

1 **Monitoring of warfarin therapy: preliminary results from a longitudinal pilot study**

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16 **Highlights**

- 17 ➤ Methods for the analysis of warfarin and its metabolites in oral fluid.
- 18 ➤ Patients undergoing warfarin therapy were longitudinally monitored over time.
- 19 ➤ Reduced variability of warfarin response if single patients are followed over time.

20 **Abstract**

21 The aim of this study was to investigate the relationship between warfarin dosage,
22 international normalized ratio, plasma and oral fluid concentrations of warfarin, RR/SS- and
23 RS/SR-warfarin alcohols. Nine patients on long-term warfarin therapy (4 with stable and 5 with
24 unstable international normalized ratio values) were longitudinally monitored for over two months
25 by recording warfarin dosage and measuring international normalized ratio, warfarin and warfarin
26 alcohols concentrations in oral fluid and in plasma.

27 At equivalent dose (24 vs 22 mgweek⁻¹) and international normalized ratio (2.5 vs 2.2), stable
28 patients showed nearly double plasma warfarin (4200 vs 2000 nM, $p < 1E-4$), unbound plasma
29 warfarin (35 vs 16 nM, $p < 1E-4$), and nearly triple oral fluid warfarin (18 vs 7 nM, $p < 1E-4$)
30 concentrations compared to unstable patients. Correlations between warfarin dosage and total
31 plasma concentration of warfarin ($r = 0.65$, $p < 0.01$) or RS/SR-warfarin alcohols ($r = 0.66$, $p < 0.01$),
32 as well as between stimulated oral fluid and total plasma concentrations of warfarin ($r = 0.72$, p
33 < 0.01) and RS/SR-warfarin alcohols ($r = 0.95$, $p < 0.01$) suggest that the relative changes of the oral
34 fluid concentrations of these species may provide clinically useful information for monitoring
35 individual patients. Follow-up data revealed that even in the absence of changes of warfarin dose,
36 the oscillations of plasma and oral fluid of RS/SR-warfarin alcohols parallel oscillations of
37 international normalized ratio. Due to the long delay of its biological action, monitoring the plasma
38 concentration of warfarin might help to predict variations of international normalized ratio and
39 prevent the risk of thrombotic or haemorrhagic events. The information collected suggests that non-
40 invasive monitoring of warfarin in oral fluid might represent a suitable tool for this purpose.

41

42 **Keywords:** Warfarin, Warfarin alcohols, international normalized ratio, oral fluid, plasma

43 1. Introduction

44 Vitamin K is necessary to convert inactive precursors of vitamin k-dependent coagulation
45 factors to active zymogens. The vitamin K antagonists, such as warfarin (WAR), are the most
46 widely diffused oral anticoagulant drugs [1]. Warfarin is thought to interfere with clotting factors by
47 inhibiting the C1 subunit of the vitamin K epoxide reductases (VKORC1) enzyme complex, thereby
48 reducing the regeneration of vitamin K1 epoxide. In blood, WAR is highly bound to albumin
49 ($\approx 99\%$) with a high affinity ($K_d = 3.4 \pm 0.7 \mu\text{M}$). It is mainly metabolized in the liver by
50 cytochrome (CYP) P450 to inactive hydroxylated metabolites (OH-WAR) and also by ketone
51 reductases to warfarin alcohols (RR/SS- and RS/SR-warfarin alcohols) [2]. These latter metabolites
52 show an anticoagulant activity six-times lower than WAR [3], but their possible role in the
53 anticoagulation process has received little attention up to now.

54 Despite its effectiveness, the WAR treatment has several shortcomings related to many factors
55 that may interfere with the anticoagulant therapy by impairing metabolic pathways or increasing the
56 pharmacologically active fraction due to the displacement of WAR from serum albumin [4–8]. The
57 large inter- and intra-individual variability in patients' responses makes WAR therapy difficult to
58 control, and this increases the risk of bleeding or thrombosis [9]. Such events occur in
59 approximately 12% of patients, with a higher probability during the first two weeks of therapy than
60 during maintenance [9]. A complex and expensive service has been set-up in most countries to
61 monitor WAR effects by measuring the prothrombin time (PT) in blood expressed in terms of
62 international normalized ratio (INR) and limit risks for the patients [10].

63 Warfarin shortcomings have prompted the development of direct oral anticoagulants
64 (DOACs), which target key coagulation factors (e.g. factors Xa and IIa) instead of vitamin K [11].
65 Compared to WAR, DOACs have a more rapid onset of action (time to peak concentration: 2–4
66 hours *vs* 72–96 hours), shorter half-lives (5–17 hours *vs* 40 hours), are administered at fixed doses,
67 and do not require a routine coagulation monitoring [12–15]. Nevertheless, the new anticoagulant
68 drugs also have drawbacks: a) they are more expensive compared to the traditional vitamin K
69 antagonists, b) patients quickly lose the anticoagulant effect and are unprotected from thrombosis if
70 a single DOACs dose is missed, c) specific antidote (i.e. Idarucizumab) is currently available only
71 for Dabigatran and d) DOACs are unsuitable for treating patients with mechanical heart valves.

72 For these reasons, WAR is not going to disappear from the scene. Several pilot studies have
73 been conducted to verify if the safety and effectiveness of the WAR therapy may be improved by
74 the knowledge of the plasma concentrations of WAR [16–19]. All these cross-sectional studies
75 failed to find a significant correlation between the measured plasma concentration of WAR and
76 INR. Such result is not surprising in view of the large inter-individual variability in the dose-effect

77 ratio [4–8]. However, our group hypothesized that a correlation between unbound plasma WAR and
78 INR might be found based on measurements of WAR concentrations in oral fluid (OF) [20].

79 Based on this background, we performed a longitudinal pilot study enrolling nine patients
80 undergoing a long-term WAR therapy. Our purpose was to get preliminary experimental evidences
81 about the relationship between WAR dosage, INR, plasma and OF concentration of WAR, RR/SS-
82 and RS/SR-warfarin alcohols.

83

84

85 **2. Materials and Methods**

86 *2.1 Statement of ethics and data collection*

87 Nine patients (5 males, 4 females) on long-term WAR therapy were monitored for over two
88 months. During this period the drug has been regularly taken. Clinical variables such as age, sex,
89 INR target range and duration of WAR therapy were collected at the enrolment by a patient
90 interview. Possible patient-specific factors (e.g. new drugs administered) affecting the anticoagulant
91 effect of WAR were also recorded at each sampling time.

92 A patient was considered stable when his INR values had remained within the target range
93 (2.0–3.0) over (at least) three consecutive months before the first medical examination.

94 All procedures performed in this study involving human participants were in accordance with
95 the ethical standards of the institutional and/or national research committee and with the 1964
96 Helsinki declaration and its later amendments or comparable ethical standards. The pilot study was
97 conducted at the Azienda Ospedaliero-Universitaria Pisana (Pisa, Italy) upon approval by the
98 Ethical Committee of the Pisa Hospital. Informed consent was obtained from all individual
99 participants included in the study.

