Lipid classification of fish oil omega-3 supplements in ethyl ester and triacylglycerols forms
 by ¹H NMR and multivariate analysis

3

4 Abstract:

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The worldwide advent of concentrated supplements containing omega-3 fatty acids (FA) in the 6 7 form of triacylglycerols (TAG) or ethyl esters (EE) has increased the interest in developing methods to classify these products. The quality control based on their lipid composition has 8 9 become necessary since EE bioavailability has been proved to be lower when compared to the TAG. In this preliminary study, eight models based on ¹H NMR and supervised discriminant 10 analysis (PLS-DA/OPLS-DA) were applied to classify omega-3 fish oil in TAG or EE forms. The 11 4.0-4.5 ppm region was selected for modeling since it bracketed spectral features to discriminate 12 TAG and EE. The non-supervised principal component analysis was employed to visually evaluate 13 14 the distribution of samples and revealed a clear separation of TAG from EE marine oils along PC1. In addition, representative TAG and EE samples were 100% correctly classified using any of the 15 eight supervised models studied. The developed models resulted in high R²Y (≥ 0.977) and Q² (\geq 16 0.953), and low root mean square error for prediction (≤ 0.009), which demonstrates the high 17 potential of this rapid and straightforward procedure to evaluate the lipid form of supplements and 18 19 mislabeling.

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Keywords: principal component analysis; discriminant analysis; ethyl esters; triacylglycerol;
marine oil.

23 **1. Introduction**

Omega-3 fatty acids (FA) consumption has several positive effects on human health, being 24 recognized effective against cardiovascular and inflammatory diseases, among others (Nichols et 25 al., 2014). Fish oil supplements containing eicosapentaenoic (EPA) and docosahexaenoic (DHA) 26 are one of the most consumed supplements with a remarkable market worldwide. Natural fish oils 27 28 generally contain EPA and DHA as triacylglycerols (TAG), while concentrated supplements usually have those FA in ethyl ester (EE) form. The conversion of EE into TAG can be carried out 29 after molecular distillation, but it is very costly and commonly bypassed by manufacturers (Rubio-30 31 Rodríguez et al., 2010), which leads to a high volume of commercialized concentrated supplements composed mostly of EE. Nevertheless, incorporation of EPA and DHA into plasma phospholipids 32 has been evidenced to be significantly different, showing a better bioavailability of omega-3 FA 33 in the TAG form when compared to EE (Ghasemifard et al., 2014). For these reasons, it is 34 extremelly important to monitor FA form in fish oil supplements. 35

The increased demand for fish oil omega-3 supplements requires fast and accurate methods to verify both product quality and label accuracy. Gas chromatography is the most commonly used technique to determine the FA in fish oils (AOCS, 2013). However, previous derivatization of analytes is necessary, long and specific capillary columns are required, and methods are usually time-consuming and laborious.

On the other hand, proton nuclear magnetic resonance (¹H NMR) spectrum can be obtained in less than 1 min, a minimal amount of sample is required for experiments due to the deep length and small cross-sectional area of NMR tubes, and small amounts of organic solvents are needed (~500 µL). When considering TAG and EE, the potential of ¹H NMR (Lopes et al., 2020) and ¹³C NMR (Suárez et al., 2010) was already demonstrated for the discrimination of these

46 compounds in marine oils. Vibrational spectroscopic techniques were also employed for this purpose (Karunathilaka et al., 2020; Killeen et al., 2017). For quantitative analysis of EPA and 47 DHA, Wu and He (2014) and Wu et al. (2014) have already described methods employing NMR 48 and chemometrics, but only TAG were approached. To the best of our knowledge, NMR associated 49 with a multivariate analysis has never been used for the supervised classification of fish oils 50 51 according to their lipid form (TAG, EE). Methods developed by spectroscopic techniques associated with multivariate calibration are simple, fast, and follow the green analytical chemistry 52 principles (Gałuszka et al., 2013), due to the straightforward analysis and little waste generated 53 54 during experiments.

