting a close interaction between depressive-like behavior and  
26 neurogenesis<sup>45, 46</sup> in conferring an antidepressant effect.

27 As limitation, it is unclear the treatment effect of eMSCs-LV based on which of the following:  
28 neurogenesis, the neurotrophic factors, or both of them. For example, experiments using a rat exposed to  
29 irradiation of the hippocampus or direct injection of neurotrophic factors may clarify this point. Additionally,  
30 it would be important to evaluate the treatment effect of intraventricular injection of such neurotrophic  
31 factors. If it ameliorates depressive behavior, our results would be supported and direct injection of  
32 neurotrophic factors can be a new treatment choice.

33 In summary, eMSCs-LV promoted antidepressant effect against the treatment-resistant depression  
34 model. Such encapsulation of MSCs offers a method for continuous supply of a cocktail of exogenous  
35 neurotrophic factors and upregulating intrinsic expression of neurotrophic factors and their receptors,  
36 altogether facilitating neurogenesis as a new treatment strategy for depression<sup>59, 60</sup>.

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### 38 **CONFLICT OF INTEREST**

39 The authors declare no conflict of interest.

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### 41 **ACKNOWLEDGMENTS**

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4 Supplementary information is available at MP's website.

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Figure 1. Intraventricular implantation of eMSCs counteracted depressive like behavior. (a) Experimental setup: Rats received surgical procedure (implantation of MSCs, eMSCs, or an empty capsule) on day 0. The OFT was performed on day 13, and the FST was performed on day 14 and 15. BrdU was administered intraperitoneally every 12 h on days 13 to 15 at a concentration of 50mg/kg. (b) Rats of eMSCs-LV group walked a significantly longer distance in the OFT compared with all other groups ( $F_{(6,63)} = 5.675$ ,  $*P < 0.05$  versus all other groups). (c) There was no significant immobility difference in the FST day 1. ( $F_{(6,63)} = 1.529$ ,  $P = 0.17$ ). (d) Rats of eMSCs-LV group spent a significant lower percentage of time immobile than rats of all other groups in the FST day 2 ( $F_{(6,63)} = 4.719$ ,  $*P < 0.05$  versus all other groups).

The results of WKY rats treated with Fluoxetine and Wistar rats are shown as reference.  $n = 10$  per group. eMSCs, encapsulated mesenchymal stem cells; MSCs, mesenchymal stem cells; OFT, open field test; FST, forced swim test; BrdU, 5-bromo-2'-deoxyuridine; eMSCs-LV, eMSCs into the lateral ventricle; MSCs-LV, MSCs into the lateral ventricle; EC-LV, empty capsule into the lateral ventricle; MSCs-ST, MSCs into the striatum; eMSCs-ST, eMSCs into the striatum group; EC-ST, empty capsule into the striatum.

Figure 2. Intraventricular implantation of eMSCs increased neurogenesis in the SVZ and the DG. (a, b) Immunostaining for DAPI (blue), BrdU (green), and Dcx (red) shows that there is an increase in proliferation and neurogenesis in the SVZ and DG. (c) Quantification of the number of BrdU positive cells in the SVZ indicated that there is significant increase in the number of BrdU positive cells in rats of the eMSCs-LV group and eMSCs-LV w/o BT group ( $F_{(7,72)} = 5.364$ ,  $*P < 0.05$  versus control, MSCs-LV, EC-LV, MSCs-ST, eMSCs-ST, and EC-ST group). (d) There is a significant increase in the number of BrdU/Dcx positive cells in the SVZ of rats of the eMSCs-LV group and eMSCs-LV w/o BT group ( $F_{(7,72)} = 4.331$ ,  $*P < 0.05$  versus control, MSCs-LV, EC-LV, MSCs-ST, eMSCs-ST, and EC-ST group). (e) The number of BrdU positive cells in the DG significantly increased in rats of the eMSCs-LV group and eMSCs-LV w/o BT group ( $F_{(7,72)} = 19.468$ ,  $*P < 0.05$  versus control, MSCs-LV, EC-LV, MSCs-ST, eMSCs-ST, and EC-ST group). (f) There is a significant increase in the number of BrdU/Dcx positive cells in the DG of rats of the eMSCs-LV group and eMSCs-LV w/o BT group ( $F_{(7,72)} = 12.986$ ,  $*P < 0.05$  versus control, MSCs-LV, EC-LV, MSCs-ST, eMSCs-ST, and EC-ST group).  $n = 10$  per group.