100

101 *2.2 Blood sample collection*

102 Two venous blood samples were consecutively collected into vacuum tubes (Vacutest Kima,
103 Padua, Italy) containing 109 mM (3.2%) sodium citrate at least 12 hours after the administration of
104 the last WAR dose. Blood samples were immediately centrifuged at room temperature for 10
105 minutes at 3000 rpm to obtain platelet-poor plasma. Plasma samples were divided in two aliquots
106 and stored in polypropylene tubes at –80°C until use. An aliquot of sample was used to measure the
107 INR value, whereas the other was used to measure concentrations (both total and unbound fraction)
108 of WAR, RR/SS- and RS/SR-warfarin alcohols.

109

110 2.3 Oral fluid sample collection

111 After blood collection, stimulated OF samples were collected in a quiet room between 7 and
112 10 AM by asking the patient to roll a Salivette polyester swab (Sarstedt, Nümbrecht, Germany) in
113 mouth for 2 minutes. Patients were asked not to take any food or beverages within 1 hour prior to
114 OF collection. After sampling, OF pH was measured by two independent observers using a
115 Pehanon narrow range ($6.0 < \text{pH} < 8.1$) pH paper strips (Macherey Nagel, Düren, Germany) with a
116 resolution of 0.3 pH units. The OF flow rate (grams per minute) was calculated from the ratio
117 between the weight difference of the sampling device before and after sampling and the collection
118 time, considering the density of OF equal of 1 gmL^{-1} . The sampling procedure and pH
119 measurements were always completed in less than 3 minutes. The OF was recovered by
120 centrifugation of the swabs at 3000 rpm for 5 minutes at room temperature and then stored in a
121 polypropylene tube at -80°C until use.

122

123 2.4 Determination of international normalized ratio

124 Spectrophotometric INR measurements were carried out at a wavelength of 671 nm by an
125 ACL TOP700 automatic system (Instrumentation Laboratory, Orangenburg, USA) equipped with an
126 auto-sampler. The quality control procedure for INR measurements consisted in analysing three
127 reference samples (normal, low and high INR levels) provided by the Instrumentation Laboratory at
128 least once every eight hours. A RSD $< 1\%$ for measurements performed on the same day ($n = 6$) and
129 $< 3\%$ for measurements performed on different days ($n = 6$) demonstrated the good inter- and intra-
130 day precision of the method.

131

132 2.5 Determination of warfarin and warfarin alcohols in oral fluid and plasma

133 Warfarin and its metabolites (i.e. RR/SS- and RS/SR-warfarin alcohols) concentrations in OF
134 and plasma samples were determined by a high-performance liquid chromatography (HPLC) (Jasco
135 Europe, Lecco, Italy) equipped with an autosampler (AS 2055), a quaternary low-pressure gradient
136 pump (PU 2089) and a fluorescence detector (FP 2020). The full details of the analytical procedures
137 are reported elsewhere [21]. Briefly, an aliquot of OF (1 mL) or plasma (0.5 mL) was acidified with
138 H_2SO_4 (2 mL, 0.5 M) and extracted with 4 mL of dichloromethane/hexane 1:5, (v/v). The resulting
139 mixture was vortex-mixed for 30 s and then centrifuged at 5000 rpm for 5 minutes at room
140 temperature. The supernatant was recovered, evaporated under nitrogen and reconstituted in 0.25
141 mL (OF) or 1 mL (plasma) of phosphate buffer solution (PBS) 25 mM at $\text{pH} = 7$. An aliquot (25
142 μL) of the reconstituted sample was finally injected into the HPLC system. Warfarin, RR/SS- and

143 RS/SR-warfarin alcohols were separated with a Poroshell EC-C-18 reversed-phase column (100 ×
144 4.6 mm, 2.7 μm) (Agilent, Santa Clara, USA) connected to a TC-C-18 guard column (12.5 x 4.6
145 mm, 5 μm) (Agilent, Santa Clara, USA) using isocratic elution with 30% methanol and 70%
146 phosphate buffer 25 mM at pH = 7 at a flow rate of 0.7 mL/min. Fluorescence detection was
147 performed at excitation and emission wavelengths of 310 and 390 nm, respectively. The HPLC run
148 time was 25 minutes. Calibration curves of 3–9740 nM were evaluated by the Deming regression
149 analysis. Inter- and intra-day precision and recovery were determined for spiked OF sample at 6, 32
150 and 65 nM and for spiked plasma sample at 650, 3250 and 4500 nM. The recoveries of RR/SS-
151 warfarin alcohols, WAR and RS/SR-warfarin alcohols in OF were 85% (RSD = 4%), 80% (RSD =
152 3%) and 85% (RSD = 3%) respectively, whereas the recoveries of RR/SS-warfarin alcohols, WAR
153 and RS/SR-warfarin alcohols in plasma were 60% (RSD = 5%), 90% (RSD = 4%) and 70% (RSD =
154 3%), respectively. For both OF and plasma, the inter- and intra-day precisions (%RSD) for WAR
155 and its metabolites were always lower than 5%.

156 Unbound WAR, RR/SS- and RS/SR-warfarin alcohols concentrations in plasma were
157 measured by ultrafiltration [21]. In short, an aliquot of plasma sample (1 mL) was centrifuged at
158 5000 rpm for 1 hour at 25°C by an Amicon Ultra-4 tube (Millipore, Massachusetts, USA) with a
159 molecular weight cut-off of 3 KDa. The filtrate sample was then injected (25 μL) into the HPLC
160 system without any further treatment, and analysed according to the chromatographic method
161 described above. Calibration curves in the range 3–97 nM were evaluated by the Deming regression
162 analysis. Inter- and intra-day precision was determined for spiked plasma samples at 650, 3250 and
163 4500 nM, whereas the recovery was determined for standard working solutions at 6, 32 and 65 nM.

164 The inter- and intra-day precisions (%RSD) at a concentration level of 32 nM were 6% and
165 4% for RR/SS-warfarin alcohols, 8% and 5% for WAR, and 8% and 6% for RS/SR-warfarin
166 alcohols, respectively. The recovery of RR/SS- and RS/SR-warfarin alcohols and WAR was 90%
167 (RSD = 8%) and 70% (RSD = 8%), respectively.

168

169 *2.6 Statistical analysis*

170 Continuous variables were reported as means ± standard deviation and ranges. The
171 distribution of variables was tested for normality by the Shapiro-Wilk test, whereas the gender
172 difference was analysed by the Mann-Witney test. The association between the OF concentrations
173 and INR as well as between plasma concentrations and INR were evaluated by the Spearman
174 correlation test. A two-tailed *p*-value of less than 0.05 was considered statistically significant for all
175 analyses. Statistical analysis and principal component analysis (PCA) was performed using
176 GraphPad Prism v.6.0 (GraphPad, La Jolla, USA) and XLSTAT v.2015.4.01 (Addinsoft, New

177 York, USA), respectively.

178

179

180 3. Results

181 The patient profiles, including clinical conditions, dosage and concentrations of WAR and its
182 metabolites (i.e. RR/SS- and RS/SR-warfarin alcohols) in OF and plasma samples (both total and
183 unbound fraction) are summarized in Table 1.

184

185 Table 1

186 Characteristics of patients enrolled ($n = 9$) at first point collected. Data are shown as mean \pm
187 standard deviation (range).