Overall, this work focused in developing fast and straightforward discriminating methods 55 for the classification of fish oil supplements according to the available form of FA (TAG or EE) 56 employing ¹H NMR spectroscopy and supervised discriminant analysis (partial least square 57 discriminant analysis, PLS-DA/orthogonal partial least square discriminant analysis, OPLS-DA). 58 The method of the present research can be applied to quality control analysis of fish oils in 59 industries and regulatory agencies, and it would also be very useful to verify the label accuracy of 60 these supplements. 1H NMR Spectra can be acquired in a few minutes without any complex 61 62 sample preparation, and the use of discriminant analysis permit to determine group membership of samples with minimal error using a group of predictors, which can be performed by non-63 64 experienced NMR analysts.

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66 **2. Materials and Methods**

67 2.1. Samples, Test Mixtures, and Reagents

68	Eighteen different dietary omega-3 fish oil supplements commercialized in capsules were
69	acquired from local and online markets (Brazil, Canada, Spain, and the USA). These samples were
70	used in the calibration and cross-validation steps of the PLS-DA model after classification in TAG
71	or EE by referenced chromatographic techniques (thin layer chromatography - TLC and gas
72	chromatography – GC-MS). Twelve samples were TAG, and six samples were EE.
73	Additionally, a set of 18 mixtures of pure TAG or EE fish oil samples were prepared to
74	evaluate the model performance by mixing three different pure TAG (or different pure EE). Equal
75	amounts of fish oil were added to glass tubes, mixed by gentle agitation, and stored at -80 $^\circ$ C in
76	an inert atmosphere until analyses.
77	Deuterated chloroform and 2',7'-dichlorofluorescein were acquired from Sigma-Aldrich
78	(St. Louis, MO, USA). Hexane, chloroform, ethanol, diethyl ether, and glacial acetic acid were
79	purchased from Panreac Química S.A. (Madrid, Spain).
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81 82 83 84 85 86 87	 Five mg of fish oil were dissolved in 500 μL of deuterated chloroform and inserted in a 5 mm tube for ¹H NMR analysis. Experiments were performed with spinning on a Bruker Avance III HD spectrometer operating at 500 MHz, and spectra were acquired by the Topspin 3.2 software from Bruker Biospin. No sample preprocessing was initially applied to ¹H NMR spectra. The experimental parameters for ¹ H NMR experiments were as follows: data acquisition, 3.28 s; relaxation delay, 1.0 s; pre-scan delay, 10.00 μs; total data points collected, 65536; spectral

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Sample preparation and analysis by TLC and GC-MS carried out for fish oil unequivocally classification were performed as described previously (Amorim et al., 2020).

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93 2.4 Multivariate Data Analysis

Multivariate analysis was performed in SIMCA P+ version 12.0.1 - Umetrics. Principal 94 95 component analysis (PCA) was used as an unsupervised exploratory tool to visually evaluate the distribution of all fish oil samples containing FA as TAG or EE. Data were mean-centered before 96 analysis, and three principal components (PC) were selected. Then, PLS-DA and OPLS-DA 97 98 (Bylesjö et al., 2006; Trygg and Wold, 2002) were used to predict the sample class (TAG or EE). Multivariate analysis was performed using the spectral range of 4.0-4.5 ppm (1672 data points), 99 selected based on ¹H NMR spectra interpretation. PLS-DA and OPLS-DA models were initially 100 101 developed using raw ¹H NMR spectra data. Then, some pretreatments, such as the standard normal variate (SNV) and the Savitzky-Golay's smoothing algorithm were applied, individually or 102 simultaneously, using the SIMCA P+ software package. 103

