

# 1 **Downstream green processes for recovery of** 2 **bioactives from algae**

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6 **Abstract** Nowadays, macro and microalgae are being increasingly used as prom-  
7 ising raw materials for the food, cosmetic and pharmaceutical industries thanks to  
8 their biodiversity and its variety on valuable bioactive compounds such as carbo-  
9 hydrates, polyunsaturated lipids, proteins and pigments, among others. Further-  
10 more, more efficient and environmentally friendly processes for bioactives' recov-  
11 ery are requested not only by the industry but also by the society. This book  
12 chapter presents an overview on the use of downstream green processes, mainly  
13 based on compressed fluids extraction techniques, in order to recover bioactives  
14 from algae that can be lately used in several potential applications for the food,  
15 pharmaceutical and cosmetic industries, which is the pillar of algae-based biore-  
16 finery.

## 1 1. Introduction

2 The increasing knowledge regarding the positive impact of diet on human  
3 health has brought about a great interest for seeking new bioactive products of  
4 natural origin to be used as functional ingredients for the development of func-  
5 tional foods. The concept of functional food is defined as food that besides the  
6 basic nutritional and energetic value provides additional health benefits thanks to  
7 the one or more functional ingredients that contains (Merichel Plaza et al. 2009).  
8 This definition implies that a functional food must improve well-being or reduce  
9 the risk of illness (Diplock et al. 1999).

10 Micro- and macroalgae have been suggested as a potential natural source of  
11 new compounds with biological activity that could be used as functional ingredi-  
12 ents, due to their antioxidant (Lv et al. 2015), anti-inflammatory (Caroprese et al.  
13 2012), antidiabetic (Yu Ran et al. 2015), neuroprotective (Pangestuti and Kim  
14 2011), anticancer (Souza et al. 2018), anti-allergic (Thanh-Sang et al. 2012) and  
15 antimicrobial activities (Rodriguez-Meizoso et al. 2010), among others.

16 The development and production of these functional ingredients has become of  
17 great interest for the food industry, although pharmaceutical and cosmetic indus-  
18 tries are also aware of the important bioactive compounds that can be obtained  
19 from marine natural sources such as algae and microalgae, thus extending its in-  
20 terest and applicability. In this sense, many algae-derived secondary metabolites  
21 are known for their skin benefits, which include protection from UV radiations  
22 and prevention of aging, rough texture, wrinkles, and skin flaccidity (Ariede et al.  
23 2017), of upmost importance for new cosmetics' development. On the other hand,  
24 some important secondary metabolites (such as meroterpenoids) have been isolat-  
25 ed from marine organisms presenting interesting pharmacological properties, such  
26 as cytotoxic towards several human cell lines, anti-inflammatory, etc. (García et  
27 al. 2018).

28 At present, the world is not only worried about food and human health but also  
29 about the global environmental awareness that continues to be on the rise. This is  
30 true in many countries, but especially in Europe and the USA. Climate change,  
31 global warming, and the realistic threat of a lack of resources in the future for the  
32 rapidly growing world population have contributed to push process greenness and  
33 sustainability (Herrero and Ibáñez 2018). Sustainability can be understood as a ra-  
34 tional way of improving processes to maximize production while minimizing the  
35 environmental impact (Herrero and Ibáñez 2015). Considering this framework, the  
36 study of the use of solvents that are generally recognized as safe (GRAS) for its  
37 use in the food industry, such as water, CO<sub>2</sub> or ethanol, combined with com-  
38 pressed fluids techniques are the most promising engineering approach that offers  
39 a fast, cost-effective and environmentally friendly extraction of bioactive com-  
40 pounds from algae. Application of high pressure and moderate-high temperature  
41 to the GRAS solvents modifies their properties contributing to a better extraction  
42 process, improving the mass transfer rate and preserving the biological potential of

1 the extracts. In this chapter, green extraction techniques, such as supercritical fluid  
2 extraction (SFE), gas expanded liquid (GXL) extraction, pressurized liquid extrac-  
3 tion (PLE) and subcritical water extraction (SWE) are presented, and applications  
4 to algae bioactives extraction are discussed. Moreover, other important aspects re-  
5 lated to upstream processes optimization and biorefinery of algae (achieved  
6 through downstream process integration for valorising, in a rational way, all the  
7 different algae fractions) are also described.

## 8 ***1.1 Marine Resources***

9 Prokaryotic life was originated in the oceans about 3.6 billion years ago while  
10 eukaryotic life was originated between 0.6 and 1 billion years later (Ibáñez and  
11 Cifuentes 2013). The long evolution period of marine life compared to terrestrial  
12 has generated a huge diversity in terms of number of different species, genes, etc.  
13 Furthermore, marine organisms live in hostile environments of light, salinity, and  
14 temperature, thus, they must adapt to survive, producing a great variety of second-  
15 ary (and biologically active) metabolites. This ability, coupled with the immense  
16 diversity of species, provides an almost inexhaustible source of natural bioactive  
17 compounds from marine resources. Nowadays, the most important source of in-  
18 formation for these bioactive compounds is The Dictionary of Marine Natural  
19 Products (Blunt and Munro 2008), which lists over 30,000 purified compounds  
20 and tends to present a growing number of compounds every year.

21 Among the marine sources, algae are the most promising due to their easy cul-  
22 tivation and fast growth. Algae are photosynthetic aquatic organisms that possess  
23 simple reproductive structures. In general, these can be categorized as unicellular  
24 microscopic (microalgae) and multicellular macroscopic organisms (macroalgae).  
25 Although the number of different alga species has been estimated to be between  
26 one and ten million (Metting 1996), approximately only forty thousand species  
27 have been described (Suganya et al. 2016), which involves almost an unlimited  
28 field of research.

29 Macroalgae are classified in groups based on their pigmentation: Chloro-  
30 phyceae (green algae), Phaeophyceae (brown algae), and Rhodophyceae (red al-  
31 gae) (Oncel 2017). Macroalgae have been extensively utilized as food (or food  
32 technological ingredients) for many years, and thus are farmed commercially in  
33 several countries (Baghel et al. 2015) (over 30 million tons in 2016) (FAO 2018).

34 On the other hand, microalgae cultivation is increasing quickly, mainly in large  
35 scale, both in outdoor and indoor production. Microalgae could grow in auto-  
36 trophic conditions, heterotrophic conditions with enough nutrients but no light  
37 availability and even in mixotrophic conditions, so that they are able to utilize  
38 both inorganic and organic compounds from the medium (Carvalho et al. 2014).  
39 Regarding pigment composition, microalgae are classified into nine divisions.  
40 Some of the largest groups include Phaeophyceae, Chlorophyceae, Pyrrophyceae

1 (dinoflagellates), Bacillariophyceae (diatoms), Chrysophyceae (golden-brown)  
2 and Rhodophyceae (Oncel 2017).

3 One of the main applications of micro- and macroalgae biomass is biodiesel  
4 production (Mata et al. 2010) because of the high level of triglycerides they con-  
5 tain (Yen et al. 2013). Algae as a potential renewable resource is not only used for  
6 biofuels (Suganya et al. 2016) but also for food for aquaculture (Suganya et al.  
7 2016), biofertilizer (Marris 2006), environmental applications such as CO<sub>2</sub> mitiga-  
8 tion (Bilanovic et al. 2009) or wastewater treatment (Hodaifa et al. 2008), and to  
9 obtain high added value foods (Ibáñez and Cifuentes 2013), cosmetics (Ariede et  
10 al. 2017) and pharmaceutical products (Thanh-Sang et al. 2012).

11 In the following section, algae will be presented as a source of different bioac-  
12 tive compounds of interest for the food, cosmetics and pharmaceutical industry. A  
13 revision about the different types of bioactives that have been described in algae is  
14 presented, including compounds such as lipids, proteins and peptides, polysaccha-  
15 rides, carotenoids, phenolics, alkaloids, etc. **Table 1** presents a summary of poten-  
16 tial functional compounds found in different microalgae and macroalgae, together  
17 with their possible health effects.

18

19

20 - INSERT TABLE 1 HERE -

## 21 **2. Algae as source of bioactive or valuable compounds**

### 22 ***2.1 Lipids***

23 Algae can produce different kind of lipids such as glycolipids, phospholipids  
24 (polar lipids), glycerolipids with neutral storage lipids, and free fatty acids. Lipid  
25 percentages vary within the type of algae, containing 7-16% dry weight for  
26 macroalgae and from 1.9% up to 40% for microalgae (Suganya et al. 2016).