<i>Demographics</i>	
Age, yr	67 \pm 14 (38–83)
Gender, male:female	5:4
<i>Warfarin therapy</i>	
Warfarin dose, mgweek ⁻¹	30 \pm 20 (1.25–48.75)
INR	2.4 \pm 0.6 (1.8–3.7)
<i>Oral fluid parameters</i>	
Stimulated pH	7.6 \pm 0.3 (6.9–8.1)
Stimulated flow rate, mL/min	0.9 \pm 0.1 (0.5–1.1)
Warfarin concentration, nM	20 \pm 10 (3–45)
RR/SS-warfarin alcohols concentration, nM	<LOD*
RS/SR-warfarin alcohols concentrations, nM	10 \pm 6 (1–20)
<i>Unbound plasma fraction concentration</i>	
Warfarin, nM	30 \pm 10 (10–55)
RR/SS-warfarin alcohols concentration, nM	1 \pm 1 (1–3)
RS/SR-warfarin alcohols concentrations, nM	15 \pm 10 (2–30)
<i>Plasma concentration</i>	
Warfarin, nM	4200 \pm 1600 (1300–6500)
RR/SS-warfarin alcohols concentration, nM	100 \pm 70 (40–260)
RS/SR-warfarin alcohols concentrations, nM	1950 \pm 1100 (400–3600)

Abbreviation: INR, international normalized ratio.

188

189 Patients' average age and WAR dose were 67 \pm 14 years (range, 38–87 years) and 30 \pm 20

190 mgweek⁻¹ (range, 1.25–48.75 mgweek⁻¹), respectively. International normalized ratio values ranged
191 from 1.8 to 3.7, with an average value of 2.6 ± 0.6 . The Mann-Witney test did not reveal
192 statistically significant gender differences ($p < 0.05$) for any of the above parameters.

193 A therapeutic range of WAR of 970–5840 nM was calculated, corresponding to the 2.5th to
194 97.5th percentile of the plasma WAR concentration for patients showing INR within 2–3, which is
195 coherent with previously reported range [16].

196 To get an overall view of the internal structure of the data, a PCA was performed on the entire
197 dataset consisting of all measurements from all patients ($n = 66$, Fig. 1).

198

199 In the score plot, measurements belonging to a same patient appear to form relatively coherent
200 clusters, whereas clusters corresponding to patients with unstable INR values are scattered along the
201 vertical axis. Interestingly, data of all stable patients (square dots) are in the right part of the plot,
202 corresponding to higher doses and WAR concentration values, whereas data of patients with
203 unstable INR values (circle dots) are in the left part. This observation is confirmed by an
204 independent descriptive statistical analysis, which reveals that despite similar average INR and
205 WAR dose, stable patients have higher values of plasma and OF concentrations of WAR and WAR
206 metabolites compared to patients with unstable INR values.

207 The loadings plot (Fig. 1A) shows no correlation between WAR dose and INR and regression
208 analysis confirms such result ($r = -0.14$, $p = 0.24$). On the contrary, there is a good correlation
209 between WAR dosage and total plasma concentration of WAR ($r = 0.65$, $p < 0.01$), RS/SR-warfarin
210 alcohols ($r = 0.43$, $p < 0.01$) and RR/SS-warfarin alcohols ($r = 0.68$, $p < 0.01$).

211 The position of plasma and OF concentrations of WAR and RS/SR-warfarin alcohols in the
212 loadings plot suggests a poor correlation with INR, confirming the results obtained from other
213 authors [16–19].

214 The significance of PCA, in particular as concerns the coherence of OF and plasma
215 concentrations of WAR and its metabolites, is supported by linear regression between unbound and
216 total plasma fraction as well as between stimulated OF and unbound plasma fraction of both WAR
217 and RS/SR-warfarin alcohols (Fig. 2).

218

219 In fact, linear regression reveals statistically significant correlations between: a) unbound
220 plasma fraction and total plasma concentration of WAR (Fig. 2A, $r = 0.79$, $p < 0.01$); b) stimulated
221 OF and unbound plasma WAR (Fig. 2B, $r = 0.80$, $p < 0.01$); c) unbound plasma fraction and total
222 plasma concentration of RS/SR-warfarin alcohols (Fig. 2C, $r = 0.93$, $p < 0.01$); stimulated OF and
223 unbound plasma RS/SR-warfarin alcohols (Fig. 2D, $r = 0.95$, $p < 0.01$).

224 Fig. 2 shows a good correlation between OF and plasma data from all patients enrolled in our
225 longitudinal study. The average ratio between the concentration in OF and the unbound fraction in
226 plasma, assessed from the slope of the regression line, is about 0.5 for both of WAR and RS/SR-
227 warfarin alcohols, and this confirms the dilution effect occurring during sample collection reported
228 by Lomonaco et al [22].

229 Fig. 3 shows changes over time of dosage, unbound plasma WAR and RS/SR-warfarin
230 alcohols concentrations and INR in two representative patients, one with a stable (P3) and the other
231 with unstable INR values (P5). Figs. S1 and S5 in the supplementary information reports the
232 corresponding data for the other patients.

233

234 Fig. 4 reports INR values versus the OF concentration of WAR for patients P3 and P5.

235

236

237 **4. Discussion**

238 Results suggest that each patient under WAR therapy has his own dose to effect ratio, i.e. he
239 attains the desired anticoagulant effect with a personal plasmatic WAR concentration that is largely
240 independent on the assumed dose. Despite this, our main finding in this study is that the oscillations
241 of INR during therapy parallel those of the concentrations of WAR and its metabolites in plasma,
242 and that OF WAR concentrations mirror plasma WAR concentrations. If one considers the long
243 delay in the biological action of vitamin K antagonists, it seems reasonable to think that monitoring
244 concentration changes in plasma (and perhaps OF concentration of WAR and its metabolites) may
245 help to prevent INR oscillations out of the therapeutic range and to reduce the risk of thrombotic
246 and haemorrhagic events.

247 The present study also shows that patients with higher concentrations of WAR and its
248 metabolites in plasma and OF are likely to obtain a more stable therapeutic effect. If this result is
249 confirmed in a larger set of patients, WAR plasma concentrations during therapy may be used to
250 stratify patients according to their risk of going out of the therapeutic range.

251 The perspective of a minimally invasive monitoring of WAR therapy is particularly appealing
252 because large meta-analysis studies have shown that DOACs are not safer than WAR in terms of
253 haemorrhagic or thrombotic incidents [23–25]. As a consequence, vitamin K inhibitors will
254 continue to be used in future due to the limited indications of DOACs and inherent restrictions such
255 as poor renal function, and for this reason any improvement of WAR therapy would reduce risks
256 and costs of the anticoagulant therapy in a large number of patients.

257 Despite the numerous factors potentially affecting WAR metabolism, we found a strict
258 association between changes of the plasmatic concentration of RS/SR-warfarin alcohols and INR,
259 and this made us suspect that the pharmacological action of these metabolites, although less potent
260 than WAR's, may contribute to the overall therapeutic effect more than expected.

261 The use of PCA to analyse effects of WAR therapy provided specific advantages for the
262 visualization of multivariate data. The basic assumption with this technique is that variance has an
263 informative content, whereas variables with poor variations have not. In addition, multivariate data
264 often contain redundant information related to the correlation of variables. At the same time, they
265 are very difficult to visualize, as we are used to interpret bi- or three-dimensional plots and cannot
266 really figure out a higher dimensional space. To get rid of redundancy, PCA defines a new set of
267 uncorrelated variables (principal components) that are linear combinations of the "old" variables
268 and are oriented (in the multidimensional space) along the directions where the maximum variance
269 is observed. Data and previous variables are then plotted versus the principal components. From a
270 geometrical point of view, this corresponds to project multidimensional points onto the plane where
271 the maximum variance can be shown, so that data can be looked at from the best possible
272 perspective.

