

Do phenothiazines possess antimicrobial and efflux inhibitory properties?

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1 **Do Phenothiazines Possess Antimicrobial and Efflux Inhibitory Properties?**

2 **Summary sentence:** The use of phenothiazines as antibiotic adjuvants could be invaluable in
3 the fight against antimicrobial resistance.

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7

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23 **TABLE OF CONTENTS**

24

25	ABSTRACT.....	3
26	INTRODUCTION	4
27	USE OF COMBINATION THERAPIES	5
28	PHENOTHIAZINES	6
29	History of Phenothiazines	6
30	Chemical Structure and use of Phenothiazines in the Treatment of Psychological Disorders 316
32	ANTIBACTERIAL ACTIVITY OF PHENOTHIAZINES	7
33	Ability of Phenothiazines to Affect Bacterial Cellular Replication and Morphology	9
34	Membrane Damaging Effects.....	11
35	Effects on Energy Generation	12
36	EFFLUX INHIBITORY PROPERTIES OF PHENOTHIAZINES	15
37	Efflux pumps	15
38	Chlorpromazine as an Efflux Inhibitor.....	16
39	Effect of Chlorpromazine on AcrAB-TolC Gene Expression	19
40	EFFECT OF PHENOTHIAZINES ON BIOFILM FORMATION	22
41	CAN PHENOTHIAZINES BE USED CLINICALLY AS ANTIOTIC ADJUVANTS? ...	24
42	CONCLUDING REMARKS.....	25
43	FUNDING.....	26
44	ACKNOWLEDGMENTS	26
45	REFERENCES	27
46		
47		

48 **ABSTRACT**

49 Antibiotic resistance is a global health concern; the rise of drug-resistant bacterial
50 infections is compromising the medical advances that resulted from the introduction of
51 antibiotics at the beginning of the 20th century. Considering that the presence of mutations
52 within individuals in a bacterial population may allow a subsection to survive and propagate
53 in response to selective pressure, as long as antibiotics are used in the treatment of bacterial
54 infections, development of resistance is an inevitable evolutionary outcome. This, combined
55 with the lack of novel antibiotics being released to the clinical market, means the need to
56 develop alternative strategies to treat these resistant infections is critical. We discuss how the
57 use of antibiotic adjuvants can minimise the appearance and impact of resistance. To this
58 effect, several phenothiazine-derived drugs have been shown to potentiate the activities of
59 antibiotics used to treat infections caused by Gram-positive and Gram-negative bacteria.
60 Outside of their role as anti-psychotic medications, we review the evidence to suggest that
61 phenothiazines possess inherent antibacterial and efflux inhibitory properties enabling them
62 to potentially combat drug resistance. We also discuss that understanding their mode of
63 action is essential to facilitate the design of new phenothiazine derivatives or novel agents for
64 use as antibiotic adjuvants.

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69 **INTRODUCTION**

70 The emergence of antimicrobial resistance (AMR) is seriously compromising the
71 medical advances made possible by the advent of antibiotics in the late 1920s. A review
72 commissioned by the UK government highlighted the burden that AMR places on public
73 health, in terms of morbidity and mortality and estimated that AMR would cause 10 million
74 annual deaths by 2050 (O' Neil 2016). Whilst there is contention regarding the reliability of
75 this estimate (de Kraker *et al.* 2016, Tillotson 2017), this report allowed many outside of the
76 field of AMR to acknowledge antibiotic resistance as a global public health concern.

77 Previously, antibiotic discovery, research and development (R&D) efforts were able
78 to contain the threat of drug-resistant infections. As of March 2019, there are 42 drugs in the
79 R&D pipeline; of these, only 16 are active against resistant Gram-negative “ESKAPE”
80 pathogens (*Klebsiella pneumoniae*, *Acinetobacter baumanii*, *Pseudomonas aeruginosa* and
81 *enterobacter* species) and only 11 possess a novel chemical structure (Tacconelli *et al.* 2017,
82 Trusts 2017). Given the low success rate of clinical drug development, it is likely that only
83 two to three of these agents will be approved for clinical use in the next decade (Ardal *et al.*
84 2017). Part of the reason behind this reduction in antibiotic R&D is that drug development is
85 extremely time consuming, expensive and the financial rewards for antibiotics are much
86 lower than for drugs that treat chronic illnesses. Therefore, it is important that alternative
87 strategies are developed to prolong the clinical efficacy of currently available antibiotics; one
88 such alternative approach is the use of drug combinations. Combination treatment is
89 invaluable for the treatment of many illnesses including empiric treatment of patients with
90 sepsis (Micek *et al.* 2010), bloodstream infections (Salzberger and Fatkenheuer 2017) as well
91 as those with human immunodeficiency virus (Maenza and Flexner 1998), cancer (Mokhtari
92 *et al.* 2017) and bacterial infections such as *Mycobacterium tuberculosis* (Kerantzias and
93 William R. Jacobs 2017).

94 **USE OF COMBINATION THERAPIES**

95 In terms of multidrug resistance (MDR), both antibiotic-antibiotic or antibiotic-
96 adjuvant combinations are useful for the treatment of drug-resistant infections. An adjuvant is
97 typically a compound that is not antimicrobial when administered alone, but when used in
98 combination potentiates antibiotic activity. Given antibiotic-adjuvant combinations are
99 typically used to target drug-resistance mechanisms (for example, β -lactamase inhibitors),
100 this approach is advantageous as it restores the activity of existing antibiotics. Recently,
101 efforts to produce adjuvants have included synthesising different classes of small molecule
102 inhibitors targeting efflux pumps, β -lactamases or the outer membrane (Lomovskaya *et al.*
103 2001, Powers *et al.* 2002), or modifying previously known natural chemical products
104 (Choudhury *et al.* 2016). However, drug-drug interactions and the difficulty optimising
105 appropriate dosing regimens accompany the use of drug combinations (Worthington and
106 Melander 2013). An arguably better strategy is to repurpose existing clinically-approved
107 compounds. Considering the pharmacokinetics and toxicology of these compounds are
108 already established, the use of clinically approved drugs would be invaluable in terms of
109 bypassing the costs and time that are associated with drug R&D (Schneider *et al.* 2017).