27 Among the lipids, polyunsaturated fatty acids (PUFAs) are the most studied  
28 compounds in algae. PUFA fraction in algae is often higher than in terrestrial veg-  
29 etables (Kumari et al. 2010). In fact, several microalgae are able to synthesize  $\omega$ -3  
30 and  $\omega$ -6 long chain PUFAs, which are essential natural antioxidants for body  
31 health, at levels as high as 10–70% of total fatty acids (Kumari et al. 2013), ex-  
32 ceeding 20% of their total lipid content (Bellou et al. 2014). However, the amount  
33 of PUFAs and the number or position of double bonds on the carbon chain can  
34 vary according to the algal species and growing conditions (Villarruel-Lopez et al.  
35 2017). In general, many microalgae have PUFAs such as EPA (eicosapentaenoic

1 acid,  $\omega$ -3 C<sub>20:5</sub>), DHA (docosahexaenoic acid,  $\omega$ -3 C<sub>22:6</sub>) and ARA (arachidonic  
2 acid,  $\omega$ -6 C<sub>20:4</sub>).

3 The specific interest in  $\omega$ -3 essential PUFAs are their beneficial effects such as  
4 the reduction of the risks of heart disease (Jinghai Chen et al. 2011), depression  
5 (Giles et al. 2013), inflammation (Yates et al. 2014), and cancer (Giros et al. 2009;  
6 Pottel et al. 2014).

7 Since humans have difficulty in synthesizing fatty acids with more than 18  
8 carbons, these fatty acids should be obtained from food (Hamed et al. 2015) and in  
9 general, algae have low  $\omega$ -6: $\omega$ -3 ratio, as recommended by the WHO. Although  
10 fish and seafood are the major source of long-chain PUFAs, it is important to re-  
11 mark that algae have been suggested as a feed for aquaculture with the idea of ob-  
12 taining the desired fatty acid profile in fish and seafood for consumers.

13 Other important microalgae-derived lipids are phytosterols, which have been  
14 used as additives in many food products such as spread, dairy products and salad  
15 dressing (Luo et al. 2015). Phytosterols have been reported to have many benefi-  
16 cial health effects in humans, including immunomodulatory (Caroprese et al.  
17 2012), anti-inflammatory (Ciliberti et al. 2017), antihypercholesterolemic (Jingnan  
18 Chen et al. 2014), antioxidant (Lv et al. 2015) and anticancer (Kazlowska et al.  
19 2013).

## 20 **2.2 Proteins and peptides**

21 Algae can become a potential protein source. The protein content recorded for  
22 green and red algae can reach 47% of the dry weight (Ibáñez and Cifuentes 2013)  
23 and ranged between 60-70% in microalgae such as *Arthrospira platensis*, *Chlorel-*  
24 *la vulgaris* of *Isochrysis galbana* (Matos et al. 2017). These have been used as a  
25 supplement in food, animal feed or aquaculture due to their optimal balance of es-  
26 sential amino acids.

27 Peptides from protein hydrolysis have been studied due to their bioactivities.  
28 Some peptides have potential benefits such as antioxidative (Hu et al. 2015), bind-  
29 ing or inhibiting specific receptors (Kalpa W. Samarakoon et al. 2014), growth  
30 factors, hormones, immunomodulators (de Jesus Raposo et al. 2013), antihyper-  
31 tensive, anticoagulant and antiproliferative (Kalpa Samarakoon and Jeon 2012).

## 32 **2.3 Polysaccharides**

33 Macroalgae contain large amounts of polysaccharides, mainly cell wall struc-  
34 tural polysaccharides such as alginates (brown algae) and carrageenans and agar  
35 (red algae) (Ibáñez and Cifuentes 2013), meanwhile microalgae have a low con-  
36 tent (approximately 10% of dry matter) of carbohydrates (Villarruel-Lopez et al.

1 2017). Nevertheless, macro- and microalgal polysaccharides have health promot-  
2 ing properties such as anti-inflammatory, antitumor, anti-adhesive, antiviral, anti-  
3 bacterial, immunomodulatory and infection-prevention activities (Gallego et al.  
4 2018). For example, beta glucans are considered immune stimulators while cellul-  
5 lose and starch can act as dietetic fibres, and sulphated polysaccharides have anti-  
6 oxidant and antitumoral activities (Villarruel-Lopez et al. 2017).

## 7 **2.4 Phenolic compounds**

8 The main bioactivity associated to algal phenolic compounds is their  
9 antioxidant effect through scavenging of reactive oxygen species (ROS) or  
10 enhancement of intracellular antioxidant defences. For example, extracts from  
11 microalgae *Euglena cantabrica* exhibit high antioxidant activity due to their high  
12 concentration of phenolic acids, particularly gallic and protocatechuic acids  
13 (Jerez-Martel et al. 2017).

14 Phlorotannins are the major phenolic compounds in brown macroalgae and the  
15 most studied group of phenolic compounds from algae because they constitute an  
16 extremely heterogeneous group of molecules, providing a wide range of potential  
17 biological activities in addition to antioxidant activity: antiproliferative (Montero  
18 et al. 2016), antibiotic (Tanniou et al. 2014), antiallergic (Kim and Himaya 2011),  
19 antidiabetic and anti-inflammatory activities (Catarino et al. 2017).

20 Other phenolic group with interesting bioactive properties are flavonoids. For  
21 instance, it has been reported in microalgae that the synergistic effects of  
22 chlorogenic and caffeic acids with 13-*cis*-retinoic acid can not only prevent lipid  
23 peroxidation, but also regress cancer (de Jesus Raposo and Miranda Bernardo de  
24 Morais 2015). The flavonoid content in macroalgae has been also studied (Yoshie-  
25 Stark et al. 2003).

26

## 27 **2.5 Alkaloids**

28 Alkaloids present special interest because of their pharmacological activities.  
29 Structurally, alkaloids isolated from marine algae mostly belong to the  
30 phenylethylamine and indole groups.

31 Some alkaloids detected in marine macroalgae and microalgae have been  
32 associated with relieve depression (phenylethylamine), increase heart rate and  
33 blood pressure (tyramine), diuretic effects and inhibition of gut movements  
34 (hordenine), treat cardiovascular and kidney disorders (dopamine), antitumor,  
35 antibacterial and antifungal activity (caulerpin) or antioxidant activity  
36 (fragilamide) (Güven et al. 2010).

## 1 **2.6 Carotenoids**

2 Carotenoids are lipophilic compounds that present significant interest as food  
3 colorants, feed supplements, nutraceuticals, and for cosmetic and pharmaceutical  
4 purposes. Their C<sub>40</sub> structure is based on isoprene units which can contain oxygen,  
5 so they can be classified in two main groups: carotenes and xanthophylls (Gong  
6 and Bassi 2016). More than 600 different naturally occurring carotenoids are now  
7 known, not including *cis* and *trans* isomers.

8 Carotenoids from marine macro- and microalgae have been described as  
9 powerful antioxidants and their beneficial physiological functions, such as anti-  
10 cancer, anti-obesity, anti-diabetic, anti-inflammatory, and cardioprotective  
11 activities have also been reported (Hoang Van and Eun 2017). For instance, some  
12 of the most studied carotenoids extracted from algae with beneficial effects on  
13 health are fucoxanthin, β-carotene, lutein and zeaxanthin from macro- and  
14 microalgae; and astaxanthin, canthaxanthin, capsanthin, α-carotene, crocetin, β-  
15 cryptoxanthin, lycopene, neoxanthin and phytoene from microalgae (Christaki et  
16 al. 2013; Gallego et al. 2018).

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## 19 **3. How to improve the production of bioactive metabolites**

20 As it was mentioned in the introduction, macro and microalgae have raised an  
21 enormous interest thanks to their potential for being a good source of high added  
22 value compounds that can be used in cosmetic, food and pharmaceutical  
23 industries. Furthermore, it is well established that secondary metabolites  
24 production can be strongly increased by many factors. **Figure 1** offers an  
25 overview on different ways to increase the production of valuable components  
26 from algae: marine biotechnology (through genetic engineering, selection and  
27 improvement of strains, metabolic flux modelling...) and optimization of  
28 processes including both upstream (strain selection and cultivation conditions),  
29 and downstream processes (biomass processing, extraction and purification  
30 methods). The main objective would be the integration of these factors in a  
31 biorefinery approach which allows a high production of the bioactives of interest.