273 In practice, PCA produces two plots in which similar items are located close to one another:
274 the score plot shows the relationships between the objects (in our case the array of measurements of
275 INR, dose and concentration values obtained from a specific patient at each observation time), and
276 the loadings plot shows the correlation between variables. If two variables are close one another in
277 the loadings plot then they are highly correlated, if they are symmetrical compared to the origin of
278 axes then they are negatively correlated, whereas in case the lines connecting the origin of axes with
279 the two variables are orthogonal it means that variables are not correlated. If the score and loadings
280 plots are superimposed, a so-called bi-plot is obtained in which objects characterized by a high
281 value of a specific variable will be located close to the variable.

282 In our case, it is evident that the first principal component is strictly related to the
283 concentrations of WAR and RS/SR-warfarin alcohols and to a minor extent to the WAR dosage,
284 whereas the second principal component mainly depends on INR. The explained variance is nearly
285 80%, and this means that most of the original information contained in the data is retained in the
286 plot.

287 It is noteworthy that dots corresponding to a same patient cluster in the score plot. This
288 suggests that most variability in the WAR dose to response ratio depends on inter-individual
289 differences, whereas each patient has his own sensitivity to the drug possibly related to individual
290 genetic factors. Clusters corresponding to patients with unstable INR values show a vertical spread,

291 a consequence of the large INR variability in a restricted range of dosage. They are located in the
292 left part of the score plot whereas stable patients are in the right part, exactly where WAR and
293 RS/SR-warfarin alcohols concentrations can be found in the loadings plot. In fact, stable patients
294 show higher plasma and OF concentrations of WAR and metabolites compared to patients with
295 unstable INR, suggesting that they are less sensitive to WAR and require higher plasma
296 concentrations to obtain a similar anticoagulant action. Thus, it seems that patients with higher
297 plasma and OF concentrations of WAR are more liable to attain a stable dose–effect ratio.

298 The loadings plot shows that INR and WAR dosage are not correlated. Due to the many
299 factors interfering with the therapy, this result is not surprising [4–8]. In fact, there is consensus in
300 literature about the lack of a univocal and clear relationship between WAR dose and therapeutic
301 effects, and this is why the monitoring of patients undergoing WAR therapy is needed.

302 Loadings plot and linear regression show that higher dosages result in higher plasmatic
303 concentrations of both WAR and RS/SR-warfarin alcohols. There are correlations between the
304 unbound and total plasma concentrations of WAR and its metabolite, as well as between their OF
305 and unbound plasma concentrations. The degree of correlation is evident in Fig. 2, where WAR data
306 appear somewhat more scattered than RS/SR-warfarin alcohols data. This phenomenon might be
307 related to the longer half-life of these metabolites compared to WAR (20 days *vs* 40 hrs), so that
308 short term fluctuations of the concentration average over a longer length of time. A further
309 explanation might lie in the lower pKa of WAR (5.15 ± 0.04 at 25 °C, [26]) which makes it more
310 prone to the dilution effect related to the sampling of stimulated OF.

311 Our findings are different from those reported from previous authors who had found much
312 poorer correlations among these variables in cross-sectional studies [17–19]. The large variability in
313 the individual response to WAR can probably explain such difference, which, is reduced if single
314 patients are followed over time, as in the present study.

315 We hypothesize the existence of individual concentration-effect curves, which may allow the
316 use of stimulated OF analysis to monitor the unbound plasma concentrations of WAR and its
317 metabolites and possibly INR.

318 The data presented in Figs. 3 and 4 and supplementary Figs. S1 and S5 seem to confirm that
319 this might actually be possible in some case, but in about 30% of our patients one or more
320 confounding factors puzzle the scene and do not allow to find a clear relationship between OF
321 concentrations and INR. Fig. 3 reports the trends over time of WAR dosage, WAR and RS/SR-
322 warfarin alcohols concentrations in plasma (unbound) and OF, and INR of the illustrative patients
323 P3 and P5 (the corresponding data relevant to the other patients are reported in Figs. S1 and S5 of
324 supplementary information). Patient P3 had a stable therapy and INR values within the target range

325 (2.0–3.0); the slight fluctuations of INR values were perfectly mirrored from OF WAR and to a
326 lesser extent from OF RS/SR-warfarin alcohols. The correlation between OF WAR and INR is
327 more evident in Fig. 4, where linear regression allows to predict INR value once the OF WAR
328 concentration is known. Also for patient P5, which shows a remarkable fluctuation of INR values
329 probably due to the large number of other drugs needed to manage concomitant comorbidities, a
330 good correlation between OF WAR and INR was found.

331

332

333 **5. Conclusion**

334 On the whole, the above findings suggest that in each patient there is a different but constant
335 dose-effect ratio of WAR, and that each patient attains the desired anticoagulant effect with
336 different plasma concentrations of WAR, in part independent from the dose assumed; indeed, we
337 found that the oscillations of INR may reflect the oscillations of the concentrations of WAR, and in
338 particular of its RS/SR metabolite, the one showing the strongest association with INR in PCA.

339 In consideration of the delayed pharmacological action of WAR, the measurement of WAR
340 plasma concentration may be helpful in managing patients by anticipating the risk of bleeding or
341 thrombotic events. A simple instrument for measuring OF WAR concentration would allow to
342 monitor WAR therapy, to reduce the need on frequent INR monitoring, and to prevent the
343 occurrence of out of range INR values, thus possibly reducing the risk of thrombotic or
344 haemorrhagic events in patient's counter indicated for DOACs therapy.

345

346 **Acknowledgements**

347 The author would like to thank Dr. Alessandro Celi and Dr. Ilenia Scataglini for providing
348 useful suggestions and constructive criticism, Mr. Manrico Nardi, Paolo Nardini and Mrs Simona
349 Gonnelli for their help with our experimental setup.

350

351 **Funding sources**

352 This research did not receive any specific grant from funding agencies in the public,
353 commercial, or not-for-profit sectors.

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421 **List of figure captions**

422 **Fig. 1.** Principal component analysis of the complete patients' dataset ($n = 66$). Legend: warfarin
423 dosage (DOSE); stimulated oral fluid concentration of warfarin (SOF WAR) and RS/SR-warfarin
424 alcohols (SOF RS/SR-WAR); unbound plasma concentration of warfarin (UP WAR) and RS/SR-
425 warfarin alcohols (UP RS/SR-WAR); total plasma concentration of warfarin (TP WAR); RS/SR-
426 warfarin alcohols (TP RS/SR-WAR) and RR/SS-warfarin alcohols (TP RR/SS-WAR); international
427 normalized ratio (INR).

428

429 **Fig. 2.** Relationship between unbound and total plasma of warfarin (A) and RS/SR-warfarin
430 alcohols (C) and between stimulated oral fluid and unbound plasma fraction of warfarin (B) and
431 RS/SR-warfarin alcohols (D) for the enrolled patients ($n = 66$) undergoing warfarin therapy.