The developed models were validated internally using the leave-n-out (Shao, 1993) cross-104 validation method (18 samples) and externally using a series of TAG and EE test mixtures (18 105 106 samples), as described in section 2.1. The first step in modeling was recoding the categorical 107 variables (TAG and EE) into continuous numerical variables. A one (1) indicated a sample belonging to TAG class, and a zero (0) indicated a sample not belonging to this class (i.e., 108 109 belonging to EE class). For each unknown test sample, the model predicted a y-value, which should ideally be close to either 1 or 0. The decision rule established for fish oil classification was: samples 110 111 with predicted y > 0.5 and a deviation <0.5 belong to TAG class; samples with predicted y < 0.5112 and a deviation <0.5 belong to EE class, and samples with a deviation >0.5 can not be properly

classified. PLS-DA and OPLS-DA models were evaluated considering the root-mean square-error
of prediction (RMSEP), R²X, R²Y, Q², p-value from CV-ANOVA (Eriksson et al., 2008),
sensitivity, false negatives, specificity, false positives, Younden's index, and Matthews correlation
coefficient.

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118 **3. Results and Discussion**

119 3.1. Characteristics of ¹H NMR fish oil spectra

Fig. 1-a, and Fig. 1-b show representative ¹H NMR spectra for fish oil in TAG and EE 120 forms, respectively. The assignation of ressonances was based on Sacchi et al., (2008), Spyros and 121 Dais, (2013), and Alexandri et al., (2017). Spectra evidence similarities and differences, due to 122 both the FA composition of samples and the lipidic form of FA (TAG and EE). The main 123 124 resonances commonly found in fish oil occur at 0.85 ppm for methyl groups of saturated, n-6 and n-9 FA (signal A); 0.95 ppm for methyl groups of n-3 FA (signal B); 1.25 ppm for methylenic 125 hydrogens of acyl groups (signal C); 1.62 ppm for methylenic hydrogens in β -position of the 126 carbonyl group (signal D); from 2.02 to 2.09 ppm for methylenic hydrogens related to α single 127 double bond (signal E); from 2.2 to 2.5 ppm for methylenic hydrogens α -position of the carbonyl 128 129 group (signal F); 2.85 ppm for bis-allylic hydrogens (signal G) and at approximately 5.3 ppm 130 corresponding to olefinic hydrogens bearing the acyl group (signal H).

Signals ranging from 4.0 to 4.5 ppm are useful to differentiate TAG and EE forms in fish
oil samples. This fingerprint region was employed for subsequent PCA and discriminant analysis.
Resonances H₁ (4.15-4.35 ppm, doublet of doblet) and I (5.3 ppm, multiplet) are due to glyceryl
group hydrogens at positions *sn*-1, *sn*-3 (H₁), and *sn*-2 (I), characteristics of TAG, as illustrated in

Fig. 1-a, while resonance H₂ (4.12 ppm, multiplet) is characteristic for the terminal methylenic
hydrogen of EE forms, as illustrated in Fig. 1-b.

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138 3.2. Principal component analysis

This unsupervised exploratory tool was useful to check for anomalies and also observe 139 the distribution of samples. PC1 and PC2 described 76.59 % and 9.11 % of the variance in the 140 spectral data set, respectively. Fig. 2 shows the scores plot (A) and the loadings plot (B) of PCA. 141 Evaluation of Fig. 2-A revealed a clear separation of TAG and EE fish oils along PC1. TAG 142 143 samples (red circles) clustered in the positive PC1, whereas EE samples (blue squares) grouped in the negative scores of the same PC, which is in accordance with the loadings showed in Fig. 2-B, 144 where it is possible to see a negatively loaded band at approximately 4.15 ppm (characteristic of 145 EE) and a positively loaded band at 4.3-4.35 ppm (characteristic of TAG) in blue color (PC1 146 loadings). 147

TAG samples were grouped closer because they presented very similar omega-3 contents. All samples contained 540 mg EPA and 360 mg DHA in the daily serving size (3000 mg), according to the nutrition facts, which was also verified in a previous study (Amorim et al., 2020). EE samples, on the other hand, had very different omega 3 contents. According to the nutrition facts, supplements could provide from 120 to 1008 mg EPA and from 240 to 756 mg DHA in a daily portion, which could vary from 600 to 2800 mg FO.

