

FIG. 1. Price development of **esters and** poly-alpha olefins for synthetic automotive lubricants (Western Europe).

scenarios of these two base fluids.

Although the change in relative costing seemed to improve prospects for oleochemical-based fluids, the future of di- and polyolesters in each of the many segments of the synthetic lubricant business largely remains crystal ball watching. Close contacts, alertness, flexibility and adequate responses to changes will continue to dictate the chance of **success** in this industry.

Important aspects to consider for present development programs are:

- -the relative price developments in 1984/1985,
- -the security of supply,
- -the captive status of oil companies,
- -advances in additive technology,
- -engine builder trends,
- -developments in cost of crude oil and fuels,
- -consumer spending power,
- -legislation and importance of energy conservation,

-cost of developments in relation to the future commercial benefit (product registration).

# **Antimicrobial Agents Derived from Fatty Acids**

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# **ABSTRACT**

The author reviews his research, since 1966, for the ideal germicide. The relationship between structure of fatty acids, their corresponding esters, and antimicrobial activity is presented. Saturated fatty acids have their highest activity when the chain length is twelve carbons  $(C_{12})$  long; monounsaturated fatty acids reach their peak with palmitoleic acid ( $C_{16/1}$ ); the most active polyunsaturated fatty acid is linoleic. *Trans* isomers are not active against microorganisms. The esterification of fatty acids to monohydric alcohols leads to inactive derivatives, whereas esterification to polyhydric alcohols increases biological activity. Examples of glycerol and sucrose esters are reviewed. In general, the lauroyl derivatives are the most active. A few examples of esters as active pharmacological agents against organisms causing bovine mastitis are presented as well as the use of monolaurin (Lauricidin $\circledast$ ) as cosmetic and food preservatives. The safety and efficacy of fatty acid esters as potential germicides offer new and expanded roles for oleochemicals.

# **INTRODUCTION**

*"If* all the drugs in the pharmacopoeia save three were dumped into the ocean, it would be so much better for the patient and so much worse for the fish."  $-$ Wendell Homes

These words by an American physician are prophetic and "foresaw" the problems of today's environmental contamination. The chemical industry has helped create a veritable arsenal of weapons against microorganisms and insects. In our narcissism with this extraordinary technology developed since the early part of the 1900s, the specter of danger to ourselves and the environs was overlooked. It is only in the past few years that *Silent Springs* (1) and other similar publications started to warn us of our folly.

Today, questions about our chemical world are being raised by government, industry and consumers. How can we continue to battle the microorganisms which damage crops, are responsible for so many diseases, and in general cause much mischief to man, and not add to the problem? Sulfa drugs and antibiotics certainly have been useful  $-$  but at a price. The administration of these powerful agents has created side effects which have become more a part of the problem than the solution. The growing resistance of microorganisms to germicides is but one example.

The solution to this ever-growing problem of using chemicals to eradicate disease and pestilence is to "return to nature": to find natural (nontoxic) agents which will kill bacteria, fungi, etc., but will do little or no harm to Man or animal. In our case, this has resulted in a quest since 1966 to find the ideal germicide which could act on select cells and not have random effect on all cells. It was with this in mind that our attention was directed to the effect of fatty acids on microorganisms.

Soaps (saponified fatty acids) have been used by man since antiquity as a means for cleaning and disinfecting. The first recorded mention of "soap" was made on a  $4,000$ year-old clay tablet uncovered at Tello, Mesopotamia. In ancient times, soap was manufactured in the home from animal fat and wood ashes or lye. It was only in the 8th century A.D. that the making of soap became an industry in Italy and Spain (2).

Besides their general cleaning characteristics, soaps have been shown to be a useful antiseptic agent. Much of the early literature on the subject can be found in reviews by Bayliss (3), Kodicek (4) and Nieman (5). In subsequent years, the antifungal and bactericidal properties of fatty acids have been extensively investigated (6-8). Other reports point to the inactivation of viruses by various soaps  $(9-12)$ .

Since 1966, our laboratory has been studying structurefunction relationships to enable us to understand better the mechanisms of action of fatty acids and fatty acid derivatives. Since then, over 500 lipophilic compounds have been screened. Only a small portion of the data has been reported because of the proprietory nature of some of the findings. Much of our published work can be found in a number of recent reviews (13-16). This paper reviews only briefly the highlights of past research (Table I) and focuses more closely on the present and potential use of nontoxic germicidal agents originated from fatty acid derivatives.