432

433 **Fig. 3.** Warfarin dosage, unbound plasma warfarin and RS/SR-warfarin alcohols concentrations and
434 international normalized ratio trends over time in two representative patients undergoing warfarin
435 therapy: a stable patient (P3, A) and a patient with unstable international normalized ratio values
436 (P5, B).

437

438 **Fig. 4.** Warfarin concentrations in oral fluid vs international normalized ratio in two representative
439 patients undergoing warfarin therapy: a stable patient (P3, A) and a patient with unstable
440 international normalized ratio values (P5, B).

441 **Supporting information**

442 **Fig. S1.** Warfarin dosage, oral fluid, total and unbound plasma warfarin and RS/SR-warfarin
443 alcohols concentrations and international normalized ratio trends over time in two patients
444 undergoing warfarin therapy: an unstable patient (P1, A) and a patient with stable international
445 normalized ratio values (P2, B).

446

447 **Fig. S2.** Warfarin dosage, oral fluid, total and unbound plasma warfarin and RS/SR-warfarin
448 alcohols concentrations and international normalized ratio trends over time in two patients
449 undergoing warfarin therapy: a stable patient (P3, A) and a patient with unstable international
450 normalized ratio values (P4, B).

451

452 **Fig. S3.** Warfarin dosage, oral fluid, total and unbound plasma warfarin and RS/SR-warfarin
453 alcohols concentrations and international normalized ratio trends over time in two patients
454 undergoing warfarin therapy: an unstable patient (P5, A) and a patient with stable international
455 normalized ratio values (P6, B).

456

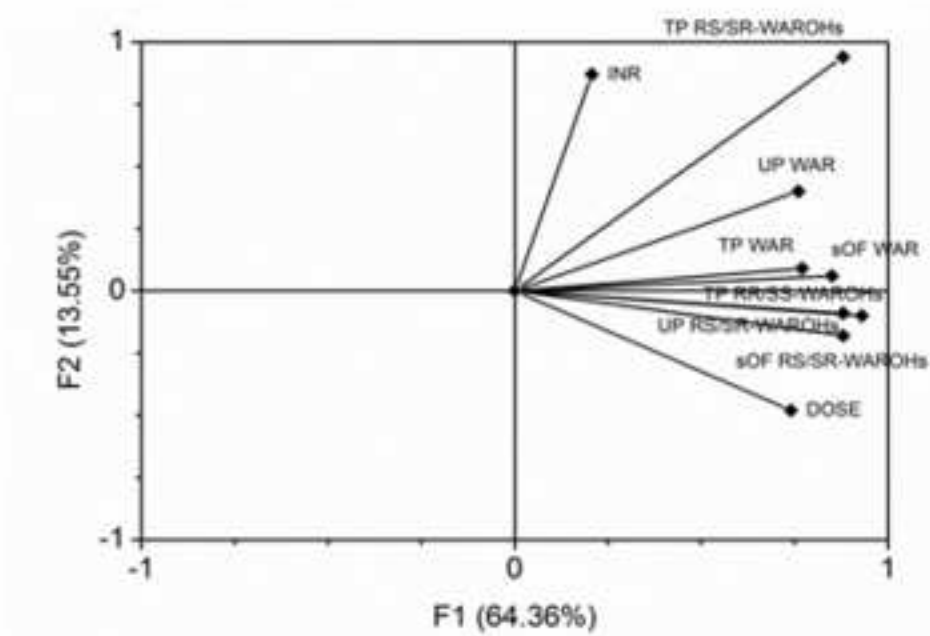
457 **Fig. S4.** Warfarin dosage, oral fluid, total and unbound plasma warfarin and RS/SR-warfarin
458 alcohols concentrations and international normalized ratio trends over time in two patients
459 undergoing warfarin therapy: a stable patient (P7, A) and a patient with unstable international
460 normalized ratio values (P8, B).

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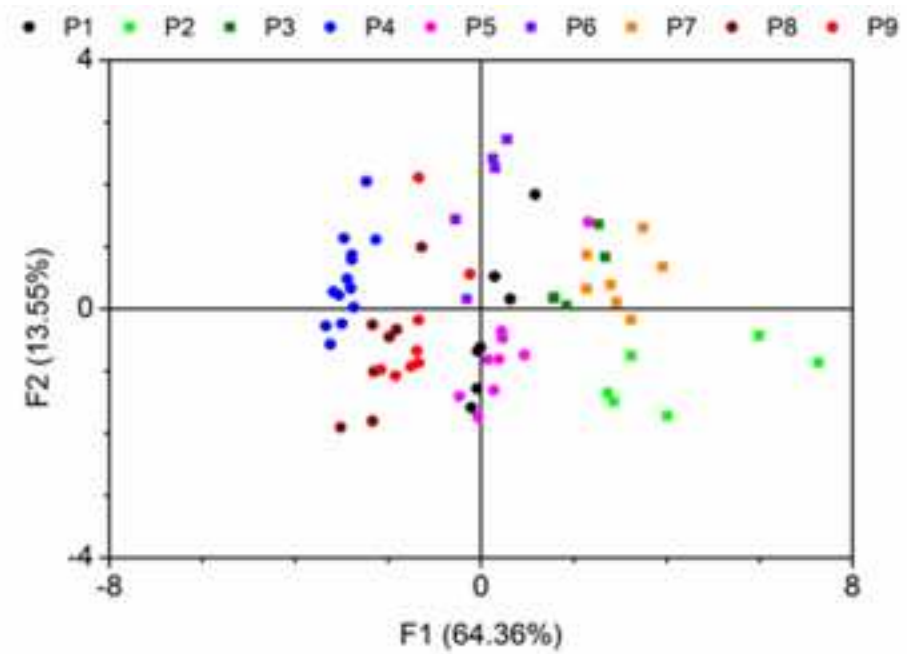
462 **Fig. S5.** Warfarin dosage, oral fluid, total and unbound plasma warfarin and RS/SR-warfarin
463 alcohols concentrations and international normalized ratio trends over time in an unstable patient
464 (P9, A) undergoing warfarin therapy.