Moreover, there was no evidence of outliers. Some samples were observed outside the hotteling confidence limit (e.g., sample 13, Fig 2-A), but they presented a similar NMR spectra when compared with the other samples from the same group. Then, all samples from PCA were considered in the modeling.

158 3.3 Classification of samples by PLS-DA and OPLS-DA

To classify samples as TAG or EE, PLS-DA and OPLS-DA models were built by using the raw ¹H NMR data initially, as described in section 2.3 (models M1 and M2, respectively). Then, PLS-DA and OPLS-DA models were studied using some data pre-processement (SNV in models M3 and M4, Savitzky Golay in models M5 and M6, and SNV+ Savitzky Golay in models M7 and M8).

164 Calibration models were developed using 18 commercial samples, previously analyzed 165 by TLC and GC-MS. The reference TLC method permitted to clearly distinguish TAG from EE 166 samples based on the difference in the retention factor, as depicted in Fig 3 (*i.e.*, TAG retention 167 factor = 0.6 and EE retention factor = 0.8). Also, analyses by GC-MS corroborated previous 168 classifications, since TAG and EE presented different m/z spectra and different elution times 169 (Amorim et al., 2020).

Table 1 shows Y values predicted for each fish oil sample, considering the 8 models evaluated (M1-M8). It can be observed that calculated values were very close to 1 for all TAG samples (Samples 1-12 and 19-30), whereas calculated values were very close to 0 for EE samples (Samples 13-18 and 31-36). Also, it can be noticed that PLS-DA and OPLS-DA models provided very similar results. The score plots of PLS-DA and OPLS-DA, as well the PCA models, were supplied in the supplementary material.

The performance of the studied models was measured in terms of sensitivity and specificity and considering some classification metrics (R²X, R²Y, Q², RMSEP, and p-values from CV-ANOVA), reported in Table 2. The sensitivity of the model represents the proportion of test samples belonging to the class that was correctly classified, and the specificity represents the proportion of test samples that did not belong to the class that was correctly identified 181 (Karunathilaka et al., 2019). All models studied (M1-M8) have shown 100% of both sensitivity
182 and specificity since all TAG and EE samples were correctly classified (Table 2). False negatives
183 and false positives were not identified. Younden's index and Matthews correlation coefficient were
184 equal to 1. Moreover, all models were significant since p-values < 0.05 were calculated (Eriksson
185 et al., 2008).

Even considering the models developed with ¹H NMR raw data (M1 and M2), good results were obtained (100% of test samples were classified correctly, $R^2Y \ge 0.977$, $Q^2 \ge 0.953$, RMSEP ≤ 0.009092). However, the SNV preprocessing treatment or the synergistic effect of SNV and the smoothing Savitzky-Golay algorithm provided the best prediction results, with the lowest RMSEP (≤ 0.003893) and the highest R^2Y (≥ 0.986) and Q^2 (≥ 0.968), as shown in Table 2.

Overall, the current study was successful in demonstrating the potential of ¹H NMR 191 associated with PLS-DA/OPLS-DA in the supervised classification of TAG and EE pure fish oils. 192 This approach is faster and less laborious than classical TLC or gas chromatography method and 193 requires a small amount of solvents to acquire NMR spectra. As perspectives for this preliminary 194 study, improved models could be evaluated with more complex samples, including TAG and EE 195 196 mixtures, and also considering quantitative analysis. The suitability of portable instrumentation for this same approach is also interesting to be studied. Besides, the use of ¹H NMR is 197 advantageous when compared to ¹³C NMR or two dimensional NMR techniques, due to its higher 198 throughput. Other NMR techniques associated with multivariate modeling can also be evaluated 199 200 for fish oil classification, since previous papers already reported the use of high-resolution multinuclear (¹H, ¹³C, ³¹P) and multidimensional NMR spectroscopy for fatty acids determination 201 202 in fish oils, but only signal integration was considered (Bratu et al., 2012; Dais et al., 2015; Igarashi 203 et al., 2002; Williamson and Hatzakis, 2017).