110 The utility of this strategy was indicated when systematic screening processes
111 involving previously-approved compounds in combination with clinically used antibiotics
112 revealed that many of these drugs potentiated the activity of a given antibiotic. For example,
113 a study involving the combination of 1,057 FDA approved drugs with the antibiotic
114 minocycline, revealed that 96 compounds including anti-inflammatory, antihistamine,
115 antispasmodic, psychotropic and antihypertensive drugs exhibited synergy with minocycline
116 against *Staphylococcus aureus*, *Escherichia coli* and *Pseudomonas aeruginosa* (Ejim *et al.*
117 2011). Of these, several phenothiazines were identified to not only synergise with antibiotics,
118 but also possess their own intrinsic antibacterial activity (Melander and Melander 2017).

119 **PHENOTHIAZINES**

120 **History of Phenothiazines**

121 The history of the phenothiazines began in 1876 upon the synthesis of methylene blue
122 by Henrich Caro (Varga *et al.* 2017). While methylene blue itself is a therapeutically relevant
123 compound, used as an antimalarial drug, its derivatives have amassed significant therapeutic
124 importance due to their wide functional diversity (Taurand *et al.* 2012). The first of these
125 derivatives, phenothiazine, was synthesised in 1883 by Heinrich August Bernthsen
126 (Bernthsen and Laboratorium von A. Bernthsen 1883); its insecticidal (Smith 1937),
127 antihelminthic (Swales 1939, Gordon and Sydney 1945) and antibacterial properties (Deeds
128 *et al.* 1939) were noted in the 1930s and 1940s. However, these were overshadowed when the
129 sedative properties of the phenothiazine derivatives promethazine and chlorpromazine were
130 observed in 1949 by the French army surgeon Henri-Marie Labroit. He noted that previously
131 anxious patients who received a promethazine and chlorpromazine containing ‘lytic cocktail’
132 became subdued and indifferent to their surroundings. However, Labroit had difficulty
133 convincing the medical community that phenothiazines would be useful in the field of
134 psychiatry (Ramachandraiah *et al.* 2009, Kunz 2014). Although various researchers tried to
135 prove the effectiveness of phenothiazines, it was not until Elkes and Elkes undertook a
136 successful, randomised and placebo controlled, clinical trial at The University of Birmingham
137 (UK) in 1954 that phenothiazines were universally accepted as a viable clinical option for the
138 treatment of psychological conditions (Elkes and Elkes 1954).

139 **Chemical Structure and use of Phenothiazines in the Treatment of Psychological**

140 **Disorders**

141 Phenothiazines all have the same three-ring structure containing one sulphur and a
142 nitrogen atom at positions C-9 and C-10 of the tricyclic ring, respectively (Figure 1). The
143 length of the linking alkyl connector, the terminal amine, as well as substituents at the C-2

144 position, determines the activity of the derivative (Jaszczyszyn *et al.* 2012). Phenothiazines
145 are subdivided into three groups (piperazines, piperadines or aliphatic) dependent on the
146 substituent at the nitrogen atom (Figure 2) (Archer and Hicks 1963).

147 Considered as classical antipsychotics, phenothiazines are dopamine antagonists.
148 Dopamine over-activity is believed to be a causative factor of several psychological
149 conditions, such as schizophrenia and mania (Seeman and Kapur 2000). Dopamine mediates
150 a variety of biochemical processes in the central and peripheral nervous systems via
151 interactions with dopamine receptors. The primary action of phenothiazines relies on their
152 ability to block post-synaptic D2 dopamine receptors, preventing dopamine binding and
153 further signal transduction (Creese *et al.* 1976). In schizophrenic patients, phenothiazine-
154 mediated inhibition of dopamine results in the reduction of symptoms including: psychosis,
155 hallucinations and delusions. However, phenothiazines will act non-specifically on dopamine
156 receptors affecting other cognitive pathways besides the mesolimbic pathway. In addition to
157 their dopaminergic effects, phenothiazines also have antagonistic effects on histamine,
158 serotonin, glutamine, adrenergic and acetylcholine receptors (Varga *et al.* 2017). As a
159 consequence, this causes significant extrapyramidal side effects.

160 ANTIBACTERIAL ACTIVITY OF PHENOTHIAZINES

161 Many of the phenothiazines have a broad range of antibacterial activities (both
162 bacteriostatic and bactericidal) against *Mycobacteria*, some Gram-positive and Gram-
163 negative bacteria (Table 1 and Supplementary Table 1). Both thioridazine and promazine
164 were found to have anti-commensal bacterial activity at 20 µM against 10 of 40
165 representative species of human gut bacteria (Maier *et al.* 2018).

166 **Table 1:** Summary of the antimicrobial activity of chlorpromazine.

167 **Supplementary Table 1:** Summary of the phenothiazines that have been shown to possess
168 some antimicrobial activity. The group to which this phenothiazine belongs and its clinical
169 use is described.

170 The *in vitro* activity of phenothiazines was confirmed in an animal model. Of 60
171 Swiss albino mice challenged with the median lethal dose of *Salmonella enterica* serovar
172 Typhimurium (*S. Typhimurium*), an 82% mortality rate was observed for an untreated control
173 group. However, upon treatment with trifluoperazine at 15 and 30 µg/20 g mouse (a sub
174 MIC) this mortality rate was reduced to 16% and 13%, respectively. This reduction was
175 accompanied by a decrease in the bacterial load present in the blood, liver and spleen of
176 treated mice (Mazumder *et al.* 2001). Fluphenazine and various other phenothiazine
177 derivatives showed similar protective effects in *S. Typhimurium* and *E. coli* infection
178 (Dastidar *et al.* 1995, Komatsu *et al.* 1997). Considering their large number of mammalian
179 targets, it is unsurprising that the clinical use of phenothiazines as antibiotic adjuvants is
180 limited by their cytotoxicity; chlorpromazine, fluphenazine, thioridazine, trifluoperazine and
181 triflupromazine are toxic to hepatoma tissue culture cells, with EC₅₀ values of 45 to 125 µM
182 (de Faria *et al.* 2015). Of the phenothiazines those of the piperidinic class appear to be the
183 most toxic. This cytotoxicity means the average achievable human serum levels (30-100
184 ng/ml, 0.15-2.5 ng/ml and 0.5-3.0 ng/ml for chlorpromazine, thioridazine and trifluoperazine,
185 respectively) are ~1,000 fold lower than the concentration at which anti-bacterial activity
186 occurs. However, there is a large inter-individual variation in the pharmacokinetics. An issue
187 with the pharmacological data for phenothiazines is that most is derived from steady state
188 dosing as opposed to a C_{max} for a single dose; which may be more appropriate for the use of
189 these drugs as an antibiotic adjuvant. In all cases, the metabolites are often more psychoactive
190 and persistent but little is known about their antibacterial effects.