Fig. 1

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A



B

Fig. 2

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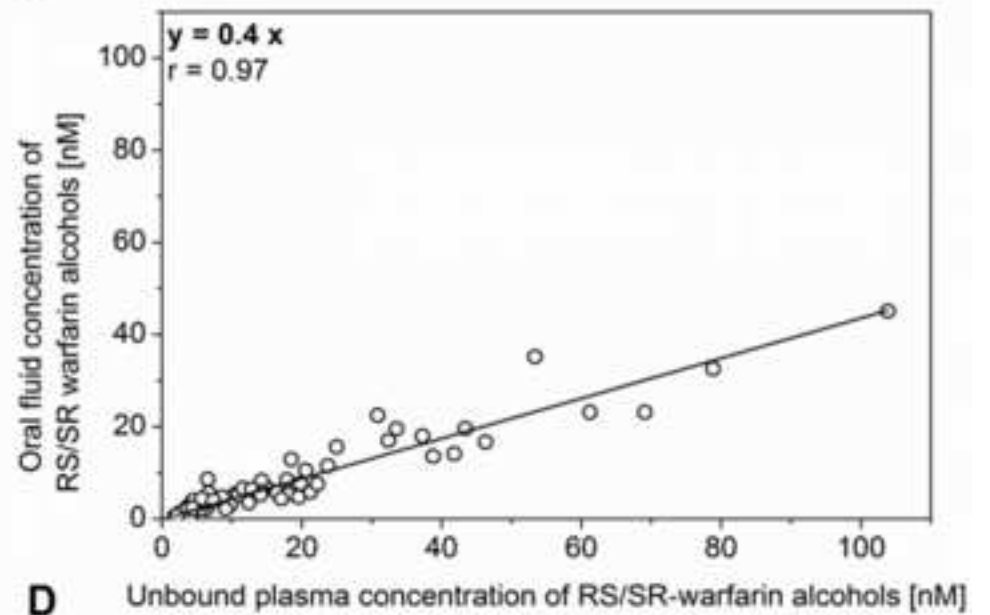
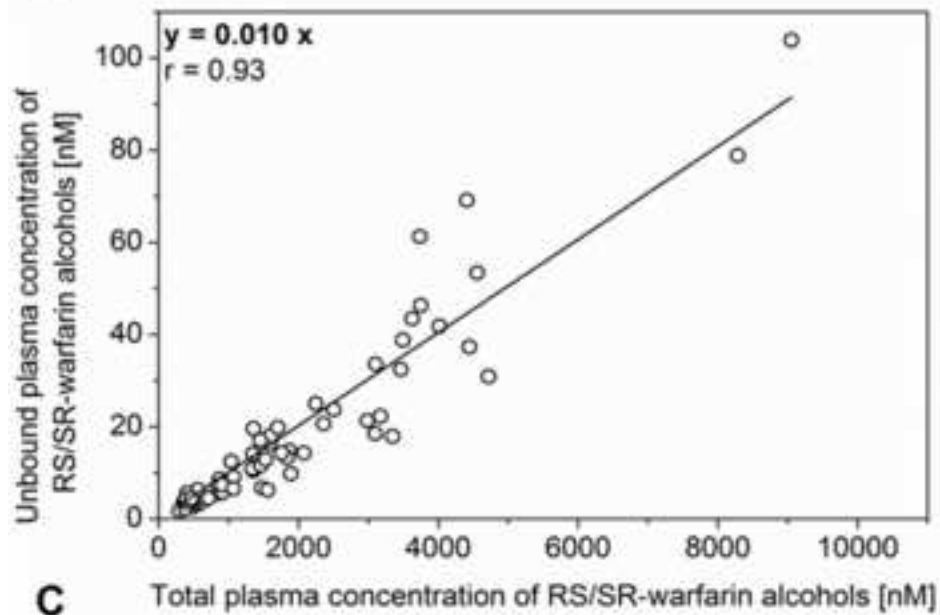
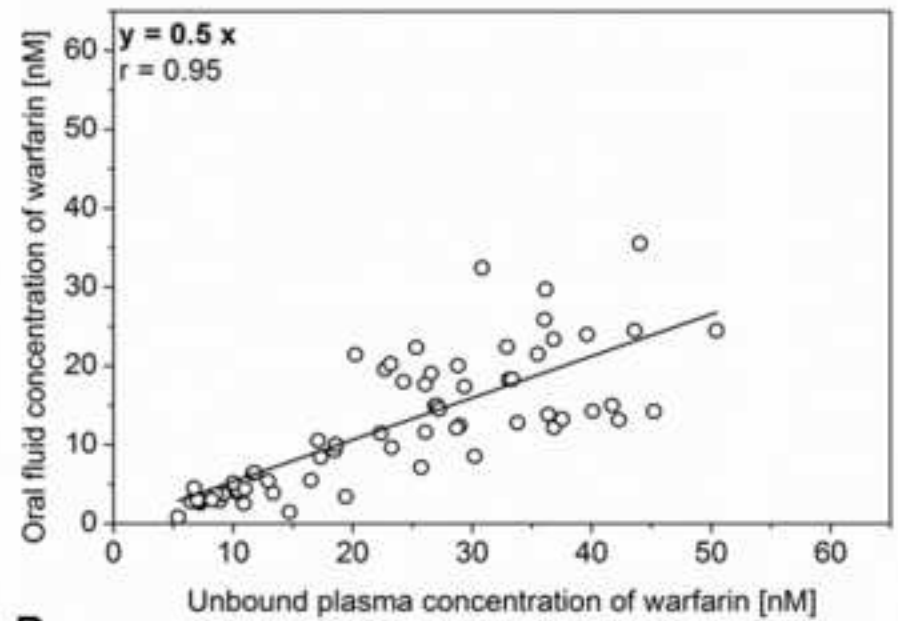
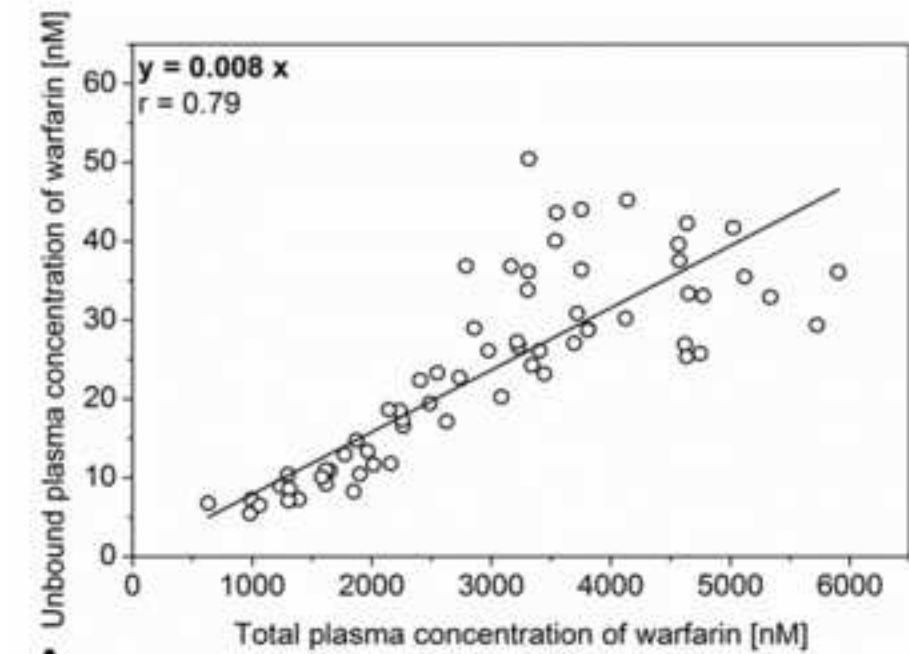