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- INSERT FIGURE 1 HERE-

### 1 **3.1 Marine biotechnology**

2 Marine or blue biotechnology can be defined as the application of genetic  
3 engineering to marine resources. Thus, by using genetic engineering it is possible  
4 to modify genes and improve algae strains obtaining transgenic algae which are  
5 able to overexpress genes and overproduce valuable target compounds.

6 Marine biotechnology involves the study of the metabolic pathways which  
7 lead to the synthesis of bioactive compounds. It is important to consider all  
8 biochemical reactions, and their stoichiometry, which occur within the metabolic  
9 network. This knowledge will lead to modify or model the metabolomic flux,  
10 increasing (or decreasing) the production of selective bioactive metabolites  
11 (Ibáñez and Cifuentes 2013).

12 It is true that genetic manipulation in algae has been limited to a few species  
13 due to the complexity and large genome size. Microalgal genome sizes range from  
14 12.6 Mbp for the *Ostreococcus tauri* and 168 Mbp for the *Emiliania huxleyi* to an  
15 estimated 10,000 Mbp for the *Karenia brevis* (Cadoret et al. 2012). These large  
16 genome sizes can be difficult to sequence and transform.

17 Furthermore, it is very difficult to obtain new microalgal strains since nuclear  
18 transformation has a low efficiency and transgenes expression is not stable (Leon  
19 and Fernandez 2007).

20 Recently, some researchers have proposed new methods to ensure stability and  
21 a higher expression of transgenes. For instance, Díaz-Santos et al. (Díaz-Santos et  
22 al. 2016) proposed an interesting approach to express transgenes in microalgae  
23 using co-transformation with two naked promoterless genes, which are randomly  
24 inserted into the nuclear genome. They reached a successful co-transformation of  
25 *Chlamydomonas reinhardtii*, concluding that this transformation system could be  
26 universally applicable to any microalgal species.

27 In conclusion, more intense research and the study of new genetic engineering  
28 techniques are necessary to better understand, both genetically and metabolically,  
29 the complex network involved in the synthesis of bioactive compounds of interest;  
30 this way, the full potential of macro and microalgae could be reached.

### 31 **3.2 Optimization of upstream and downstream processes**

32 Upstream and downstream processes involve all stages from the selection of  
33 macro and microalgae strains and cultivation to extraction and/or purification of  
34 secondary metabolites.

#### 35 **3.2.1 Upstream processes**



1 Of course, depending on the bioactive compound of interest, a specific algae  
2 strain must be chosen since metabolite composition is extremely variable among  
3 species. Nowadays, there is a huge quantity of compounds obtained from different  
4 algae which can be found in many industries. For example, carotenoids such as  $\beta$ -  
5 carotene and astaxanthin are obtained from the green microalga *Dunaliella salina*  
6 and *Haematococcus pluvialis*, respectively. Another interesting example is the use  
7 of *Isochrysis galbana*, which is rich in  $\omega$ -3, as an ingredient for functional biscuits  
8 (Gouveia et al. 2008).

9 Cultivation conditions are essential in algae biorefinery. The main factors are  
10 supply of carbon dioxide (commonly CO<sub>2</sub>), nutrient source (i.e. nitrogen and  
11 phosphorus), and source and origin of illumination (Vanthoor-Koopmans et al.  
12 2013), but also it is important to take into account other factors such as tempera-  
13 ture control, algae concentration, pH, cultivation systems such as ponds or photo-  
14 bioreactors, etc. All these factors are vital for the proper growth of algae. For in-  
15 stance, it is well known that the microalgae *Haematococcus pluvialis* can grow as  
16 motile biflagellated green cells when it is subjected to favourable conditions, but  
17 under stress conditions (nutrient deficiency, high light intensity or salt stress), the  
18 cells lose their motility, their size increases and form red cysts, allowing its sur-  
19 vival for long and stressful periods (Hagen et al. 2002). Thus, in green cells, chlo-  
20 rophylls and carotenoids such as lutein and  $\beta$ -carotene can be found while in red  
21 cell phase, astaxanthin and its derivatives (esters, mainly) constitute up to 98% of  
22 the total carotenoid content (Boussiba et al. 1999). In terms of light, Aravantinou  
23 and Manariotis (Aravantinou and Manariotis 2016) observed a greater growth rate  
24 of *Chlorococcum sp.* under artificial light conditions instead of direct sunlight,  
25 proving the importance of light intensity and light source on biomass production.

26 The second main step in upstream processing is harvesting, which has to be  
27 optimized for each particular algae strain. In this sense, there are many ways to re-  
28 cover biomass but they are mostly focused in centrifugation and filtration.

29 Biomass processing is related to the proper disruption of the cell, since most of  
30 metabolites of interest are located inside the cell. It includes different techniques  
31 such as enzymatic treatments, microwave-assisted processes, pulsed electric fields  
32 or high pressure homogenization. In this sense, Carullo et al. (Carullo et al. 2018)  
33 studied the effect of two different cell disruption techniques in the microalgae  
34 *Chlorella vulgaris* and demonstrated that it was possible to selectively recover  
35 small-sized cytoplasmic compounds using pulsed electric fields, and high molecu-  
36 lar weight intracellular components using high pressure homogenization.

### 37 3.2.2 Downstream processes

38 Downstream processes involve the extraction and purification methods to iso-  
39 late the valuable compounds of interest from algae. These procedures can be ex-  
40 tremely expensive and can consume a huge quantity of organic solvents, so the op-  
41 timization of these steps is vital for the global economic viability of the algae

1 biorefinery. As an alternative to conventional processes (such as solid-liquid ex-  
2 traction or Soxhlet extraction), green processes have been proposed as a clean,  
3 sustainable and environmentally friendly approach. **Table 2** shows a list of alter-  
4 native processes that have been recently used to extract compounds from many  
5 sources, including macro and microalgae. These processes are microwave-assisted  
6 extraction (MAE), ultrasound-assisted extraction (UAE), enzyme-assisted extrac-  
7 tion (EAE), supercritical fluid extraction (SFE), pressurized liquid extraction  
8 (PLE) in which subcritical water extraction (SWE) is included, and gas-expanded  
9 liquids (GXLs). Even if these techniques are based on different principles, all of  
10 them have in common the use of minimal amount of food-grade solvents and its  
11 intensification through the employment of microwaves, ultrasound, enzymes or  
12 high pressure/temperature (Mendiola et al. 2013) that allows improving the selec-  
13 tivity, and the global efficiency, of the extraction process.

14

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16 - INSERT TABLE 2 HERE -

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19 **3.2.2.1 Assisted-extraction techniques**

20

21 Microwave-assisted extraction is based on the use of microwave radiation that  
22 causes heat both inside the matrix and the solvent. In algae, this heat provokes an  
23 enormous pressure inside the cells and favours the rupture of the cell wall, thus  
24 exposing its constituents to the solvent. Furthermore, the heat helps the solvent to  
25 diffuse into the cells, thus improving the transfer of the bioactive compounds be-  
26 tween the matrix and the solvent (Tatke and Jaiswal 2011). MAE has been widely  
27 used to extract bioactives from algae such as lipids, high value pigments, proteins,  
28 vitamins, carbohydrates and others (Kapoor et al. 2018). Although different or-  
29 ganic solvents can be employed, those selected for MAE applications should ab-  
30 sorb microwave radiation and, therefore, usually polar and protic solvents are  
31 used. Some applications of MAE for the extraction of lipids, pigments and pro-  
32 teins from different algae species such as *Chlorella sp.*, *Nannochloropsis salina*,  
33 *Phaeodactylum tricornutum* and *Porphyridium purpureum* have been developed  
34 using GRAS solvents (Gilbert-Lopez et al. 2017a; Juin et al. 2015; Martinez-  
35 Guerra et al. 2014; Patil et al. 2013).