# **MATERIAL AND METHODS**

Because of the broad scope of this conference, it would be less than fair to present complete details of our screening methods. It is sufficient to say that both natural and synthetic lipids were tested in a liquid broth. Lipids were obtained from usual industrial sources and/or were kindly provided by numerous colleagues. Their cooperation played a vital part in our research effort, particularly since funds for this type of research were scarce. Many of the details used in our screen can be found in several earlier papers by our group (17, 18).

Basically, the information obtained was based on effects noted after placing the compound to be evaluated in direct contact with a spectrum of different microorganisms. The

#### **TABLE 11**

**Minimal** Inhibitory Concentration (mM) of **Saturated and Unsaturated Fatty** Acids



**Antimicrobial** History of Fatty Acids (FA) and Their Esters



minimal inhibitory concentration (MIC) at 37 C could thus be determined. It is important to point out that the usual disc method used for water-soluble antibiotics gives false information for lipophilic compounds, since the amount of inhibitory activity (zone of inhibition) is limited more by a compound's failure to move off the disc (insolubility) than by its lack of biological activity per se. The disc method is never justified in screening for activity of lipophilic agents.

# **Lipids as Antimicrobial Agents**

Table II represents a good summary of our experiences in testing fatty acids, both saturated and unsaturated. Several generalities can be noted. First, saturated fatty acids exhibit their highest activity with a chain length of  $C_{12}$ (laurie acid). Second, the introduction of a *cis* double bond increases the antimicrobial activity of the fatty acid. Maximum effect was dependent, however, on chain length. In the case of monounsaturated fatty acid, maximum antimicrobial effects were found for the  $C_{16;1}$  derivatives (palmitoleic acid). Third, only the *cis* isomer was active. *Trans* fatty acids have been shown to be inactive. Fourth, whereas the addition of a second double bond (linoleic acid) increased activity, a third double bond (linolenic acid) lowered activity.

Unsaturated fatty acids - represented by acetylenic linkages tend to be less active against some types of bacteria then ethylenic unsaturation (3). In a comparative study in our laboratory, we found the acetylenic derivatives to be slightly more active (17).

The reader is urged to study the monograph "The Pharmacological Effect of Lipids" for greater details relating fatty acid structure to biological activity (19).

Having surmised which effects chain length and unsaturation had in relation to antimicrobial activity, it was of interest to compare the effect of changing the carboxyl group by reduction to either an aldehyde or alcohol group (Table III). Under these conditions the  $C_{12}$  acid, alcohol and aldehyde had approximately the same activity: a slight edge in biological activity going to the alcohol as compared to the acid (20). However, an interesting feature was that, when laurie acid was esterified to a monohydric alcohol, that antimicrobial activity was completely lost. This was true whether the alcohol was as simple as methanol or complex, as in the case of the cholesteryl laurate; both of these compounds were inactive. Also, when the terminal end of laurie acid was oxidized so that a dodecanedioic acid was formed, the dicarboxylic acid was also completely inactive. Included in this series, for reasons that were not completely clear, we also tested hydroxy laurie acid. Our results showed that this derivative was also active but not as active as lauric acid. However, in this case, esterification of the hydroxy laurie acid yielded an ester which did not lose activity as in the case of methyl laurate. This made us think that the hydroxyl group was important to the biological activity.

Because of this observation we decided to study the effects of esterification with poiyhydric alcohols (21). Some of the more readily available derivatives were those of glycerol ester. A complete series of glycerol monoesters were studied, ranging from glycerol acetate all the way up to glycerol linoleate (Table IV). The glycerol-l-laurate was the most active derivative found in our screen. Interestingly, the unsaturated fatty acids, when esterified to glycerol, became less active than their corresponding fatty acid. In the case of the straight-chain fatty acid, lauric acid, the ester was more active. All the monoglycerides were esterified in the alpha position. When we compared the glycerol-2-1aurate, or beta position, with glycerol laurate in the alpha position, we found for all practical purposes that the monoesters were identical in biological activity.