204 Conclusions

The use of ¹H NMR spectra associated with PLS-DA or OPLS-DA was successful in 205 discriminating fish oil samples according to the lipid form of omega-3 fatty acids (TAG or EE). 206 207 100% of test samples were correctly classified using the developed supervised models. The present method is extremely fast because ¹H NMR spectra can be obtained in less than 1 min. Furthermore, 208 a small amount of sample (5 mg) and solvent (500 μ L) is required, being a non-destructive analysis 209 that follows green chemistry principles. Multivariate analysis is of special interest in the context 210 of food authentication, and the association of ¹H NMR with PLS-DA offers a simple, fast, and 211 precise analysis, without requiring highly experienced analysts for data interpretation. This 212 procedure has great potential to be used in quality control analysis by industry and regulatory 213 agencies and to evaluate supplements label accuracy. 214

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Figure Captions:

Fig 1: Raw ¹H NMR spectra of a) a natural fish oil supplement containing fatty acids as triacylglycerols and b) a concentrated fish oil supplement containing fatty acids as ethyl esters.
Fig 2: Scores plot for unsupervised principal component analysis (A) and loadings plot (B).
Fig 3: Thin-layer chromatography of 18 commercial fish oil containing fatty acids as triacylglycerols (retention factor = 0.6) and ethyl esters (retention factor = 0.8).

300 Supplementary material:

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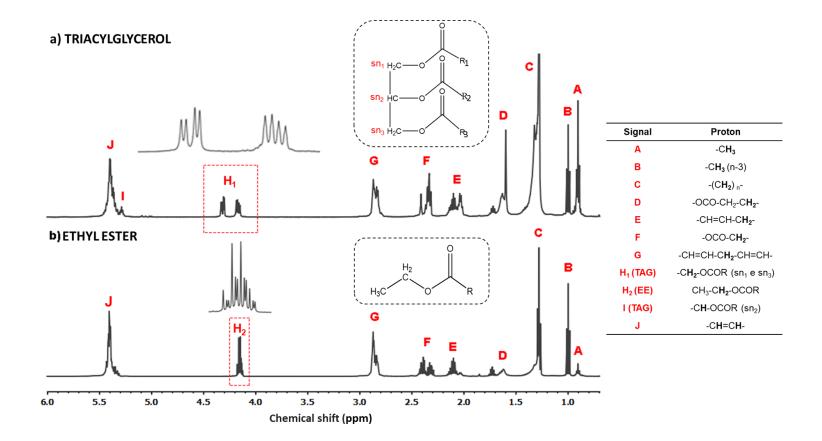
Fig 1: Score plots of PCA, PLS-DA and OPLS-DA models using raw NMR data

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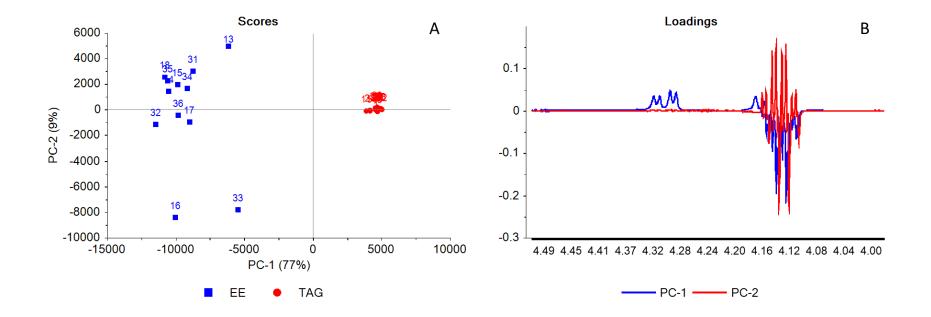
Fig 2: Score plots of PCA, PLS-DA and OPLS-DA models using SNV pre-treatment