36 For instance, Martínez-Guerra et al. (Martinez-Guerra et al. 2014) studied the  
37 extraction of lipids from microalgae using MAE. In this case, algal lipids were ex-  
38 tracted from dry *Chlorella sp.* using ethanol as solvent. In comparison to the con-  
39 ventional Bligh and Dyer (BD) method, they obtained an increase in lipid extrac-  
40 tion yields (from 13.9 % to 20.1 %) with a higher fatty acids ethyl esters  
41 conversion of the algal lipids (from 78.1 % up to 96.2 %) under optimum condi-  
42 tions (algae biomass:ethanol molar ratio of 1:250-500 and 2.0-2.5% sodium hy-  
43 droxide catalyst with reaction times around 6 min).

1 Another interesting approach was given by Gilbert-López et al. (Gilbert-Lopez  
2 et al. 2017a). They used MAE to obtain high valuable extracts from *Phaeodacty-*  
3 *lum tricornutum*. Under optimum conditions (30 °C, 100% ethanol and 2 min of  
4 extraction), they obtained a higher extraction yield (14.51 %) and recovered a  
5 good amount of lipids such as EPA and carotenoids such as fucoxanthin, even  
6 higher than those reported from brown algae.

7 Ultrasound-assisted extraction also relies on the disruption of cell walls, in-  
8 creasing the contact between solvent and matrix. In this case, the driving force that  
9 favours the extraction of the bioactives is the acoustic cavitation produced by the  
10 use of high-frequency sounds. Some algae such as *Arthrospiraplatensis* and *Chlo-*  
11 *rella sp.* have been used to extract valuable compounds using UAE, with an im-  
12 portant increase in the extraction yield. As an example, Zhao et al. (Zhao et al.  
13 2013) studied different treatments to extract carbohydrates from fresh *Chlorella*  
14 sp. UAE treatment showed the best results, reaching the maximum glucose yield  
15 ( $36.94 \pm 2.46$  g per 100 g dry cell weight) considering the following extraction  
16 conditions: ultrasonic power of 800 w, extraction time of 80 min, flow rate of 1.52  
17 L/min and cell concentration of 0.3 g/L. Another interesting example was given by  
18 Hadiyanto and Sutrisnorhadi (Hadiyanto and Sutrisnorhadi 2016), who efficient-  
19 ly extracted phycocyanin from *Arthrospiraplatensis* using UAE. Results showed a  
20 significant increase of the extraction yield using UAE (up to 15.7 %) in compari-  
21 son to conventional extraction (11.13 %) under UAE optimal conditions (52.5 °C,  
22 42 min of extraction time and ultrasound frequency of 42 Hz).

23 One interesting aspect common to both techniques is that it is possible to ex-  
24 tract bioactive compounds directly from wet biomass without using any solvent.  
25 For instance, Adam et al. (Adam et al. 2012) performed a solvent-free ultrasound-  
26 assisted extraction from fresh *Nannochloropsis oculata* biomass in order to recov-  
27 er lipids. As the water of the wet alga was used as solvent, lipids were effectively  
28 separated in two distinct phases, simplifying the oil recovery. Furthermore, using  
29 scanning electron microscopy (SEM), they could observe that after UAE, external  
30 structure of cells surface had changed, in contrast to non-treated cells, which ap-  
31 pear to be intact. This means UAE directly from fresh microalgae cells could be  
32 an innovative and sustainable option to extract lipids from microalgae.

33 Passos et al. (Passos et al. 2015) studied both pretreatment methods (MAE and  
34 UAE) directly from microalgal biomass, finding that all pretreated microalgal bi-  
35 omass had a higher content of all soluble organic macromolecules (proteins, car-  
36 bohydrates and lipids) than non-pretreated biomass. However, these procedures  
37 can damage or degrade thermolabile compounds if extraction conditions are car-  
38 ried out under extremely high temperatures.

39 Another alternative extraction method relies on the use of enzymes, which are  
40 capable of degrade or disrupt cell walls and membranes, thus allowing a better re-  
41 lease of bioactives (Munish et al. 2012). In vegetable matrices, pectinases, cellu-  
42 lases and hemicellulases are commonly used. Since algae have a similar cell wall,  
43 these enzymes have been also employed for degradation of their cell walls, as  
44 many authors have confirmed. For instance, Zuorro et al. (Zuorro et al. 2016) used

1 a multi-enzyme pretreatment based on cellulase and mannanase enzymes for the  
2 release of intracellular material, specifically lipids, from the marine microalga  
3 *Nannochloropsis* sp, reaching up to 90 % of lipid recovery under optimal condi-  
4 tions. Another interesting example was given by Huo et al. (Huo et al. 2015). They  
5 applied a mixture of enzymes (cellulase, pectinase and hemicellulase) to extract  
6 oil from wet microalgae *Scenedesmus* sp. G4, obtaining up to 86.1 % of lipids un-  
7 der optimal conditions and proving the great impact of enzymes on the integrity of  
8 microalgae cell. The main problem encountered by using this methodology is the  
9 low efficiency of the lysis process and the time required to complete the reaction  
10 (that can take from hours to days) (Grosso et al. 2015).

### 11 3.2.2.2 Compressed fluids' extraction techniques

12 Compressed fluids' extraction techniques such as SFE, PLE, SWE or GXL are  
13 the most innovative methods that have been recently used to obtain high value  
14 compounds from many matrices, including macro and microalgae. The main ad-  
15 vantage is that all of them can use green solvents such as CO<sub>2</sub>, water or ethanol.  
16 Furthermore, the possibility of changing the solvent physicochemical properties  
17 and solvating power by changes in pressure and/or temperature of the system pro-  
18 vides a great selectivity and efficiency for obtaining a huge range of bioactives  
19 with different characteristics.

20 Despite several differences in the basic principles of SFE, GXL and PLE, they  
21 all have in common that they must operate under medium-to-high pressures; for  
22 this reason, it is possible to use the same equipment for the three extraction tech-  
23 niques. SFE is based on the use of solvents at temperatures and pressures above  
24 their critical points, while PLE operates using liquids at temperatures above their  
25 normal boiling points and pressures enough to keep the extracting fluid in the liq-  
26 uid state. GXLs extraction is an intermediate technique between PLE and SFE.  
27 GXLs are liquids whose volume has been increased when pressurized with a con-  
28 densable gas (e.g., CO<sub>2</sub>). Under these conditions, at least two fluid phases or a  
29 single phase above the bubble point curve but below the critical composition exist  
30 (Herrero et al. 2013). **Figure 2** shows a general scheme of the equipment that can  
31 be used for SFE, GXL and PLE. In the following sections, a more detailed expla-  
32 nation on the different configurations employed for each process is included.

33  
34  
35  
36

- INSERT FIGURE 2 HERE -

#### 37 3.2.2.2.1 Supercritical Fluid Extraction

1 Briefly, when a fluid is forced to a temperature and pressure above its critical  
2 point, it is considered to be a supercritical fluid, and it shares physicochemical  
3 characteristics from both liquid and gas states. Some of these properties are low  
4 viscosity, high diffusivity and tunable density, which can be easily modified de-  
5 pending on the temperature and pressure applied and, consequently, the solubility  
6 of the target compound in the fluid is also modified. Carbon dioxide (CO<sub>2</sub>) is the  
7 most-employed fluid in SFE, since it has moderate critical temperature and pres-  
8 sure (31.2 °C and 73.8 bar) and it can be recycled, so it can be considered as envi-  
9 ronmentally friendly. Moreover, a very interesting point is that CO<sub>2</sub> will become a  
10 gas at atmospheric conditions, so once the extraction is finished, the CO<sub>2</sub> from the  
11 extract is directly evaporated, and the extract is completely solvent-free.

12 As mentioned, Figure 2 shows the scheme of a pilot plant that can be used for  
13 SFE, GXL extraction and PLE. In SFE configuration, the CO<sub>2</sub> is initially cooled to  
14 0-5°C in order to be pumped as a liquid; the system includes the possibility of  
15 adding a co-solvent as modifier of the polarity of CO<sub>2</sub>. Once the mixture is  
16 achieved, the fluid is heated to the selected extraction temperature and pumped at  
17 the selected pressure into an extraction vessel (E1 and/or E2), kept at working  
18 temperature. Algae are placed inside the extraction cell in a basket. If several ex-  
19 traction vessels are used, it is possible to increase productivity since while one is  
20 used for extraction, the other can be simultaneously filled with the material. Once  
21 the extraction is finished, the pressure is reduced through a control valve (R1) and  
22 the extract precipitates and is recovered in the separator vessels (S1 and/or S2). A  
23 series of collection vessels at sequentially lower pressures may be employed to  
24 trap and fractionate the extract. Flow rate and extraction pressure is controlled by  
25 the pumping rate and by the setting of the control valve for a particular pumping  
26 rate, respectively. On a pilot and industrial scale, CO<sub>2</sub> is recycled by condensing  
27 it, filtering it and sending it back to the reservoir for being pumped in the follow-  
28 ing extraction.