191 Interestingly, thioridazine and chlorpromazine are concentrated upon ingestion by
192 macrophages. The MIC of chlorpromazine (>30 mg/l) and thioridazine (18 mg/l) against *S.*
193 *aureus* occurs at clinically unachievable concentrations. However, when monolayer cultures
194 of human peripheral blood monocyte derived macrophages were pre-treated with
195 chlorpromazine or thioridazine, prior to infection with *S. aureus*, a concentration of 0.1 mg/l
196 of compound completely inhibited the growth of the phagocytosed bacteria. This reduced the
197 MIC of both compounds in this environment to concentrations achievable after routine dosing
198 for the treatment of psychotic disorders (Ordway *et al.* 2002, Ordway *et al.* 2002).

199 **Ability of Phenothiazines to Affect Bacterial Cellular Replication and Morphology**

200 The phenothiazines fluphenazine, thioridazine, perphenazine and chlorpromazine
201 have been shown to bind to DNA either by intercalation with, or stacking on, the DNA helix
202 (Ben-Hur *et al.* 1980, de Mol *et al.* 1983, de Mol and Busker 1984, Viola *et al.* 2003). Upon
203 photo-ionisation there is a transfer of electrons between the DNA and the phenothiazine
204 cations; this process is linked to single stranded DNA breaks (Viola *et al.* 2003). Upon
205 intercalation with the DNA helix, the phenothiazine inhibits coiling and uncoiling of the helix
206 as well as all DNA based processes (de Mol *et al.* 1983), most notably cellular replication
207 (Sharma *et al.* 2001, Eisenberg *et al.* 2008). The degree to which phenothiazines can
208 intercalate with DNA is dependent on the guanosine-cytosine content of the DNA helix (de
209 Mol *et al.* 1983). Phenothiazines have also been shown to bind to RNA structural elements
210 with varying binding affinities (Mayer and James 2004). The ability of phenothiazines to act
211 as plasmid curing agents, at sub-inhibitory concentration, (reviewed by Buckner *et al.* 2018)
212 has been speculated to result from the ability of these drugs to intercalate DNA and inhibit
213 plasmid replication and supercoiling (Mandi *et al.* 1975, Molnar and Schneider 1978,
214 Barabas and Molnar 1980, Molnar *et al.* 1980, Molnar *et al.* 1984, Molnar and Nakamura
215 1988, Molnar *et al.* 1992, Wolfart *et al.* 2006).

216 In both prokaryotic and eukaryotic cells, phenothiazines have been widely reported as
217 calmodulin antagonists. This ability of phenothiazines to prevent the binding of calcium, to
218 calcium-binding proteins, has been suggested to form the basis of phenothiazine activity
219 against microbial cells (Doroshenko *et al.* 1988, Marshak *et al.* 2002, Martins *et al.* 2011).
220 This hypothesis is based upon data from native PAGE assays that show the phenothiazines
221 chlorpromazine and trifluoperazine prevent the SmCaM1 and SmCaM2 calmodulins from
222 *Schistosoma mansoni* shifting from a compact to an open structure, an essential
223 conformational change to allow interactions with target molecules (Vandonselaar *et al.* 1994,
224 Thomas and Timson 2018). In addition, *Candida albicans* cells grown in the presence of
225 chlorpromazine and trifluoperazine show a reduction in the activity of nuclear calmodulin.
226 This, in addition to phenothiazine-induced DNA damage, is proposed to cause a decrease in
227 cellular replication of *Candida albicans* via delayed entry into, and progression through, the
228 S and G1 phases of the cell cycle (Sharma *et al.* 2001). Thus, it has been suggested that the
229 phenothiazines initiate their pharmacological properties via interactions with the calcium
230 messenger system, inhibiting calcium binding to calmodulin, voltage-gated calcium channels
231 and protein kinase C (Ford *et al.* 1989).

232 Phenothiazines have been shown, in a species-dependent manner, to directly affect the
233 morphology of bacterial cells at sub-MIC concentrations. For example, at concentrations
234 lower than those which inhibit replication, chlorpromazine causes transient filamentation of
235 *E. coli* (Amaral and Lorian 1991) and an inability of *S. aureus* cells to divide, resulting in
236 large mesosomal-like structures (Kristiansen and Blom 1981). In addition, Amaral *et al.*
237 (2000) noted that exposure of *S. Typhimurium* to sub-MIC concentrations of chlorpromazine
238 resulted in changes in the appearance of the cell wall of a chlorpromazine-resistant mutant.
239 These changes included the loss of an unspecified 55 kDa protein. In the absence of this
240 protein, anti-O antibody was able to bind O-antigen in the presence of chlorpromazine, an

241 interaction that was initially blocked. The authors suggested that chlorpromazine binds to this
242 absent protein where it can elicit its antimicrobial effects (Amaral *et al.* 2000).

243 **Membrane Damaging Effects**

244 The change in cellular morphology has been suggested to result from the ability of
245 phenothiazines to damage the bacterial membrane of Gram-positive and Gram-negative
246 bacteria (Galeazzi *et al.* 1986). At sub-MIC concentrations, phenothiazines increase outer
247 membrane permeability and fluidity, and depolarise the plasma membrane (Kristiansen 1979,
248 Zilberstein *et al.* 1990, Kaatz *et al.* 2003). At low concentrations this membrane damage
249 causes changes in cell structure and affects the functionality of many inner and outer
250 membrane-bound proteins (Labedan 1988, Rajyaguru and Muszynski 1997, Plenge-Tellechea
251 *et al.* 2018, Wassmann *et al.* 2018). This effect of phenothiazines on the outer and inner
252 membrane may be due to the cationic charge and amphiphilic nature of the compounds. In
253 human erythrocytes and model cell membranes the amphiphilic properties of the
254 phenothiazine, chlorpromazine, has been shown to allow the hydrophobic tricyclic structure
255 to partition into the inner portion of the lipid bilayer and interact with the lipid tails, while the
256 hydrophilic propylamine tail of chlorpromazine is able to interact with the polar headgroups
257 (Jiang *et al.* 2017, Plenge-Tellechea *et al.* 2018). When present in the lipid bilayer,
258 chlorpromazine can assist in lipid translocation and has been shown to cause dissolution of
259 the lipid bilayer at high concentrations (>5 mM) (Jiang *et al.* 2017). Although limited in-
260 depth studies have been performed in bacterial cells, and despite differences in the bacterial
261 cell membrane of eukaryotes and prokaryotes, it has been hypothesised that phenothiazines
262 may affect the bacterial membrane in a similar manner described for mammalian cells
263 (Kristiansen 1979).