To confirm further the effect of esterification with glycerol, we studied a whole series of mono-, di- and triglycerides (20). For ease of presentation, only esters containing  $C_{10}$  or  $C_{12}$  fatty acids are listed (Table V). One can see from the table that the monoester was much more active than the  $C_{10}$  (capric acid) derivative. The 1, 3,-dicaprin has no activity. In the case of laurie acid, esterification to glycerine to form a monoester makes the derivative more active. Again the 1- and 2-monolaurin had identical activities, whereas the diesters (whether the 1,2 or the 1,3-dilaurin) had no activity. The trilaurin was totally inactive. These data suggested that it was only the monoester which had biological activity and this point continues to be emphasized in our subsequent work.

A rather complete comparison of the antifungal and antibacterial activity of glycerol and sucrose esters was made by Shibasaki et al (22). Glycerol esters and sucrose esters esterified with either  $C_8$ ,  $C_{10}$  or  $C_{12}$  fatty acids were screened for activity. Two methods were used to measure activity: an agar dilution method and a broth dilution method. Using either method,  $C_{12}$  glycerol ester was the most important derivative in terms of antifungal activity (Table VI). Both the sucrose mono- and diesters show little activity compared to the glycerol esters.

In Table VII, the same derivatives were compared for their antibacterial activity. All three monoesters of laurie acid were active. Although the diesters of sucrose,

#### TABLE I11

### Minimal Inhibitory Concentrations



#### TABLE IV

#### MIC for &-Monoglycerol Esters (mM) (21)



aNo inhibition, maximum concentration tested listed.

#### TABLE V

MIC Comparison (mM): Free Acid Form vs Glyceride Form (21)



aNo inhibition at concentrations tested. bTest not performed.

particularly the  $C_8$  and  $C_{12}$  derivatives, were active, they were not as active as the lauroyl derivative. The lauroyl derivative was about 10 times as active as either the  $C_8$  or  $C_{10}$  derivatives and the ester was about 10 times as active as lauric acid itself.

Indication of how biological activity was influenced by pH is shown in Table VIII. Here, laurie acid, monoglyceryl monolaurate and its sucrose monoester were compared at various pH. In all cases, the biological activity of the esters do not change in the same degree as one would expect for the fatty acid. Being nonionic, the monoesters are not influenced by pH, although the activity is slightly higher at the lower pH. This represents an effect of pH on the growth of the organism rather than the effect of pH on the

# **TABLE VI**

**Comparison of Antifungal Activities of Fatty Acids and Their Esters (22).** 

Drug	MIC (mM) By agar dilution method <sup>a</sup>				By broth dilution method <sup>b</sup>
	A. niger	P. citrimum	C. utilis	S. cerevisiae	C. utilis
$C_{a}$					
$M_{\rm S}^{10}$ SMC <sub>8</sub> SDC <sub>8</sub>					>2
	>4	>4	>4	>4	>2
	>4		>4	4	>2
				0.5	
	0, 5	0.5	0,5	0.5	0.5
	>4	>4	>4	>4	>2
	>4	>4	>4	>4	>2
	>4	4	4	>4	
	0, 5	0.5	0.5	0.5	0.063
$C_{10}$ $C_{10}$ $C_{10}$ $C_{11}$ $C_{12}$ $C_{12}$ $C_{12}$ $C_{12}$ $C_{13}$	>4	>4	>4	>4	>2
$SDC_{12}$	>2	>2	>2	>2	>2

MIC: Minimum inhibitory concentration.

aOn Czapek Dox's agar medium (supplemented with 0.25% yeast ext. and peptone, pll 5.6), after 30 C, 48 hr incubation.

bin Czapek Dox's medium (supplemented with 0.25% yeast ext. and peptone, pH 5.6), after 30 C, 24 hr. incubation.

# **TABLE VII**

**Comparison of Antibacterial Activities of Fatty Acids and Their Esters** (22).



aOn nutrient agar medium (pll 7.0), after 37 C, 24 hr incubation.

bin nutrient broth medium (ptl 7.0), after 37 C, 24 hr incubation.

# **TABLE VIII**

Effect of pH on Antibacterial Activities of C<sub>12</sub> Compounds Towards *B. subtilis* (22)



aBy broth dilution method.

antimicrobial agent.

In Tables IX and X, the antifungal activities of monocaprin and monolaurin were compared with some commonly used preservatives that are most popular either in the cosmetic industry or the food industry. These include the parabens, lauryl sulfate, sorbic acid and dehydroacetic acid. Both the C<sub>10</sub> and the C<sub>12</sub> derivatives have about the same activity against these fungi. However, when the monolaurin is compared with some of the other preservatives, the activity of the monoester is as high or higher than

most of the presently used preservatives. This is particularly true when compared with sorbic acid. Monolaurin is about 10 or more times as active as sorbic acid itself.