29 There are many reviews which summarize the potential of supercritical fluid  
30 extraction to obtain bioactives from different natural sources, including algae. For  
31 instance, SFE have been used to extract lipids from *Nannochloropsis oculata*,  
32 *Tetraselmis suecica*, *Dunaliella salina* and *Cryptocodinium cohnii*, among others;  
33 and carotenoids from *Haematococcus pluvialis*, *Chlorococcum littorale*, *Chlorella*  
34 *vulgaris* or *Scenedesmus almeriensis*, among others (Gallego et al. 2018).

35 As expected, extraction conditions are different not only depending on the  
36 compound of interest but also on the algae species. A clear example of this de-  
37 pendence was given by Bong and Loh (Bong and Loh 2013). In this study, they  
38 compared the fatty acid composition and tocopherol content of lipid extracts from  
39 *Nannochloropsis oculata* and *Tetraselmis suecica* using supercritical fluid extrac-  
40 tion and optimum conditions were totally different in both algae (80 °C, 20.7 MPa  
41 and 40 °C, 62 MPa, respectively). The same approach occurred for carotenoids.  
42 Gilbert-López et al. (Gilbert-Lopez et al. 2017b) reported that lutein was efficient-  
43 ly extracted from *Scenedesmus obliquus* using SFE at 50 °C, 36 MPa and 120 min  
44 as extraction time, whereas Macías-Sánchez et al. (Macías-Sánchez et al. 2010)

1 reported that the same carotenoid was optimally recovered from *Scenedesmus al-*  
2 *meriensis* at 60 °C, 40 MPa and 300 min as extraction time.

3 One of the most important drawbacks of using supercritical CO<sub>2</sub> (scCO<sub>2</sub>) as  
4 extracting solvent is its low polarity, so polar bioactive components cannot be ex-  
5 tracted. In this case, an alternative is the use of a polar co-solvent or modifier in  
6 small percentages (ie. ethanol from 1-15%) that allows increasing the polarity of  
7 the resulting supercritical solvent mixture, thus favouring the extraction of more  
8 polar compounds.

9 For instance, Solana et al. (Solana et al. 2014) used a 5 % of ethanol as co-  
10 solvent for the extraction of  $\alpha$ -linolenic acid ( $\alpha$ LnA) from *Scenedesmus obliquus*,  
11 *Chlorella protothecoides* and *Nannochloropsis salina*. The highest amount of  
12  $\alpha$ LnA was reached at 45 °C and 15 MPa after 30 min of extraction.

13 On the other hand, Ota et al. (Ota et al. 2009) extracted  $\beta$ -carotene from  
14 *Chlorococcum littorale* comparing SFE with and without ethanol as co-solvent,  
15 reaching a high yield (up to 90 %) with 10% of ethanol and optimum conditions of  
16 60 °C, 30 MPa and 180 min of extraction time; a yield of 40% was obtained with  
17 pure CO<sub>2</sub> as extracting solvent.

18 Selection of co-solvent is also important for the bioactivity of the obtained ex-  
19 tract. For example, Saravana et al. (Saravana et al. 2017) compared sunflower oil,  
20 soybean oil, canola oil, ethanol, and water as co-solvents to support scCO<sub>2</sub> extrac-  
21 tion of carotenoids, mainly fucoxanthin, and phlorotannins from brown seaweed  
22 *Saccharina japonica*. A 2% sunflower oil as co-solvent showed higher carotenoid  
23 content and antioxidant activity than the control (scCO<sub>2</sub> only).

24 Regarding microalgae extraction, in general, a drying step prior to scCO<sub>2</sub> ex-  
25 traction is required because they are grown in liquid cultures. Reyes al. (Reyes et  
26 al. 2016) studied the direct extraction of carotenoids from *Neochloris oleabundans*  
27 paste (containing around 70-80 % water) mixing this paste with adsorbents as  
28 supporting media. Results showed that chitosan was the adsorbent with better ad-  
29 sorbent capacities for the recovery of carotenoids. These results are interesting to  
30 avoid the drying step, which is energy consuming and could be detrimental for the  
31 bioactivity of the extracted compounds.

32

### 33 3.2.2.2 Gas Expanded Liquid Extraction

34 When increasing the amount of polar solvent mixed with CO<sub>2</sub>, a different type  
35 of solvent is achieved; the so-called “carbon dioxide expanded liquid (CXL)”.  
36 CXL is a particular case of gas expanded liquid (GXL) in which carbon dioxide is  
37 using as expanding media; CXLs are considered to be half way from pressurized  
38 liquids to supercritical fluids (Herrero et al. 2017).

39 In general terms, GXLs have densities similar to that of organic solvents (with-  
40 out CO<sub>2</sub> added), while their viscosities are between those of supercritical fluids  
41 and liquids. GXLs show a wide range of physicochemical properties compared to

1 supercritical fluids, since more diverse properties can be obtained considering the  
2 wide variety of different green organic solvents that can be employed (Cunico and  
3 Turner 2017). Several physicochemical properties change by changing the pres-  
4 sure and/or temperature in CXL systems, among them: density, compressibility,  
5 viscosity, mass transfer and dielectric properties. For more in depth information  
6 about GXLs, readers are referred to Sanchez-Camargo et al. (Sánchez-Camargo et  
7 al. 2018).

8 As shown in **Figure 2**, the equipment needed to work under CXL conditions is  
9 the same that the one required for carrying out SFE; the only difference is that un-  
10 der CXLs conditions, a higher amount of solvent is used and, commonly, lower  
11 pressures are employed. In general, the instrumentation consists of 2 pumps, one  
12 for carbon dioxide and another one for the solvent, a system for heating the extrac-  
13 tion cell(s) (medium-high pressure vessel(s)), valves for controlling the fluid flow  
14 path and pressure and a collection device. Operation starts by mixing the liquid  
15 solvent with CO<sub>2</sub> at medium-high pressures (CO<sub>2</sub> will expand and the volume of  
16 the fluid mixture will increase, depending on the pressure conditions); the fluid is  
17 then injected in the medium-high pressure vessel where the extraction takes place  
18 (at certain temperature conditions controlled by a heating system); after the extrac-  
19 tion time, the outlet valve (R1) is open to control flow/pressure and the extract is  
20 continuously collected in a separator vessel (S1).

21 Some interesting applications of CXLs for the extraction of bioactive com-  
22 pounds from algae have been recently published. For instance, Golmakani et al.  
23 (Golmakani et al. 2012) described one of the very first uses of GXL to algal bio-  
24 mass. In this case two alternative extraction techniques (GXLs and pressurized  
25 ethyl lactate:ethanol) were applied to obtain high-value lipids from *Arthrospira*  
26 *platensis*. Results obtained after chemometric optimization allowed understanding  
27 the effects of the different factors involved in the studied processes and provide  
28 the optimum conditions to get the maximum  $\gamma$ -linolenic acid ( $\gamma$ LnA) recovery and  
29 lipids' yield. GXL (40°C, 300 atm, 50% ethanol, 90 min extraction time) provided  
30  $\gamma$ LnA recovery of 24.7% and total yields of 6.7% (w/w), while PLE (180 °C, 20.7  
31 MPa, ethanol:ethyl lactate 1:1 and 15 min extraction time) provided total yields up  
32 to 20.7% (w/w) and  $\gamma$ LnA recoveries of 68.3%. In this case GXL provided lower  
33 yields and recoveries than PLE, but gave higher selectivity and demonstrated its  
34 performance as intermediate between PLE and supercritical fluids for the extrac-  
35 tion of medium-polar compounds.