264 **Effects on Energy Generation**

265 Phenothiazines have been widely reported to affect the flux of ions across the
266 bacterial membrane. An increase in calcium influx and potassium efflux has been noted at
267 sub-MIC concentrations of chlorpromazine and thioridazine in a variety of bacterial and
268 fungal species including *S. aureus* and *Saccharomyces cerevisiae* (Kristiansen 1979,
269 Kristiansen *et al.* 1982, Eilam 1983, Eilam 1984, Zilberstein *et al.* 1990). The addition of
270 high concentrations of each cation partially reverses this effect, with higher concentrations of
271 phenothiazine being required to elicit the same response. The effect of phenothiazines on ion
272 flux has been shown to be dependent on the presence of metabolic energy with the removal of
273 glucose causing reversion of the cell to a pre-exposure phenotype (Eilam 1983). This
274 suggests that the phenothiazine does not affect ion flux simply through increased membrane
275 permeability. The hypothesis that phenothiazines require energy for uptake into the cell was
276 not supported as chlorpromazine was able to cross the bacterial membrane in the absence of
277 glucose (Eilam 1984). This effect of phenothiazines on ion flux has been suggested to occur
278 by one, or both, of two mechanisms. The first is a result of inhibition of calcium-dependent
279 processes, and the second is a result of disruption of cation-dependent ATPases (Eilam 1983,
280 Zilberstein *et al.* 1990).

281 The changes in ion flux induced by phenothiazines results in disruption of the
282 bacterial membrane potential and proton motive force (PMF) (Zilberstein *et al.* 1990, Kaatz
283 *et al.* 2003). Membrane potential is a difference in the electrical charge between the inside
284 and outside of the cell, with most bacterial cells having a resting membrane potential of -40
285 mV to -70 mV with respect to the outside of the cell. Any change in the flux of ions across
286 the membrane can alter the electrical potential and result in hyperpolarisation or
287 depolarisation of the membrane. The PMF is one of the ways by which cellular energy is
288 created and is dependent on both the electrical potential and pH gradients. In short, redox

289 reactions occurring as a result of electron transfer between electron carriers in the cell
290 membrane cause protons to be transported across the inner membrane, forming a
291 concentration gradient. The PMF drives protons to flow back across the inner membrane
292 along their concentration gradient. The F₀F₁ ATP synthase complex couples the energy
293 released by the PMF-driven flux of protons with the synthesis of ATP (Lodish *et al.* 2000,
294 Krulwich *et al.* 2011). Though a change in a single component of the PMF is usually buffered
295 by a counteracting increase in the other, a change in either the membrane potential or pH
296 gradient can cause a disturbance in the maintenance of the PMF, which can have detrimental
297 impacts in terms of metabolism and energy-dependent cellular process (Farha *et al.* 2013).
298 Such processes include ATP synthesis, cell division (Strahl and Hamoen 2010), efflux of
299 toxic substances (Paulsen *et al.* 1996), flagellar motility (Manson *et al.* 1977) and nutrient
300 uptake (Tanaka *et al.* 2018).

301 Phenothiazines have been shown to inhibit many ATPases found in eukaryotic and
302 microbial cells, including: F₁F₀-ATPase, Na⁺/K⁺-ATPase, Ca²⁺/Mg²⁺-ATPase and Ca²⁺-
303 ATPase (Bullough *et al.* 1985, Dabbeni-Sala and Palatini 1990, Bhattacharyya and Sen
304 1999). Inhibition of ATPases is hypothesised to result from the ability of certain
305 phenothiazines to change the conformation of these membrane-associated protein complexes.
306 For example, photoactivated chlorpromazine and trifluoperazine are able to covalently bond
307 with different locations of F₁ and F₀ of F₁F₀-ATPase causing irreversible inhibition (Dabbeni-
308 Sala and Palatini 1990). Plenge-Tellechea *et al.* (2018) revealed that chlorpromazine at 0.1-1
309 mM inhibits hydrolytic activity of the erythrocyte Ca²⁺-ATPase. This inhibition was
310 suggested to result from the ability of chlorpromazine to disturb the lipid bilayer and thus
311 interfere with the functionality of the membrane-associated proteins (Plenge-Tellechea *et al.*
312 2018). However, at this concentration chlorpromazine does not irreversibly modify the
313 membrane environment or affect the lipid content. Effects of chlorpromazine on calmodulin

were dismissed upon the observation that increasing concentrations of calcium restores hydrolytic activity of Ca^{2+} -ATPase. These results indicate that the drug interacts directly with the enzyme; computational modelling supports this by showing the presence of two potential chlorpromazine binding sites within Ca^{2+} -ATPase (Plenge-Tellechea *et al.* 2018). At high concentrations ($>100 \mu\text{M}$) chlorpromazine is also able to significantly change the conformation of Na^+/K^+ -ATPase and $\text{Ca}^{2+}/\text{Mg}^{2+}$ -ATPase (Bhattacharyya and Sen 1999).

Detailed experiments of the interaction of phenothiazines with ATPases have been primarily conducted using those from mitochondrion or erythrocytes. However, ATPases from bacterial sources possess very similar structural and functional features and may be expected to respond to phenothiazines in a similar manner. Given that ATP synthases play the primary role in energy generation, inhibition of these proteins by phenothiazines may lead to significant detrimental cellular effects.