1 eMSCs, encapsulated mesenchymal stem cells; SVZ, subventricular zone; DG, dentate gyrus; DAPI,  
2 4,6-diamidino-2-phenylindole; BrdU, 5-bromo-2'-deoxyuridine; Dcx, Doublecortin; eMSCs-LV, eMSCs into  
3 the lateral ventricle; eMSCs-LV w/o BT, eMSCs-LV without behavior tests; MSCs-LV, MSCs into the lateral  
4 ventricle; EC-LV, empty capsule into the lateral ventricle; MSCs-ST, MSCs into the striatum; eMSCs-ST,  
5 eMSCs into the striatum; EC-ST, empty capsule into the striatum.

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7 Figure 3. Neurotrophic factors were secreted from both of pre-implant and post-explant eMSCs. (a)  
8 Hematoxylin and Eosin staining of pre-implant eMSC. MSCs can be observed inside the capsule. (b)  
9 Hematoxylin and Eosin staining of post-explant eMSC. MSCs can be still observed inside the capsule,  
10 although the number of MSCs inside the post-explant capsule decreased compared to that of MSCs inside  
11 the pre-implant capsule. (c) No significant difference was found between the secretion of VEGF from  
12 pre-implant eMSCs and that of post-explant eMSCs, although the downward trends were observed ( $P=0.23$ ).  
13 (d) Significant difference was also not found between the secretion of BDNF from pre-implant eMSCs and  
14 that of post-explant eMSCs, although the downward trends were observed ( $P=0.19$ ). (e) The post-explant  
15 eMSCs secreted significantly lower FGF-2 compared to that from the pre-implant eMSCs ( $*P<0.05$ ). (f) No  
16 significant difference was found between the secretion of CNTF from pre-implant eMSCs and that of  
17 post-explant eMSCs, although the downward trends were observed ( $P=0.05$ ).

18  $n = 8$  per group.

19 eMSCs, encapsulated mesenchymal stem cells; MSCs mesenchymal stem cells; VEGF, vascular endothelial  
20 growth factor; BDNF, brain derived neurotrophic factor; FGF-2, fibroblast growth factor-2; CNTF, ciliary  
21 neurotrophic factor.

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23 Figure 4. The protein and mRNA expression of VEGF and CNTF was upregulated in the hippocampus of  
24 rats of eMSCs-LV group. (a) Rats of eMSCs-LV group showed significantly high protein expression of  
25 VEGF in the hippocampus compared to all other groups ( $F_{(4,35)} = 3.99$ ,  $*P<0.05$  versus all other groups). (b)  
26 There was no significant difference about the protein expression of BDNF ( $F_{(4,35)} = 1.29$ ,  $P=0.29$ ). (c) There  
27 was also no significant difference about the protein expression of FGF-2 ( $F_{(4,35)} = 0.724$ ,  $P=0.581$ ). (d) Rats  
28 of eMSCs-LV group showed significantly high protein expression of CNTF in the hippocampus compared to  
29 all other groups ( $F_{(4,35)} = 6.20$ ,  $*P<0.05$  versus all other groups). (e) Rats of eMSCs-LV group showed  
30 significantly high mRNA expression of VEGF in the hippocampus compared to all other groups ( $F_{(4,25)}$   
31  $=11.566$ ,  $*P<0.05$  versus all other groups). (f) There was no significant difference about the mRNA  
32 expression of BDNF ( $F_{(4,25)} = 0.977$ ,  $P=0.438$ ). (g) There was also no significant difference about the mRNA  
33 expression of FGF-2 ( $F_{(4,25)} = 1.135$ ,  $P=0.363$ ). (h) Rats of eMSCs-LV group showed significantly high  
34 protein expression of CNTF in the hippocampus compared to all other groups ( $F_{(4,25)} = 17.484$ ,  $*P<0.05$   
35 versus all other groups).