36 Reyes et al. (Reyes et al. 2014) used a Box–Behnken experimental design to  
37 examine the effects of mild operating temperature (40–70 °C) and pressure (20–35  
38 MPa), using ethanol in scCO<sub>2</sub> (0–13% w/w) on the astaxanthin content, extraction  
39 yield, and antioxidant activity of *Haematococcus pluvialis* extract. Since astaxan-  
40 thin is a carotenoid whose molecular weight and functional groups give low solu-  
41 bility in scCO<sub>2</sub>, two approaches can be followed to increase its extraction: the first  
42 one is to force the extraction by increasing the extraction time and pressure (above  
43 50 MPa), while the other is to employ higher amount of ethanol to increase  
44 astaxanthin solubility in scCO<sub>2</sub>. In the work by Reyes et al. 2014, after demon-

1 strating the important effect of ethanol content in supercritical CO<sub>2</sub> (more signifi-  
2 cant than pressure and temperature), authors move to the GXL region using higher  
3 ethanol content (50–70%, w/w), mild temperature (30–60 °C) and low pressure (7  
4 MPa). Comparing CXE (Carbon Dioxide Expanded Extraction) with scCO<sub>2</sub> at opti-  
5 mum extraction conditions (20 MPa, 13% (w/w), 55 °C for scCO<sub>2</sub> and 7 MPa,  
6 50% (w/w) ethanol, 45 °C for CXE), CXE showed better results in terms of ex-  
7 traction yield, astaxanthin content and astaxanthin recovery than scCO<sub>2</sub> extraction.  
8 In fact, these results were better than any previously published manuscript con-  
9 cerning astaxanthin extraction from *H. pluvialis*.

### 10 3.2.2.1.3 Pressurized Liquid Extraction

11 Pressurized liquid extraction (PLE) is based on the use of high temperature  
12 (below the critical point) and pressures enough to keep the solvent in liquid state.  
13 If water is used as extracting solvent, it is called subcritical water extraction  
14 (SWE) or pressurized hot water extraction (PHWE) and can be considered as the  
15 greenest alternative involving the use of pressurized liquids. Thanks to the high  
16 temperatures and pressures, the solvent possesses increased solubility and de-  
17 creased viscosity, allowing a better mass transfer rates and penetration into the  
18 matrix while improving the efficiency of the extraction process.

19 When working under PLE conditions, instrumentation needed consists on: a  
20 solvent pump, an extraction vessel (E1), pressure valves, heating systems for con-  
21 trolling temperature and a collection vessel (S1). The solvent is introduced inside  
22 the extraction cell by the pump (pressures required range between 35 and 200 bar).  
23 Pressure is controlled inside the extraction cell by two on/off valves (or one on/off  
24 valve and the restrictor, R1) and the extraction cell is placed inside a heating sys-  
25 tem, which controls the applied temperature (usually, high temperature area em-  
26 ployed is above the boiling point of the solvent and below its critical point). A col-  
27 lection vessel is needed to recover the extract. It is important to mention that the  
28 solvents employed for the extraction should be oxygen-free in order to avoid oxi-  
29 dation of the bioactives as well as to prevent cavitation in the pump; degassing by  
30 ultrasounds or helium purge are two systems that can be employed for this pur-  
31 pose.

32 Depending on the matrix and on the target compound(s), a proper selection of  
33 the extracting solvent is needed. Thus, for the extraction of more polar lipids such  
34 as short-chain fatty acids and tocopherol or carbohydrates, water can be chosen,  
35 whereas less polar lipids such as PUFAs can be extracted using ethanol (Pieber et  
36 al. 2012; Rodriguez-Meizoso et al. 2010). On this sense, Otero et al. (Otero et al.  
37 2018) studied the selectivity of five solvents of different polarities (hexane, ethyl  
38 acetate, acetone, ethanol and ethanol:water 50:50) in the lipid composition of *Fu-*  
39 *cus vesiculosus* by PLE. Results showed that long chain fatty acids including oleic  
40 acid, arachidonic acid and EPA are selectively extracted using ethyl acetate, pro-  
41 ducing extracts that at least double the fatty acids quantity in comparison to the



1 other solvents. Nevertheless, the lowest  $\omega$ -6/ $\omega$ -3 ratio was achieved with etha-  
2 nol:water 50:50 (the most polar solvent) with a value of 1.92, much lower than  
3 those recommended by FAO ( $\omega$ -6/ $\omega$ -3 = 10) (FAO 2010). It is well-know that a  
4 low  $\omega$ -6/ $\omega$ -3 ratio exerts suppressive effects on cardiovascular diseases  
5 (Simopoulos 2002).

6 Several examples can be found in the literature about the use of PLE to extract  
7 carotenoids from many different algae species using different solvents such as  
8 ethanol, water, acetone and their mixtures. The diversity of solvents that have  
9 been employed can be explained by the wide range of polarities of bioactive ca-  
10 rotenoids; for example violaxanthin, neoxanthin and lutein could be effectively  
11 extracted from *Chlorella vulgaris* using acetone at 50 °C and 10 MPa (Merichel  
12 Plaza et al. 2012); fucoxanthin and zeaxanthin could be extracted from *Himan-*  
13 *thalia elongata* using ethanol as solvent at 100°C and 10.3 MPa (M. Plaza et al.  
14 2010); and also from *Phaeodactylum tricornutum* using ethyl acetate at 100 °C  
15 and 10 MPa (Derwenskus et al. 2018); astaxanthin and derivatives could be effi-  
16 ciently extracted from *Haematococcus pluviales* using pressurized ethanol at 50  
17 °C and 10.3 MPa (Jaime et al. 2010).

### 18 **3.3 Integrated processes**

19 The integration of processes dealing with the extraction of bioactive com-  
20 pounds from macro- and microalgae is a hot topic. Some interesting approaches  
21 have been employed in the literature; for instance, Hernandez et al. (Hernandez et  
22 al. 2014) studied the effect of microwave pre-treatment previous to scCO<sub>2</sub> extrac-  
23 tion in different microalgae. Interestingly, authors reported that the microwave  
24 (MW) effect strongly depend on the microalgae tested; whereas in the microalga  
25 *Scenedesmus almeriensis* a positive effect on the yield of lipids was shown, *Nan-*  
26 *nochloropsis gaditana* seemed to be negatively affected by the microwave-  
27 assisted pretreatment. The same approach was studied in *Chlorella vulgaris*, in  
28 which Dejoye et al. (Dejoye et al. 2011) concluded that the integration of MAE  
29 and scCO<sub>2</sub> extraction gives a high quality and yield of recovered lipids.

1 Among the most promising integration of processes are those involving the  
2 coupling of extraction and purification, considering that depending on the  
3 extraction conditions and the chemical characteristics of the target compound,  
4 sometimes it would be difficult to obtain pure extracts. Supercritical antisolvent  
5 fractionation (SAF), supercritical antisolvent (SAS) or solution-enhanced  
6 dispersion (SEDS) by supercritical fluids are processes that could be coupled on-  
7 line to obtain dried encapsulated particles. In general terms, these techniques are  
8 based in contacting an organic solution with scCO<sub>2</sub>. During mixing, the rapid  
9 mutual diffusion at the interface of scCO<sub>2</sub> and the liquid extract containing the  
10 compounds causes the precipitation of solutes, allowing to obtain completely  
11 solvent-free products. These processes can also be used to encapsulate or co-  
12 precipitate target compounds by super saturation of the polymer/solute, leading to  
13 sub-micrometric particles with controlled size. For example, Machado et al.  
14 (Machado et al. 2016) coupled an enzymatic lysis assisted by ultrasounds, without  
15 biomass freezing, for the cell wall disruption of *Haematococcus pluvialis*, with the  
16 subsequent encapsulation of carotenoids in the copolymer poly(hydroxybutyrate-  
17 co-hydroxyvalerate) (PHBV) using SEDS technique.

### 18 **3.4 Biorefinery**

19 The concept of biorefinery relies on the capability of improving the recovery  
20 of different products from a unique biomass. In other words, the main idea con-  
21 sists on the integration of multiple and sequential processes that allow the frac-  
22 tionation of a single biomass into different and isolated compounds of high added  
23 value (Subhadra and Grinson 2011).

24 The biorefinery concept not only consists on the integration of multiple pro-  
25 cesses to obtain different products but also on the optimal exploitation of the  
26 available resources. In this sense, a microalgae biorefinery platform was designed  
27 in our research group involving the integration of compressed fluids technologies  
28 such as SFE, GXLs, and PLE in a holistic approach, in which the residue of each  
29 extraction is used as a raw material for the next step.