Phenothiazines are able to interfere with the respiratory chain in *M. tuberculosis*. Weinstein *et al.* (2005) showed that oxygen is rapidly consumed upon the addition of nicotinamide adenine dinucleotide (NADH) to *M. tuberculosis* membrane particles, a consumption which is inhibited by 1 mM of trifluoperazine (Weinstein *et al.* 2005). The restoration of respiration by the addition of ascorbic acid and 3,3,5,5-tetramethylphenylenediamine, indicated this inhibition occurred upstream of the cytochrome *c* complex. Subsequent titration experiments of NADH: quinone 2 oxidoreductase activity revealed that inhibition of oxygen consumption may be related to the inhibition of Type-2 NADH dehydrogenase (NDH-2) homologues by chlorpromazine and thioridazine with IC_{50} values of $\sim 10 \mu\text{M}$ (Weinstein *et al.* 2005). NDH-2 plays an important role in oxidative phosphorylation, which is involved in the generation of respiratory ATP and consists of two processes; chemiosmosis and the electron transport chain. Electrons are able to enter the electron transport chain through NDH-2 and the subsequent redox reactions that occur result

339 in proton translocation, allowing for the establishment of the PMF, which in turn, activates
340 ATPsynthase to generate cellular ATP. Inhibition of NDH-2 may potentially collapse the
341 PMF and lead to a reduction in the generation of ATP. However, outside of *M. tuberculosis*,
342 in many bacteria NDH-2 is not essential for survival and the production of ATP by oxidative
343 phosphorylation can be compensated for by the utilisation of fermentable carbon sources
344 using substrate level phosphorylation (Hunt *et al.* 2010). While important in the context of
345 aerobic bacteria, the observation that inhibition of NDH-2 by phenothiazines may not be
346 relevant when considering the action of these inhibitors against facultative anaerobic
347 organisms including Staphylococci, *E. coli* and *Salmonella*.

348 **EFFLUX INHIBITORY PROPERTIES OF PHENOTHIAZINES**

349 **Efflux pumps**

350 Located in the cell membrane of Gram-positive and Gram-negative bacteria, efflux
351 pumps recognise toxic substances that have breached the bacterial cell wall entering the
352 cytoplasm or the periplasm. Once recognised, efflux pumps extrude them to the external
353 environment. Efflux pumps may be specific for a single substrate, or they may export a wide
354 variety of structurally unrelated compounds. Substrates include: antibiotics, dyes, biocides
355 and degradation products from cellular metabolism .

356 Efflux pumps are classified by their structure, the number of transmembrane domains
357 they contain and their substrates. In prokaryotes there are six major super-families; the major
358 facilitator superfamily (MFS), the resistance nodulation division (RND) family, the small
359 multidrug resistance (SMR) family, the ATP binding cassette superfamily (ABC), the
360 proteobacterial antimicrobial compound efflux (PACE) family and the multidrug and toxic
361 compound extrusion (MATE) family. These six families are grouped into two classes
362 dependent on their energetic requirements; primary transporters that utilise the energy of ATP

363 hydrolysis (ABC) and secondary transporters (RND, MATE, MFS, PACE and SMR) that
364 rely on the energy produced from transmembrane electrochemical gradients (Li and Nikaido
365 2009).

366 Inhibition of efflux may possibly occur via a number of mechanisms: competitive
367 inhibition, non-competitive inhibition, interference with the outer membrane channel,
368 collapse of the mechanism required for the production of the energy, interference with
369 expression of a component of the tripartite pump, disruption of the assembly of the tripartite
370 structure and changes in the structure of pump substrates (Opperman and Nguyen 2015).

371 **Chlorpromazine as an Efflux Inhibitor**

372 While the antimicrobial activities of phenothiazines generally occur at concentrations
373 greater than those clinically achievable, the ability of phenothiazines to prevent selection of
374 antibiotic-resistant bacteria at sub-inhibitory concentrations was noted as early as 1969.
375 Manion *et al.* (1969) observed that isoniazid resistance in *Mycobacterium* can be delayed or
376 prevented when combined with sub-inhibitory concentrations of phenothiazine (Manion *et al.*
377 1969, Kristiansen *et al.* 2007). The mechanism was not reported.

378 Chlorpromazine and other phenothiazines display synergy with and potentiate the
379 activity of efflux pump substrates for many bacteria including *S. aureus* (Kaatz *et al.* 2003),
380 *Salmonella* (Bailey *et al.* 2008) and *E. coli* (Amaral *et al.* 2011) (Table 2 and Supplementary
381 Table 2). However, the mode of efflux inhibition is poorly understood. The nature of their
382 interaction with efflux proteins or substrates, or even if such an interaction exists, is currently
383 unknown. In terms of this review, efflux inhibition by phenothiazines is summarised for the
384 RND transporter AcrAB-TolC as most research has been carried out in this context.

385 **Table 2.** Summary of the published antibiotic potentiation by chlorpromazine. Where N/D is
386 written no information on fold decrease in MIC is available.

387 **Supplementary Table 2.** Summary of the published antibiotic potentiation by
388 phenothiazines. Where N/D is written no information on fold decrease in MIC is available.

389 AcrAB-TolC is a tripartite system involving an inner membrane transporter (AcrB)
390 complexed with a periplasmic adaptor protein (AcrA) and an outer membrane protein (TolC)
391 (Du *et al.* 2018). In *E. coli*, AcrAB-TolC is regulated via global and local transcriptional
392 regulation; locally by AcrR which represses *acrAB* transcription and globally by the
393 AraC/XylS transcriptional activators MarA, SoxS and Rob (Weston *et al.* 2017). Although
394 not present in *E. coli*, in many other Enterobacterales, such as *S. Typhimurium*, *Klebsiella*
395 *pneumoniae* and *Enterobacter cloacae*, RamA, a homologue of MarA, is also involved
396 (Schneiders *et al.* 2003, Bailey *et al.* 2008, Blair *et al.* 2015, Raczkowska *et al.* 2015).