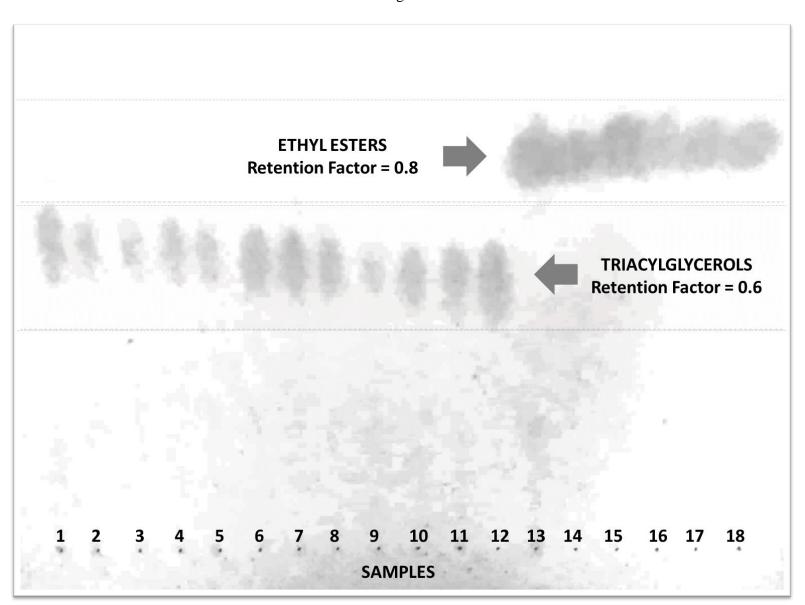
- Fig 3: Score plots of PCA, PLS-DA and OPLS-DA models using Savitzky Golay pre-treatment
- 308 Fig 4: Score plots of PCA, PLS-DA and OPLS-DA models using SNV and Savitzky Golay pre-
- 309 treatments

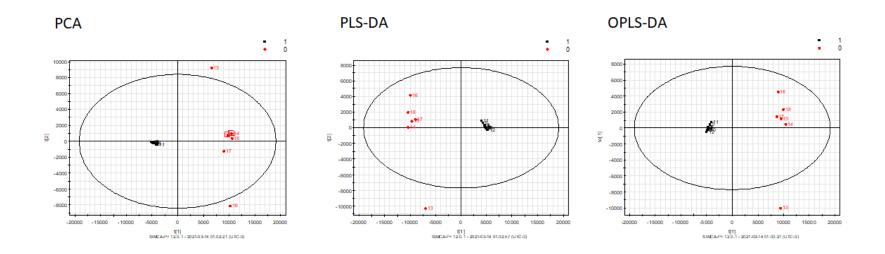
Fig 1:

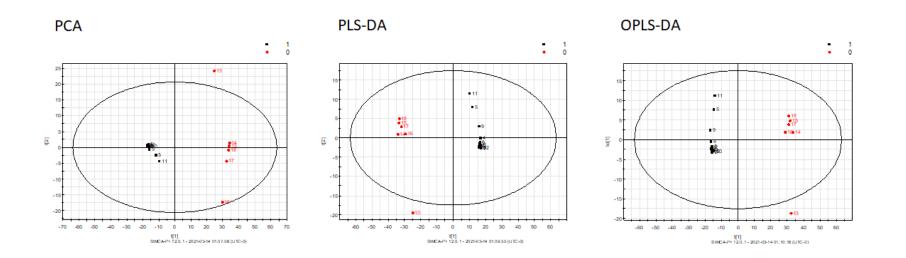




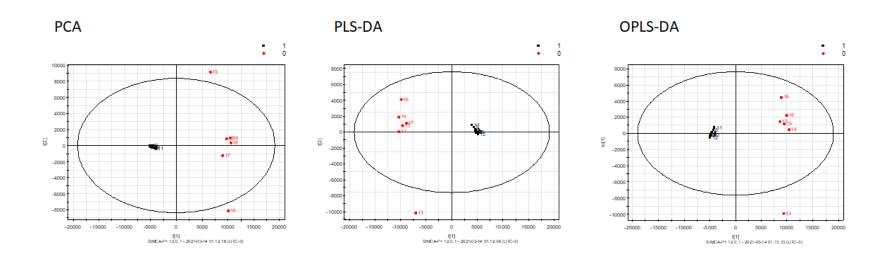








Supplementary material – Fig 3:



Supplementary material – Fig 4:

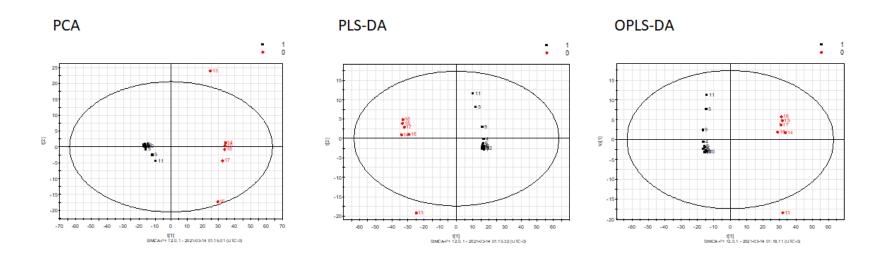


Table 1: Values predicted by partial least square discriminant analysis (PLS-DA) and orthogonal partial least squares discriminant analysis (OPLS-DA) considering ¹H NMR data. 18 commercial fish oil supplements were used for calibration and cross-validation. 18 test mixtures of pure triacylglycerol (TAG) and ethyl ester (EE) were employed for prediction. Variables: 1672.