30 The compressed fluids' biorefinery platform involves the extraction of target  
31 compounds of different polarity through the addition/removal of CO<sub>2</sub> and there-  
32 fore moving from SFE (with neat CO<sub>2</sub>) to conventional organic solvents (working  
33 under high pressure and temperature) and considering, as intermediate steps, the  
34 use of CO<sub>2</sub> plus modifier and/or CXLs. In this approach, working under medi-  
35 um/high pressures, different physicochemical properties can be conveniently mod-  
36 ified through the addition of compressed CO<sub>2</sub> (such as polarity, viscosity and dif-  
37 fusivity) (Herrero et al. 2017).

38 **Figure 3** shows a scheme of the compressed fluids' platform mentioned above.  
39 In this kind of biorefinery platform the residue of one extraction is the matrix to be

1 treated in the next step; taking into account that all the steps are done in the same  
2 equipment, different extraction processes (carried out at medium-high pressure)  
3 were sequentially used to extract valuable compounds from algae biomass. Biore-  
4 finery started using a dry biomass sample and applying a SFE (CO<sub>2</sub> as solvent) as  
5 first step to obtain non-polar bioactives, including carotenoids and lipids; the res-  
6 idue of SFE was subsequently treated with a CXL (and/or PLE with ethanol) to  
7 obtain the polar lipids, carotenoids and chlorophylls; and finally, by means of  
8 SWE, sugars and proteins were obtained. By this approach, the sample is treated  
9 with increasing polarity solvents to provide different extracts enriched in valuable  
10 compounds. This was the approach followed by Gilbert-López et al. (Gilbert-  
11 Lopez et al. 2015) in which different compounds were obtained from *Isochrysis*  
12 *galbana*. Thus, extraction process was partially selective according to the polarity  
13 of the solvent/mixture of solvents used. First extracts using scCO<sub>2</sub> were rich in tri-  
14 acylglycerides, while extracts obtained using CXL were rich in fucoxanthin, the  
15 main carotenoid in *Isochrysis galbana*. Following steps provide with extracts en-  
16 riched in proteins and carbohydrates.

17 Similar results were obtained using *Scenedesmus obliquus* as dry biomass. In  
18 this case, not fucoxanthin but lutein and β-carotene were extracted in the GXL  
19 step (Gilbert-Lopez et al. 2017b).

20 It is worth mentioning that the same biorefinery approach can be used to extract  
21 compounds starting from high polarity to low polarity, by just inverting the order  
22 of the processes involved (PLE with water, PLE with ethanol, CXL and SFE with  
23 neat CO<sub>2</sub>). The viability of this approach has been recently demonstrated consider-  
24 ing wet microalgae as starting material (Ibáñez et al. 2017).

25 It is also important to emphasize that through the integration of green chemis-  
26 try into biorefineries and the use of low environmental impact technologies such  
27 as those based on the use of compressed fluids, future sustainable production  
28 chains of biofuels and high value chemicals from biomass can be established, thus  
29 improving the economic viability of the whole biorefinery.

#### 30 **4. Conclusions**

31 In this book chapter, we presented and overview of the bioactive compounds  
32 that can be obtained from macro and microalgae with potential use in the food,  
33 cosmetic and pharmaceutical industries. Although not exhaustive, the information  
34 has been selected considering some of the most important compounds that can be  
35 synthesized by algae and can provide benefits for human health. Some of them are  
36 major components such as proteins, lipids and carbohydrates and other minor  
37 components (secondary metabolites) generated to protect algal cells against stress  
38 conditions. Emphasis has been put on the different possibilities for promoting the  
39 enrichment in high value metabolites, ranging from marine biotechnology to pro-  
40 cesses (both, upstream and downstream) that can be optimized to obtain highly en-

1 riched fractions in different components. But, the main focus of the chapter has  
2 been the description of new technologies to extract valuable compounds from al-  
3 gae; among them some extraction processes assisted by microwaves, ultrasounds  
4 or enzymes and processes based on the use of compressed fluids (SFE, GXL, PLE  
5 and SWE). In the framework of this book, these processes have in common that  
6 they are greener, more efficient, avoid the use of toxic organic solvents and can be  
7 sustainable. Several recent on the application of these technologies to the extrac-  
8 tion of valuable compounds from algae are described in the text demonstrating the  
9 usefulness and the advantages of such processes compared to conventional ones.  
10 Finally, a biorefinery platform based on compressed fluids technology is presented  
11 as an example of the possibilities offered by these technologies to completely val-  
12 orize algae biomass. This platform is intended to be placed in a whole process in-  
13 volving the optimization of the different necessary steps: efficient production of  
14 biomass using CO<sub>2</sub> formed by combustion of fossil fuels in thermoelectric power  
15 plants, extraction of valuable bioactives using environmentally friendly processes,  
16 and processing of the oily fraction to produce biofuels; exhausted material can be  
17 also used for other purposes (such as fabrication of furniture, etc.). This way it  
18 will be possible to move towards a more sustainable world, in which circular  
19 economy will take the lead and sustainable development challenges will start to be  
20 met.

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Table 1. Functional compounds found in some algae and possible health effects (based on references Ibañez and Cifuentes 2013; Sathasivam and Ki 2018)

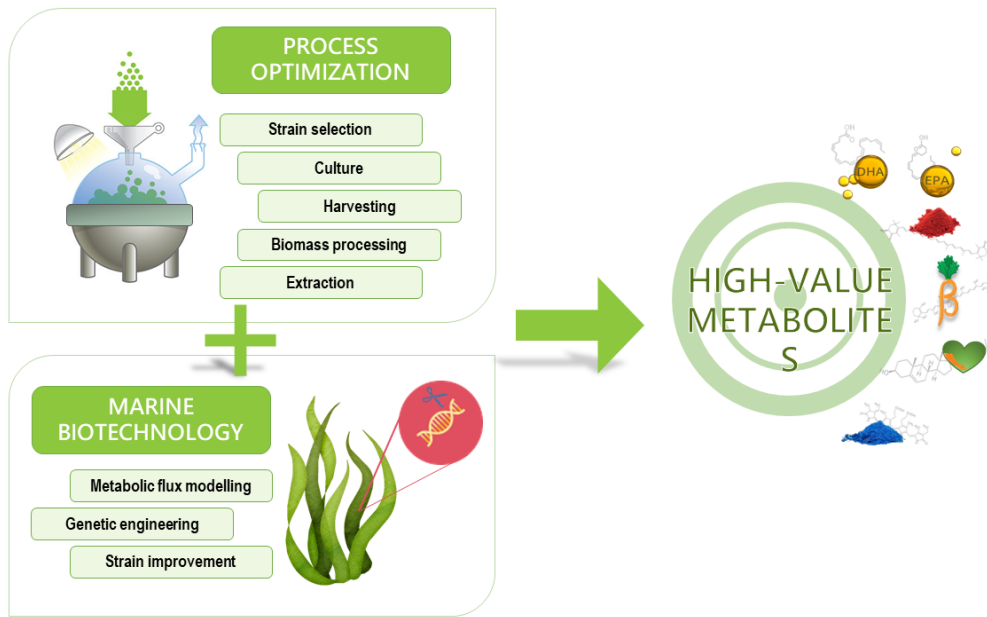
<b>Functional compound</b>	<b>Possible health benefit</b>	<b>Macroalgae</b>	<b>Microalgae and cyanobacteria</b>
PUFAs	Reduce risk of certain heart diseases	<i>Himantalia elongate</i> , <i>Undaria pinnatifida</i> , <i>Porphyra</i> spp., <i>Chondrus crispus</i>	<i>Dunaliella salina</i> , <i>Haematococcus pluvialis</i> , <i>Chlorella</i> spp., <i>Arthrospira platensis</i>
Vitamin E	Antioxidant activity		<i>Porphyridium</i> spp.
$\alpha$ -Tocopherol	Antioxidant activity	<i>Himantalia elongate</i>	
Folates	Reduce risk of certain types of cancer	<i>Undaria pinnatifida</i>	
Sterols	Reduce total and LDL cholesterol and immunosuppressant effects	<i>Himantalia elongate</i> , <i>Undaria pinnatifida</i> , <i>Porphyra</i> spp., <i>Chondrus crispus</i> , <i>Cystoseira</i> spp., <i>Ulva</i> spp.	<i>Dunaliella salina</i> , <i>Haematococcus pluvialis</i> , <i>Chlorella</i> spp.
Pheophorbide a-, b-like compounds	Inhibition of cytopathic effect of herpes simplex Virus 1		<i>Dunaliella salina</i>
Phycobiliproteins	Immunomodulation activity, anticancer activity, and hepatoprotective, anti-inflammatory and antioxidant properties		<i>Arthrospira platensis</i>
Allophycocyanin	Inhibition of cytopathic effect, delay in synthesis of viral RNA of enterovirus		<i>Cryptomonads</i>
Soluble fiber	Reduce total and LDL cholesterol	<i>Himantalia elongate</i> , <i>Undaria pinnatifida</i> , <i>Porphyra</i> spp., <i>Chondrus crispus</i>	
Alginic acid, xylofucans	Antiviral activity	<i>Sargassum vulgare</i>	
Sulfated polysaccharides	Regulate the bioactivity of growth factors and cytokines, apoptotic, antiviral, antitumour, antihyperlipidaemia, and anticoagulant activities	<i>Undaria pinnatifida</i> , <i>Porphyra</i> spp., <i>Chondrus crispus</i> , <i>Cystoseira</i> spp., <i>Ulva</i> spp.	<i>Dunaliella salina</i> , <i>Haematococcus pluvialis</i> , <i>Chlorella</i> spp., <i>Arthrospira platensis</i> , <i>Porphyridium</i> spp.
Polysaccharides	Inhibition of hyaluronidase of herpes simplex and influenza A virus and antileukaemic activity		<i>Navicula directa</i> , <i>Gymnodinium</i> sp., <i>Gyrodinium impudicum</i>
Phenolic acids	Antioxidant activity		<i>Arthrospira platensis</i>