397 Efflux inhibition may be competitive or non-competitive. Non-competitive in that the
398 compound prevents the protein from functioning (either by preventing the conformational
399 changes that are essential for extrusion, preventing pump assembly or blocking the exit
400 channel), or competitive where the inhibitor is a preferential substrate and is extruded into the
401 extracellular environment instead of, or before, the antibiotic. In both situations, the antibiotic
402 remains within the cell where it can interact with its intracellular target. Bailey *et al* (2008)
403 revealed that chlorpromazine had a poor antimicrobial effect against wild-type *S.*
404 *Typhimurium*, with MIC values of 512-1,024 µg/ml (Bailey *et al.* 2008). However,
405 hypersusceptibility to chlorpromazine, and other phenothiazines, was seen in strains with
406 deletions in efflux pump genes (*acrB*, *acrD*, *acrF* and, *tolC*) or regulatory genes (*marA* and
407 *ramA*). The greatest extent of hyper-susceptibility occurred in strains with mutations in *acrB*
408 or *tolC*, suggesting that chlorpromazine may be a substrate of the AcrAB-TolC efflux pump.
409 This hypersusceptibility to phenothiazines (chlorpromazine and thioridazine) for *S.*
410 *Typhimurium* strains lacking *acrB* or *tolC* was confirmed by Yamasaki *et al.* (2016)
411 (Yamasaki *et al.* 2016). In addition, overexpression of *acrAB* or *acrEF* conferred resistance

412 to chlorpromazine and thioridazine for a *AacrB* *S. Typhimurium* strain (Yamasaki *et al.*
413 2016). This, combined with the synergy that occurs when chlorpromazine is combined with a
414 range of antibiotics, provides data to suggest that chlorpromazine may interact with the
415 AcrAB-TolC system and behave as an efflux inhibitor, binding preferentially to antibiotic
416 binding sites giving rise to intracellular accumulation of the substrate.

417 While changes in the MIC of efflux pump substrates in the presence and absence of
418 efflux inhibitors provides valuable information, this approach has limited sensitivity to detect
419 antibiotic potentiation, largely because subtle differences are often difficult to determine. The
420 degree of efflux inhibition can be determined by measuring efflux directly, or by measuring
421 substrate accumulation in the presence of a putative inhibitor. The most commonly used of
422 these methods rely on measuring the fluorescence of an efflux pump substrate that is able to
423 intercalate DNA; usually either ethidium bromide or Hoescht H33342. The greater the extent
424 of efflux inhibition, the higher the level of substrate fluorescence due to intracellular
425 accumulation (Blair and Piddock 2016).

426 Phenothiazines, at sub-inhibitory concentrations, give rise to increased accumulation
427 of ethidium bromide and antibiotics such as norfloxacin and ciprofloxacin (Kaatz *et al.* 2003,
428 Bailey *et al.* 2008, Amaral *et al.* 2011). This occurs in wild-type, efflux-deficient (*ΔtolC* *S.*
429 *Typhimurium*) and MDR strains (e.g. *norA* over-expressing *S. aureus* strains) (Kaatz *et al.*
430 2003). Bailey *et al.* (2008) showed that chlorpromazine exerted no inhibitory effects when
431 used against an *acrB*-deficient strain; perhaps because chlorpromazine is no longer able to
432 interact with its binding site (Bailey *et al.* 2008, Yamasaki *et al.* 2016). This supports the
433 hypothesis that certain phenothiazines (e.g. chlorpromazine) may directly interact with
434 individual components of efflux pumps and behave as competitive inhibitors. Considering
435 AcrB is a major contributor to efflux of many compounds, when it is no longer present,
436 inhibition of (usually) minor efflux systems has a minimal effect. Yamasaki *et al.* (2016)

437 confirmed that exposure to chlorpromazine or thioridazine does not increase ethidium
438 bromide accumulation in $\Delta acrB$ *S. Typhimurium*. However, the authors do not discuss that
439 the data shows both phenothiazines cause a concentration-dependent increase in the initial
440 accumulation of ethidium bromide (Yamasaki *et al.* 2016). Given that ethidium bromide
441 accumulation may be affected by factors including changes in cell permeability, the initial
442 increase in ethidium bromide accumulation may be due to the ability of chlorpromazine to
443 permeabilise the membrane allowing a greater initial influx of this compound (Coldham *et al.*
444 2010).

445 **Effect of Chlorpromazine on AcrAB-TolC Gene Expression**

446 Bailey *et al.* (2008) determined the effects of chlorpromazine on expression of the
447 *ramA* and *acrB* genes of *S. Typhimurium*. Chlorpromazine caused an increase in the
448 expression of *ramA*, whilst simultaneously causing a reduction in the expression of *acrB*.
449 This reduction in expression correlated with an increase in the susceptibility of *S.*
450 *Typhimurium* for a variety of AcrAB-TolC substrates (Lawler *et al.* 2013). Furthermore,
451 chlorpromazine and other phenothiazines increased the expression of *ramA* to levels greater
452 than those observed in response to inactivation of *acrB*. Although inactivation of the
453 transcriptional activator *ramA* conferred increased susceptibility to chlorpromazine (Bailey *et*
454 *al.* 2008), data indicates that chlorpromazine does not directly induce the expression of *ramA*.
455 It was proposed that the bacterium compensates for lack of AcrB via a positive feedback
456 mechanism on *ramA*. This may occur from increased intracellular accumulation of
457 metabolites that may bind to the transcriptional repressor RamR, increasing *ramA*
458 transcription (Lawler *et al.* 2013). Upon removal of chlorpromazine, the amount of the RamA
459 protein decreases to pre-exposure levels. *Salmonella* strains with a non-functional Lon
460 protease are unable to degrade RamA and thus the abundance of this protein is not reduced
461 post-chlorpromazine exposure (Ricci *et al.* 2014). Lon protease mediated degradation of

462 transcriptional activators is dependent on the energy of ATP hydrolysis. If chlorpromazine
463 interferes with the ability of the bacterial cell to produce ATP, the Lon protease will be
464 rendered non-functional and unable to degrade RamA, accounting for the increased
465 expression of this activator seen in the presence of chlorpromazine (Ricci *et al.* 2014).

466 **Non-selectivity of phenothiazines as efflux inhibitors**

467 Data suggests that phenothiazines have multiple modes of action including effects on the
468 bacterial membrane, cellular replication and energy generation, as well as several effects on
469 mammalian cells. Therefore, while many of these compounds may be substrates of AcrAB-
470 TolC and directly interact with this protein complex, it is unlikely that their efflux inhibitory
471 effects are selective. Indeed, their non-specific effects may contribute to their ability to
472 inhibit efflux.