Fig. 3

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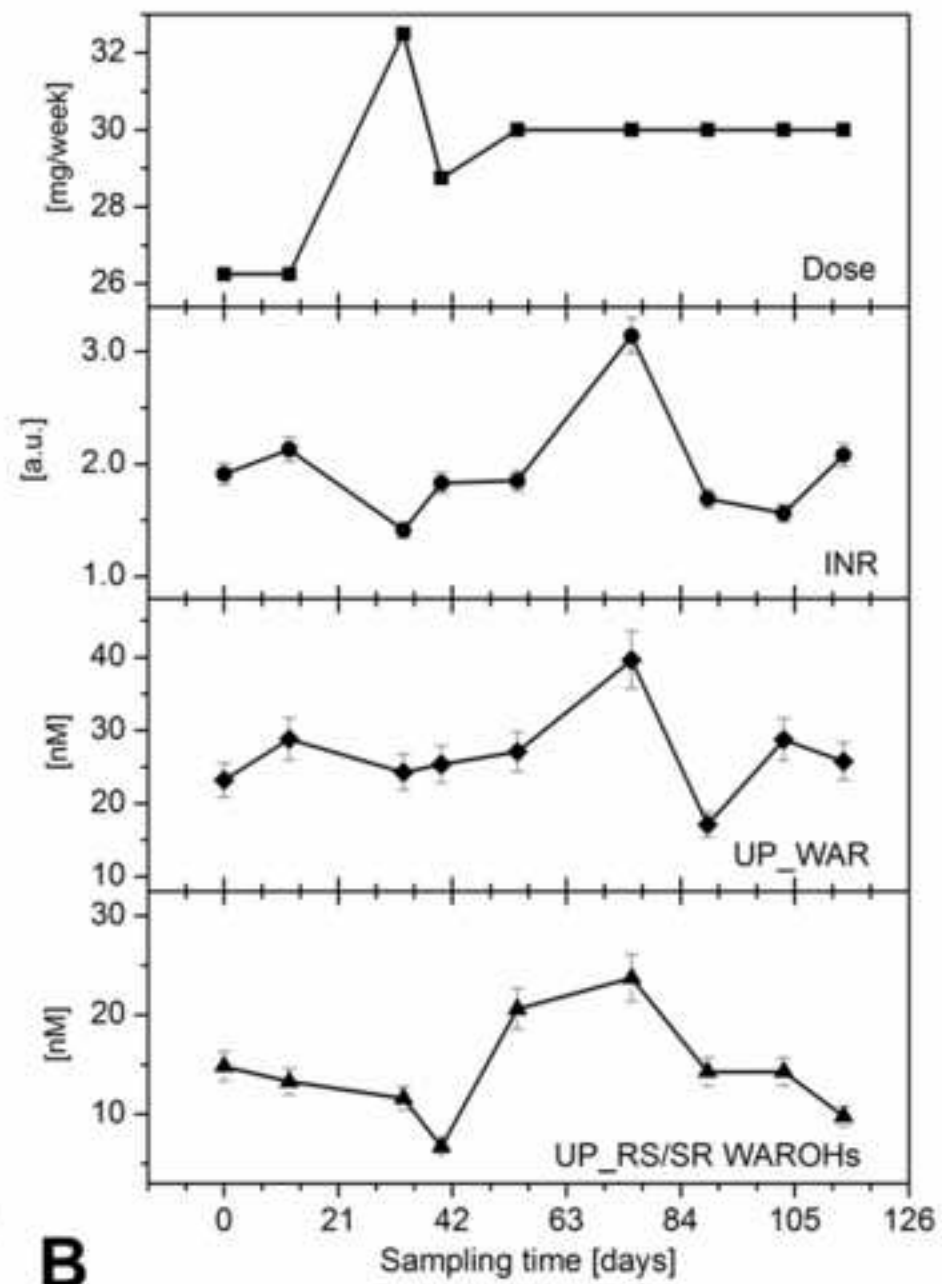
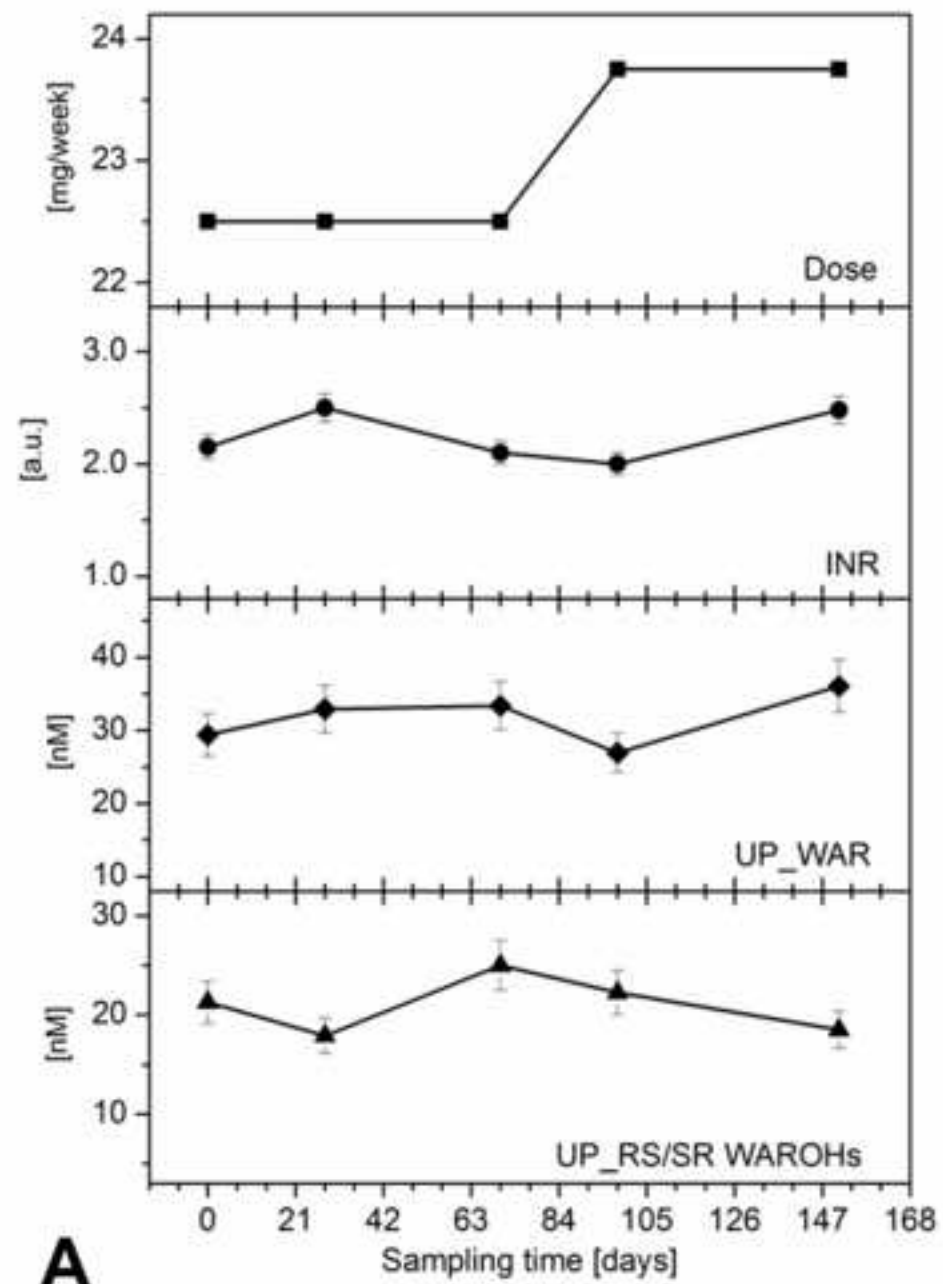