Recent papers by Beuchat (23) and Shibasaki (24) have supported the findings that the lauric acid monoglyceride is very active. Beuchat showed that monolaurin had a low MIC against *Vibrio parahoemulyticus.* Monlaurin (at 5.0  $\mu$ g/mL or less) was more effective than sodium benzoate (300  $\mu$ g/mL) or sorbic acid (70  $\mu$ g/mL).

These same ester preservatives were compared for their antibacterial activity (Table X). Again, it can be seen that the  $C_{12}$  derivative of glycerol was the most active ester. In this example, we screened the sucrose diester of  $C_8$ fatty acid. This diester was active under these conditions but was not as active as the monoester of glycerine. Butyl parabens, which is one of the more active parabens used in the cosmetic industry, and sorbic acid, a common food preservative, show only low activity under the testing conditons.

Further comparisons were made with monolaurin vs sorbic acid, phenol, methyl- and propylparabens. Table XI shows the very high activity of the monoester for grampositive organisms, much more effective than sorbic acid. The limitation of the activity of these lipid antimicrobial

# **TABLE IX**

**Comparison of Antifungal Activities of Fatty Acid Esters with Some Commonly Used Preservatives (22)** 



BpHB: butyl p-hydroxybenzoate; SLS: sodium lauryl sulfate; SA: sorbic acid; DHA: dehydroacetic acid. aBy agar dilution method.

# **TABLE X**

**Comparison of Antibacterial Activities of Fatty Acid Esters** with **Some Commonly Used Preservatives** (22)



aBy agar dilution method.

agents was seen in the fact that they have little or no activity against gram-negative organisms.

This lack of activity against gram-negative organism was a matter of concern. The reason for this resistance can be seen in Figure 1. The bacterial envelope of the grampositive and gram-negative organisms are completely different. With the gram-negative organism, there is a membranous wall composed primarily of lipopolysaccharide layers which inhibit the insertion of the antimicrobial 'lipid into the membrane. Both the gram-negative envelope and the gram-positive envelope have a peptidoglycan membrane. However, in the case of the gram-negative envelope, the outer membane has an additional lipopolysaccharide barrier. There are techniques for the removal of this barrier. The most effective method is to add a chelating agent. A chelating agent (lactic acid/ethylenediaminetetraacetic acid, EDTA) will combine with the cation bridge(s) that hold the lipopolysaccharide layer to the peptidoglycan envelope. When the metal bridge is removed, the lipopolysaccharide layer is stripped off. Under these conditions, gram-negative and gram-positive organisms react similarly to the monoglyceride. In this manner, use of a chelating agent overcomes the limitation of the fatty acid esters to gram-negative organisms.

#### **TABLE XI**

**MIC (µg/mL) of the Test Materials** 

Figure 2 shows the complex membrane of a yeast (25). In this case, the outer membrane is composed of mannan which apparently does not strongly influence the ability of the ester to insert itself into the membrane. Thus yeast, molds and fungi are susceptible to monolaurin.

An electron micrograph of an envelope virus shows that the outer coating of the virus is very similar to grampositive organisms and consequently these types of viruses are easily penetrated by lipid agents. In in vitro tests by Sands (12) and Hierholzer and Kabara (26), it was found that monoglycerides can affect susceptible viruses like Herpes I and II. Indeed, all lipid-coated viruses of this nature are susceptible to the effect of the monoglyceride. In some in vivo work currently being done in a number of laboratories, early indication reveals that indeed we may have a very effective antiherpes agent. This lead is currently being followed and we do have some anecdotal information from a double-blind clinical experiment showing that a cream composed of monolaurin was effective against *Herpes labialis.* 