473 Considering that many efflux pumps, including AcrAB-TolC, are proton/substrate
474 antiporters driven by the PMF (Blair *et al.* 2015), efflux is inhibited upon interference with
475 the ability of the bacterial cell to generate or maintain an energised cell membrane. Amaral *et*
476 *al.* (2011) and Rodrigues *et al.* (2009) revealed that the increased accumulation of ethidium
477 bromide caused by *N*-hydroxylalkyl-2-aminophenothiazines at pH 7.4 is significantly reduced
478 in the presence of glucose (Rodrigues *et al.* 2008, Amaral *et al.* 2011). This suggests that the
479 addition of a source of metabolic energy is able to reverse the inhibitory effects of
480 phenothiazines and demonstrates the role that such energy plays in the activity of the *E. coli*
481 AcrAB-TolC efflux pump.

482 As stated above, studies have suggested that chlorpromazine interferes with calcium
483 binding to calcium-binding proteins (Molnar *et al.* 1997). Martins *et al.* (2011) noted that at
484 pH 8.0, the chlorpromazine-induced accumulation of ethidium bromide was decreased by the
485 addition of calcium chloride (Martins *et al.* 2011). The author speculated that chlorpromazine

486 interferes with the binding of calcium to calcium-dependent ATPases, thus inhibiting the
487 hydrolysis of ATP. The consequent lack of protons then collapses the PMF, inhibiting efflux.
488 Upon addition of calcium chloride, the excess calcium ions out-compete chlorpromazine and
489 bind to calcium-binding proteins which reverses the efflux inhibition and allows the efflux of
490 ethidium bromide.

491 However, the generation and hydrolysis of ATP by calcium-dependent ATPases is
492 only one avenue by which ATP can be produced and hydrolysed, and does not take into
493 consideration calcium-independent generation of ATP. For example, the F₀F₁ ATPase (and
494 many other ATPases) is not calcium dependent and ATP will continue to be produced and
495 hydrolysed in the absence of this ion. Therefore, it is unlikely that any net loss of ATP
496 generation as a result of inhibition of the calcium dependent ATPases is sufficiently large
497 enough that it cannot be ameliorated by the activity of other enzymes.

498 Apart from chlorpromazine, little work has been done regarding the mode of action
499 of phenothiazines as efflux inhibitors. However, recently Wassmann *et al.* (2018) selected for
500 *S. aureus* mutants resistant to thioridazine. These mutants contained mutations in *cls*,
501 important for the synthesis of membrane cardiolipin. Given that thioridazine interacts with
502 negatively charged phospholipids, the authors proposed that thioridazine may bind to
503 cardiolipin allowing it to pass into, and accumulate within, the cytoplasmic membrane. This
504 disturbance of the membrane in turn damages the electrochemical gradient giving rise to
505 inhibition of a variety of energy-dependent processes. Interestingly, growth kinetic
506 experiments revealed that while deletion of *cls* results in resistance to thioridazine, the strain
507 shows a growth kinetic profile similar to the wild type when thioridazine was used in
508 combination with dicloxacillin. Therefore, while cardiolipin was suggested to be important
509 for the bactericidal activity of thioridazine it is not essential when considering the ability of
510 thioridazine to potentiate the activity of antibiotics.

511 **EFFECT OF PHENOTHIAZINES ON BIOFILM FORMATION**

512 Many persistent and chronic bacterial infections are linked to the formation of
513 biofilms (Flemming *et al.* 2016). Given that changes in the expression of genes encoding
514 efflux and transporter proteins occurs during the establishment of a biofilm, efflux pumps
515 have been suggested to be involved in their formation and maintenance. Up-regulation of
516 genes encoding efflux and transporter proteins is a common feature of many biofilms. the
517 transcriptional profiles of the *E. coli* UTI strains 83972 and VR50 showed that 128 of the 600
518 genes upregulated during biofilm growth encoded efflux pumps and other transporters (Kvist
519 *et al.* 2008). In addition, transposon mutagenesis of *E. coli* revealed that the efflux genes
520 *emrY*, *fsr* and *emrE* were essential for biofilm growth. Further studies have also shown that *E.*
521 *coli* and *Salmonella* strains lacking *acrB*, *acrD*, *acrE*, *mdtE* and *emrE* grew poorly in a
522 biofilm when compared to the wild-type strain (Han *et al.* 2010, Baugh *et al.* 2012). Alav *et*
523 *al* have recently reviewed the interplay between biofilm formation and efflux pumps (Alav *et*
524 *al.* 2018).

525 It is unclear whether inhibition of efflux pumps will inhibit the formation or
526 maintenance of a biofilm. At sub-MIC concentrations, thioridazine and chlorpromazine have
527 been shown to inhibit the formation of biofilms in the following organisms: *Francisella*
528 *novicida* (Dean and van Hoek 2015), *E.coli* MG1655 (Baugh *et al.* 2014), *E. coli* F18, *E. coli*
529 UTI strains 83972 and VR50, *S. aureus* NCTC 8532 (Baugh *et al.* 2014), *P. aeruginosa*
530 PAO1 (Baugh *et al.* 2014), *Proteus mirabilis* (Nzakizwanayo *et al.* 2017), *S. Typhimurium*
531 (Baugh *et al.* 2012) and *K. pneumoniae* I222-86 (Nzakizwanayo *et al.* 2017), as well as
532 clinical isolates of *Proteus mirabilis*, *E. coli* and *P. aeruginosa* (Nzakizwanayo *et al.* 2017).
533 *P. mirabilis* possesses the Bcr/CflA efflux system that is essential for the development of
534 biofilms by this species. Thioridazine at half-MIC reduced the rate of biofilm formation by *P.*
535 *mirabilis* on catheters, In silico modelling predicted an interaction between thioridazine and

536 the hydrophobic binding pocket of the Bcr/CflA efflux system (Nzakizwanayo et al. 2017).
537 This suggests that part of the mode of action may be as a competitive inhibitor of efflux.