Terpenes	Valuable curative properties	<i>Cystoseira</i> spp.	
Fucoxanthin	Preventive effect on cerebrovascular diseases, increase the metabolism, antioxidant	<i>Undaria pinnatifida</i>	<i>Isochrysis galbana</i> , <i>Phaeodactylum tricorutum</i>
Diadinochrome A, B, diatoxanthin/cynthiixanthin	Cytotoxic effect in HeLa cells		<i>Peridinium bipes</i>
Carotenoids	Antioxidant, immunomodulation and cancer prevention	<i>Ulva</i> spp.	<i>Haematococcus pluvialis</i> , <i>Chlorella</i> spp., <i>Muriellopsis</i> spp. <i>Scenedesmus</i> sp., <i>Porphyridium</i> sp.
Karatungols	Antifungal, antiprotozoan		<i>Amphidinium</i> spp.

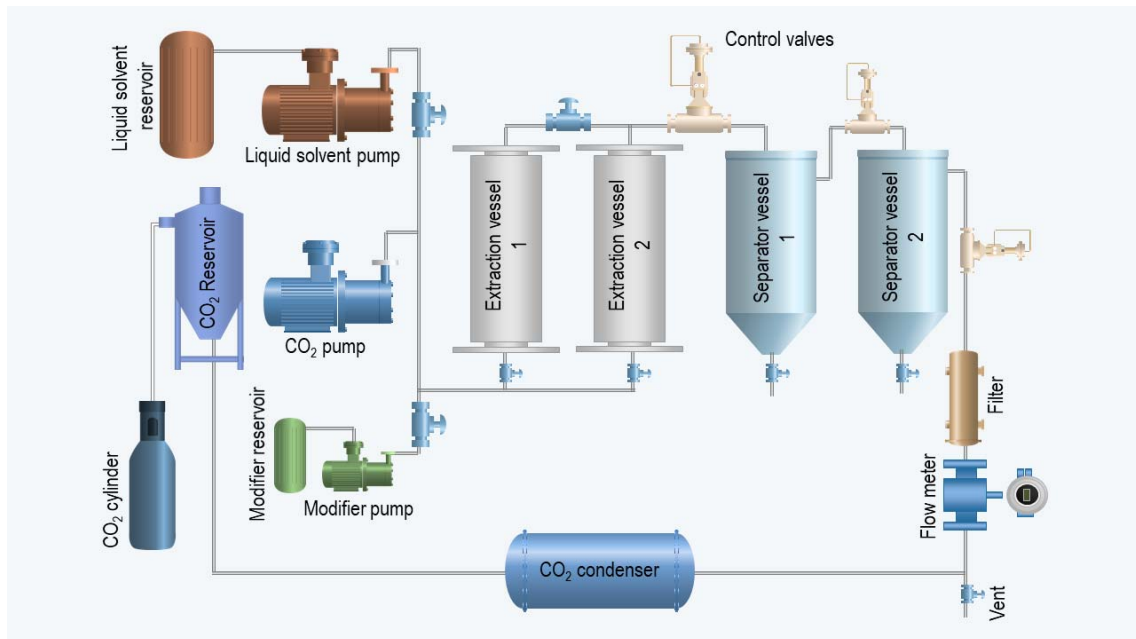
Table 2. Advantages and disadvantages of alternative downstream extraction processes (based on references Grosso et al. 2015; Herrero et al. 2017)

	<b>Advantages</b>	<b>Disadvantages</b>
<b>MAE</b>	<ul style="list-style-type: none"> <li>- Short treatment time and solvent consumption;</li> <li>- More efficient than conventional heating;</li> <li>- Reduction of extraction temperature using pressurized closed vessels;</li> <li>- Organic solvents and water can be used;</li> <li>- High extraction yields.</li> </ul>	<ul style="list-style-type: none"> <li>- Only solvents with high dielectric properties can be used;</li> <li>- Possible thermal degradation of the most thermolabile compounds when using open vessels;</li> <li>- High energy consumption.</li> </ul>
<b>UAE</b>	<ul style="list-style-type: none"> <li>- Short treatment time and solvent consumption;</li> <li>- High efficiency in cell disruption;</li> <li>- High extraction yields;</li> <li>- Suitable to extract thermolabile compounds;</li> <li>- Inexpensive.</li> </ul>	<ul style="list-style-type: none"> <li>- Solvents with low surface tension, low viscosity and low vapor pressure are preferable;</li> <li>- The presence of a dispersed phase contributes to the ultrasound wave attenuation;</li> <li>- Ultrasounds generate heat, being important to accurately control the extraction temperature;</li> <li>- Excess of sonication may damage the quality of extracts.</li> </ul>
<b>EAE</b>	<ul style="list-style-type: none"> <li>- Water can be used (Green technology);</li> <li>- The enzyme treatment can increase the recovery of bioactive compounds.</li> </ul>	<ul style="list-style-type: none"> <li>- The efficiency of enzymatic hydrolysis is very low if materials have low moisture content;</li> <li>- Enzyme treatment is usually a slow process, and it may take from hours to days.</li> </ul>
<b>SFE</b>	<ul style="list-style-type: none"> <li>- Green technology;</li> <li>- Higher selectivity because the solubility of a compound in a supercritical fluid can be manipulated;</li> <li>- It is possible to extract more polar compounds with the use of modifiers</li> <li>- Elimination of CO<sub>2</sub> is achieved without residues, yielding a solvent-free extract;</li> <li>- Suitable to extract thermolabile compounds.</li> </ul>	<ul style="list-style-type: none"> <li>- High costs for the high pressure equipment needed;</li> <li>- Can be more time-consuming than the other alternative techniques.</li> </ul>
<b>PLE / SWE</b>	<ul style="list-style-type: none"> <li>- Green technology in the case of pressurized water extraction (SWE);</li> <li>- Reduced solvent consumption;</li> <li>- Suitable to extract thermolabile compounds.</li> </ul>	<ul style="list-style-type: none"> <li>- High costs for the high pressure equipment needed;</li> <li>- Extractions performed at high temperatures may lead to degradation of thermolabile compounds.</li> </ul>
<b>GXL</b>	<ul style="list-style-type: none"> <li>- Can be consider as a half way from PLE to SFE by increasing the amount of compressed CO<sub>2</sub>.</li> <li>- Requires lower working pressures (compared to SCFs) and the subsequent reduction in energy consumption and costs.</li> <li>- Suitable to extract compounds with intermediate polarity.</li> </ul>	<ul style="list-style-type: none"> <li>- Can be more time-consuming than the other alternative techniques.</li> </ul>

**Figure 1.** Possibilities of increasing the production of valuable metabolites from algae.



**Figure 2.** General scheme of equipment used for SFE, CXL and PLE.



**Figure 3.** Downstream process for microalgae biorefinery