# **PRACTICAL APPLICATIONS OF LIPID ANTIMICROBIAL AGENTS**

#### **Bovine Mastitis Teat-Dip**

It was of interest to seek out a number of clinical problems which we felt were amenable to solutions by the findings just presented. One of the problems identified was bovine mastitis. Because the organisms involved in mastitis were those most affected by monolaurin (Lauricidin<sup>®</sup>), we felt that this animal problem would represent a good clinical model. Lauricidin, the commercial form of monolaurin, was incorporated into a formula which had a very fast kill on *Staphylococcus aureus.* In our first series of studies, we compared our formulae with teat-dip products that are or were on the market. When our early formula of Lauricidin teat-dip was compared with products from four other sources, it was obvious, except for a dip which contained Chlorhexadine, that all the other teat dips were relatively inactive (Table XII). The three germicides that were used in that teat dip formulae were an iodophor, 8-hydroxyquinoline derivative, or a Bronpol derivative. It is interesting to note that all of these germicides are very active when tested by themselves but, when formulated into the teat dips, particularly in the presence of glycerol, they lost their activity and consequently were totally ineffective.

### **Preservation of Cosmetics**

The real test of a germicide is its use in a complex system. Cosmetic emulsions represent a whole spectrum of such systems. In data presented to the cosmetic industry (27, 28), monolaurin was shown to be a very effective and safe preservative. One example from these studies is the results obtained on preserving a protein-containing emulsion (Table XIII). In these initial experiments, high levels of





FIG. 1. Structure of the cell envelope of gram-negative and gram-positive bacteria.



FIG. 2. Schematic structure of **the yeast** cell wall (25). M **indicates**  mannan; G, glucan; P, phosphates; S, sulfur.

preservative were used (formula A). In a second series, the usual glyceryl stearate in the formula was substituted by monolaurin (27). Regardless of the challenge organisms, both cosmetic formulae were shown to resist large challenges of organisms (3.0  $\times$  10 $^{\circ}$  to 2.0  $\times$  10<sub>6</sub> CFU/mL Table XIV). These initial results were followed by studies in which optimal ratios of monoglycerides, parabens and chelator were determined (28). In these experiments of the preservative system ratio  $(1:1:1)$  was shown to be effective even at low levels (<0.3%). This was true whether O/W or W/O emulsions were used as model systems.

# **Preservation of Food**

An unusual accumulation of reports on the use of monolaurin in food products can be found in two issues of the *Journal of Food Safety* (Vol. 3, No. 2, 1981; Vol. 4, No. 1,

#### TABLE **XII**

**Comparison of Commercial** Teat-Dip Preparations



#### TABLE **Xill**

**Protein Hair Treatment Formula** 



1982). Both issues are devoted exclusively to papers on the subject. It behooves the reader who is seriously following the progress of food preservation to review these two volumes. Space and time does not allow more specific information on all these findings except to point out that Lauricidin was generally found to be more active at high rather than low temperatures. This means that, for many products, long shelf-life can be accomplished at room temperature after three days, has had its shelf life extended

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### **TABLE XIV**

# **Microbial Challenge**



A: Lauricidin (0.3%), methyl paraben (0.3%), propyl paraben (0.1%) and EDTA (0.2%).

**B:** Lauricidin (4.8%) and EDTA (0.3%).

to over four months using a monolaurin and lactic acid combination (Lauri-Lac).

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There is a wealth of accumulated information in a decade and a half of work on this subject. Although it was impossible to summarize all the data on fatty acids and their esters, I hope that these few examples will create interest and show the industry that fatty acid esters of polyhydric alcohols offer new and expanded roles for oleochemicals. Those who would like more information on this subject should obtain a copy of "The Pharmacological Effect of Lipids," printed by the American Oil Chemists' Society in 1978. This volume offers a good background on antimicrobial lipids. It is being updated by the publication of a second volume representing a symposium on the subject held in Chicago in May, 1983. Both books will give even the casual reader a firm foothold into the literature on the subject.

I believe our work has opened a number of interesting possibilities for the oLeochemical industry. The examples that I gave were but a few. Monolaurin is probably the most important of the lipids found after screening over 500 derivatives. Applications for this material in the food, cosmetic and pharmaceutical fields are rapidly expanding. Not only can products be chemically preserved but also a chemical can be added which gives protection without toxicity. Monolaurin (Lauricidin<sup>w</sup>) is accepted by all governments as being completely nontoxic and therefore can be used in products as a substitute for more toxic germicides. The replacement of mercury, formaldehyde and other toxic preservatives, in the cosmetic, food and pharmaceutical areas, represents a tremendous opportunity for formulators to produce not only microbiologically safe products but also products that when applied to the skin are compatible with those lipids already present on the surface.

**FUTURE POSSIBILITIES**