538 The establishment and maintenance of a biofilm is regulated by quorum sensing (cell-
539 to-cell signalling). In *F. novicida* the observed biofilm inhibition by phenothiazines was
540 dependent on the virulence factor QseC, a quorum sensing histidine kinase that forms part of
541 the QseBC two-component system (Dean and van Hoek 2015). QseBC is also found in *E.*
542 *coli* and shares homology with PmrAB of *S. Typhimurium* suggesting that phenothiazines
543 may inhibit quorum sensing. In turn, this will have downstream impacts on virulence factor
544 production, motility and biofilm formation. Some bacterial species containing deletions in
545 efflux pump genes are unable to secrete quorum sensing signals and thus form a biofilm.
546 Similarly, compounds that are known to inhibit efflux via disturbance of the PMF (CCCP)
547 have also been shown to inhibit quorum sensing in *E. coli* by preventing extrusion of toxic
548 quorum sensing signals (Varga et al. 2012). Given this, the inhibition of biofilms by
549 phenothiazines may indirectly result from inhibition of efflux pump activity by disturbances
550 to the PMF.

551 In enterohemorrhagic *E. coli*, QseBC acts as a virulence factor responsible for
552 activating transcription of motility genes (Clarke et al. 2006). This implies that
553 phenothiazines decrease biofilm formation by inducing a response that increases motility,
554 allowing the bacterium to move away from the toxic inhibitor. The ability of phenothiazines
555 at sub-inhibitory concentrations to inhibit motility and swarming has also been shown in *P.*
556 *vulgaris* (Molnar et al. 1992). Considering the flagellum is energised by transmembrane ion
557 gradients, it was postulated that the ability of phenothiazines to inhibit motility results from
558 inhibition of the bacterial proton gradient. Type IV pili are another key virulence factor that
559 contribute to both motility and the ability of the bacterium undergo homologous
560 recombination (Craig et al. 2004). Recently, Denis et al (2019) reported that trifluoperazine

561 (at sub-inhibitory concentrations) is able to affect the functionality of Type IV pili as seen by
562 a reduction in pili-dependent twitching motility and subsequent dispersal of aggregates
563 produced by *Neisseria meningitidis* and *Neisseria gonorrhoeae*. This was not observed in a
564 retraction-defective $\Delta pilT$ mutant or a mutant overexpressing the outer membrane protein
565 PilC. Of note, all piperazine and piperidine classes of phenothiazines, but not the aliphatic
566 class (with the exception of promazine), induced aggregate dispersal of meningococcal
567 aggregates. *N. meningitidis* mutants resistant to trifluoperazine and thioridazine were found to
568 contain mutations in the Na^+ pumping NADH: ubiquinone oxidoreductase complex (Na^+ -
569 NQR). This respiratory chain enzyme is essential in the maintenance of an inner membrane
570 Na^+ gradient. The accompanying mutations in *lgtE* or *galE* may compensate for the resulting
571 osmotic stress by altering lipopolysaccharide structure. This, in combination with the
572 observation that the addition of NaCl inhibits the aggregate dispersal activity of the
573 phenothiazines, suggests these compounds are able to affect bacterial motility via alterations
574 to the inner membrane Na^+ gradients . Given that the Na^+ gradient allows electrons to enter
575 the electron transport chain disruption of Na^+ -NQR may have downstream impacts on the
576 ability of the cell to generate the energy required for other crucial biosynthetic pathways .

577 **CAN PHENOTHIAZINES BE USED CLINICALLY AS ANTIBIOTIC ADJUVANTS?**
578

579 Several questions arise from the use of phenothiazines in psychiatry that could be
580 useful for determining their clinical impact as antibiotic adjuvants. For instance, are patients
581 who receive phenothiazines less likely to have a bacterial infection or does phenothiazine
582 administration improve the clinical outcome of patients with bacterial infections treated with
583 antibiotics? In addition, given that the usefulness of efflux inhibitors will be limited if
584 bacteria develop resistance to the adjuvant, does bacterial resistance to phenothiazines occur

585 in commensal organisms in patients administered this drug for its neuroleptic properties?

586 Unfortunately, there are currently no published studies addressing these questions.

587 Another question often raised about the use of these drug combinations is whether the drug-

588 drug interactions of antibiotics and phenothiazines limit their use in combination?

589 Phenothiazines and many antibiotics share a similar organ distribution and very few

590 antibiotics interact negatively with phenothiazines . However, there are no published studies

591 showing that phenothiazines synergise with antibiotics *in vivo*. Drug interactions are highly

592 complex and mechanistically relevant models will

593 need to be built to determine whether phenothiazines synergise or enhance the activity of

594 antibiotics in a clinically useful manner. In addition, the concentrations at which

595 phenothiazines can be administered therapeutically without cytotoxicity is ~1,000 fold lower

596 than the concentration at which antibiotic-adjuvant activity is observed. Therefore, the

597 current clinical usefulness of these compounds may be limited. However, understanding the

598 mode of action of phenothiazines as efflux-adjuvants may allow for the design of

599 phenothiazine derivatives or novel compounds as efflux inhibitors without the accompanying

600 cytotoxicity.

601 **CONCLUDING REMARKS**

602

603 Phenothiazines have been very useful clinical agents within the field of psychiatry and

604 many of their additional biological properties, although largely overlooked, have been known

605 for many years. Over the last decade, researchers have begun to study the diverse activities of

606 the phenothiazines for use as antibiotic adjuvants. Phenothiazines have been shown to

607 interfere with cellular replication, affect cellular energy generation, possess plasmid curing

608 properties and inhibit biofilm formation. Of particular interest is the evidence to suggest that

609 phenothiazines are efflux inhibitors, capable of potentiating the antimicrobial activity of

610 existing antibiotic and increase the intracellular concentration of antibiotics. Considering that
611 the pharmacokinetics and toxicology of phenothiazines are well-described, these compounds
612 could be useful as antibiotic-adjuvants. Unfortunately, the cytotoxicity of these compounds
613 will limit their clinical use. The rational design of more active and less cytotoxic efflux
614 inhibitors, either novel compounds or phenothiazine derivatives will be achieved through
615 understanding of the mechanisms of phenothiazine activity against bacteria. Irrespective of
616 their clinical use, the use of phenothiazines in academic research has greatly enhanced the
617 understanding of many biological systems including plasmid conjugation, biofilm formation
618 and efflux pumps.

619

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628

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