36 (a)-(d):  $n = 8$  per group. (e)-(h):  $n = 6$  per group.

37 VEGF, vascular endothelial growth factor; CNTF, ciliary neurotrophic factor; eMSCs-LV, encapsulated  
38 mesenchymal stem cells into the lateral ventricle; MSCs-LV, mesenchymal stem cells into the lateral  
39 ventricle; EC-LV, empty capsule into the lateral ventricle; MSCs-ST, mesenchymal stem cells into the  
40 striatum; eMSCs-ST, encapsulated mesenchymal stem cells into the striatum; EC-ST, empty capsule into the  
41 striatum; BDNF, brain derived neurotrophic factor; FGF-2, fibroblast growth factor-2.

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1 Figure 5. Implantation of eMSCs-LV activated multiple signaling pathway and enhanced the expression of  
2 receptors for neurotrophic factors. (a) Western blots of hippocampus show that the expression of VEGFR2,  
3 pVEGFR2, pTrkB, pFGFR1, CNTFR alpha, STAT3, and pSTAT3 was upregulated. Protein levels were  
4 normalized to  $\beta$ -actine. (b) Quantification of western blots by densitometric analysis indicated that the  
5 expression of VEGFR2 was upregulated ( $F_{(4,45)} = 26.46$ ,  $*P < 0.05$  versus all other groups). (c) The  
6 expression of pVEGFR2 was also upregulated ( $F_{(4,45)} = 5.10$ ,  $*P < 0.05$  versus all other groups). (d) The  
7 expression of TrkB was not changed ( $F_{(4,45)} = 0.66$ ,  $P = 0.62$ ). (e) The expression of pTrkB was upregulated  
8 ( $F_{(4,45)} = 3.91$ ,  $*P < 0.05$  versus all other groups). (f) The expression of FGFR1 was not changed ( $F_{(4,45)} = 1.97$ ,  
9  $P = 0.12$ ). (g) The expression of pFGFR1 was upregulated ( $F_{(4,45)} = 4.12$ ,  $*P < 0.05$  versus all other groups).  
10 (h) The expression of CNTFR alpha was also upregulated ( $F_{(4,45)} = 5.85$ ,  $*P < 0.05$  versus all other groups).  
11 (i) The expression of STAT3 was also upregulated ( $F_{(4,45)} = 4.15$ ,  $*P < 0.05$  versus all other groups). (j) The  
12 expression of pSTAT3 was also upregulated ( $F_{(4,45)} = 4.78$ ,  $*P < 0.05$  versus all other groups).  
13  $n = 8$  per group.  
14 eMSCs-LV, encapsulated mesenchymal stem cells into the lateral ventricle; VEGFR2, vascular endothelial  
15 growth factor receptor 2; pVEGFR2, phosphorylated VEGFR2; pTrkB, phosphorylated tropomyosin  
16 receptor kinase B; pFGFR1, fibroblast growth factor receptor 1; CNTFR alpha, ciliary neurotrophic factor  
17 receptor alpha; STAT3, Signal Transducers and Activator of Transcription 3; pSTAT3, phosphorylated  
18 STAT3; MSCs-LV, mesenchymal stem cells into the lateral ventricle; MSCs-ST, mesenchymal stem cells  
19 into the striatum; eMSCs-ST, encapsulated mesenchymal stem cells into the striatum; TrkB, tropomyosin  
20 receptor kinase B.  
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