Sample	Class	M1	M2	M3	M4	M5	M6	M7	M8
1	1	0.920728	0.920728	1.003880	1.003880	0.920692	0.920692	1.003850	1.003850
2	1	0.988301	0.988301	1.009900	1.009900	0.988276	0.988276	1.009910	1.009910
3	1	1.014260	1.014260	1.017160	1.017160	1.014240	1.014240	1.017180	1.017180
4	1	0.954589	0.954589	1.018850	1.018850	0.954566	0.954566	1.018870	1.018870
5	1	0.952465	0.952465	0.927191	0.927191	0.952410	0.952410	0.927155	0.927155
6	1	0.977477	0.977477	1.008260	1.008260	0.977457	0.977457	1.008290	1.008290
7	1	1.028460	1.028460	1.025100	1.025100	1.028440	1.028440	1.025130	1.025130
8	1	1.050920	1.050920	1.031010	1.031010	1.050900	1.050900	1.031050	1.031050
9	1	0.985482	0.985482	0.997448	0.997447	0.985446	0.985446	0.997446	0.997446
10	1	1.015640	1.015640	0.996364	0.996364	1.015590	1.015590	0.996333	0.996333
11	1	0.835497	0.835497	0.891450	0.891450	0.835464	0.835464	0.891479	0.891479
12	1	1.101960	1.101960	1.026710	1.026710	1.101940	1.101940	1.026750	1.026750
13	0	0.167281	0.167281	0.153732	0.153732	0.167271	0.167271	0.153385	0.153385
14	0	-0.068963	-0.068963	-0.059838	-0.059837	-0.069191	-0.069191	-0.059926	-0.059926
15	0	-0.026829	-0.026829	-0.044918	-0.044918	-0.027046	-0.027046	-0.044979	-0.044979
16	0	-0.012476	-0.012476	0.071331	0.071331	-0.011745	-0.011745	0.071992	0.071992
17	0	0.049226	0.049226	-0.025950	-0.025950	0.048790	0.048790	-0.026271	-0.026271
18	0	-0.057225	-0.057225	-0.033203	-0.033203	-0.057249	-0.057249	-0.032960	-0.032960
19	1	0.952315	0.952315	1.031380	1.031380	0.952300	0.952300	1.031420	1.031420
20	1	0.979996	0.979996	1.025440	1.025440	0.979964	0.979964	1.025440	1.025440
21	1	0.848386	0.848386	0.926525	0.926525	0.848341	0.848341	0.926459	0.926459
22	1	0.962761	0.962761	1.033920	1.033920	0.962748	0.962748	1.033970	1.033970
23	1	1.035950	1.035950	1.046300	1.046300	1.035930	1.035930	1.046360	1.046360
24	1	0.921948	0.921948	1.015110	1.015110	0.921928	0.921928	1.015130	1.015130
25	1	0.981954	0.981954	1.030560	1.030550	0.981936	0.981936	1.030600	1.030600
26	1	0.922431	0.922430	0.999472	0.999472	0.922404	0.922404	0.999480	0.999480
27	1	0.904375	0.904375	1.005460	1.005460	0.904357	0.904357	1.005490	1.005490
28	1	0.981430	0.981430	1.016530	1.016530	0.981401	0.981401	1.016530	1.016530
29	1	0.949256	0.949256	1.003030	1.003030	0.949224	0.949224	1.003020	1.003020
30	1	0.970858	0.970858	1.018440	1.018440	0.970841	0.970841	1.018470	1.018470
31	0	0.042654	0.042654	-0.027117	-0.027117	0.042188	0.042188	-0.027301	-0.027301
32	0	-0.103477	-0.103477	-0.051289	-0.051289	-0.103864	-0.103864	-0.051428	-0.051428
33	0	0.305957	0.305957	0.226710	0.226710	0.304396	0.304396	0.225464	0.225464
34	0	0.034751	0.034751	-0.029204	-0.029204	0.035029	0.035030	-0.028688	-0.028688
35	0	-0.050645	-0.050645	-0.040317	-0.040317	-0.050464	-0.050464	-0.039968	-0.039968
36	0	0.007548	0.007548	-0.026189	-0.026189	0.008047	0.008047	-0.025549	-0.025549

Class: 1 for TAG and 0 for EE. M1: PLS-DA/raw data; M2: OPLS-DA/raw data; M3: PLS-DA/SNV; M4: OPLS-DA/SNV; M5: PLS-DA/Savitzky Golay; M6: OPLS-DA/Savitzky Golay; M7: PLS-DA/SNV+Savitzky Golay; M8: OPLS-DA/SNV+Savitzky Golay.

Table 2: Parameters for the evaluation of models using partial least square discriminant analysis
(PLS-DA) and orthogonal partial least squares discriminant analysis (OPLS-DA) considering ¹ H
NMR data.

Model	А	N	R ² X(cum)	R ² Y(cum)	Q ² (cum)	p-values CV- ANOVA	RMSEP	Sensitivity (%)	Specificity (%)
M1	2	18	0.875	0.977	0.972	4.63E-09	0.009092	100	100
M2	1 + 1 + 0	18	0.875	0.977	0.953	1.63E-08	0.009092	100	100
M3	2	18	0.913	0.986	0.977	1.12E-09	0.003893	100	100
M4	1 + 1 + 0	18	0.913	0.986	0.968	1.35E-09	0.003893	100	100
M5	2	18	0.877	0.977	0.972	4.44E-09	0.009044	100	100
M6	1 + 1 + 0	18	0.877	0.977	0.954	1.54E-08	0.009044	100	100
M7	2	18	0.914	0.986	0.977	1.07E-09	0.003859	100	100
M8	1 + 1 + 0	18	0.914	0.986	0.968	1.28E-09	0.003859	100	100

A: latent variables; N: observations; RMSEP: root-mean square-error for prediction.