Fig. 4

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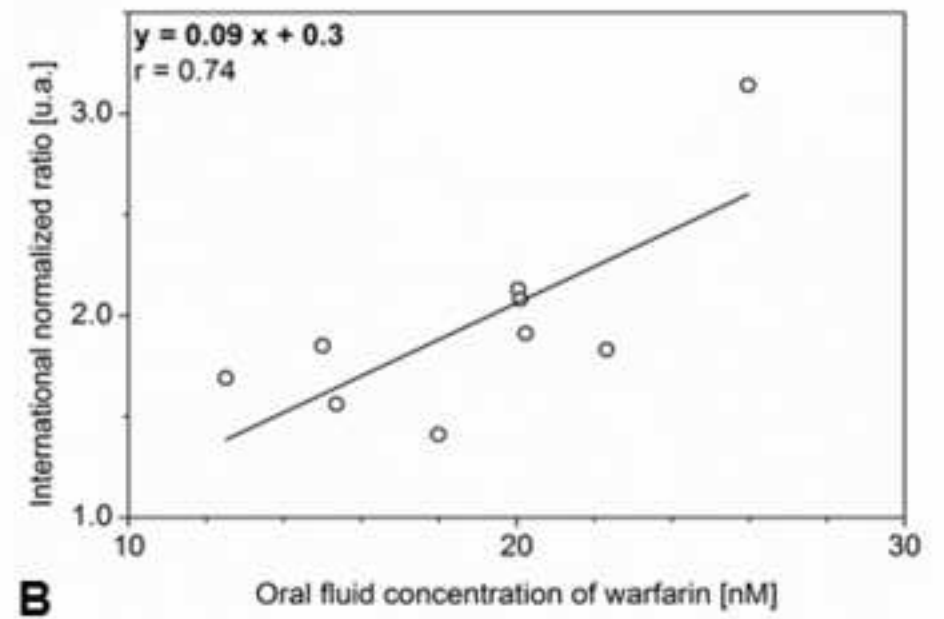
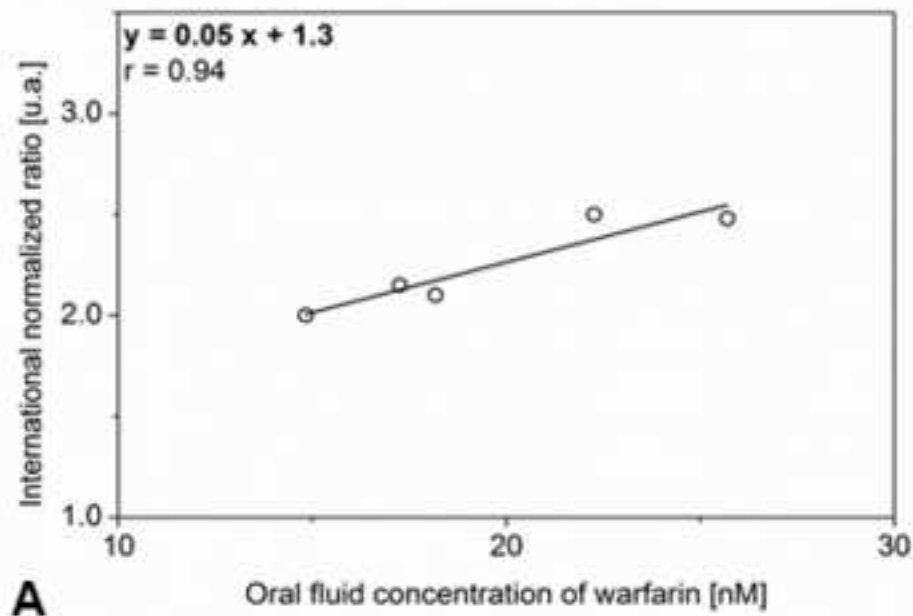


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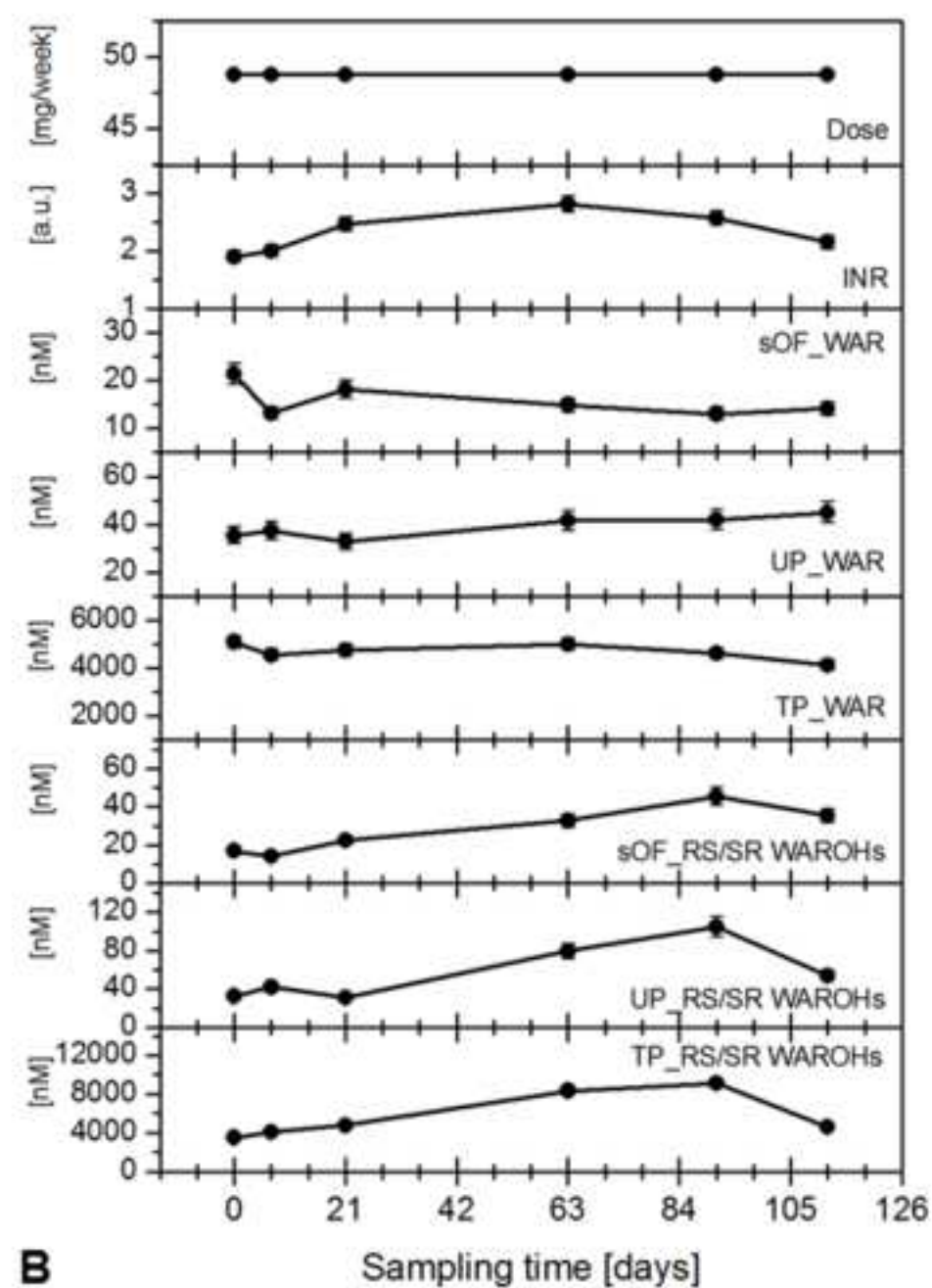
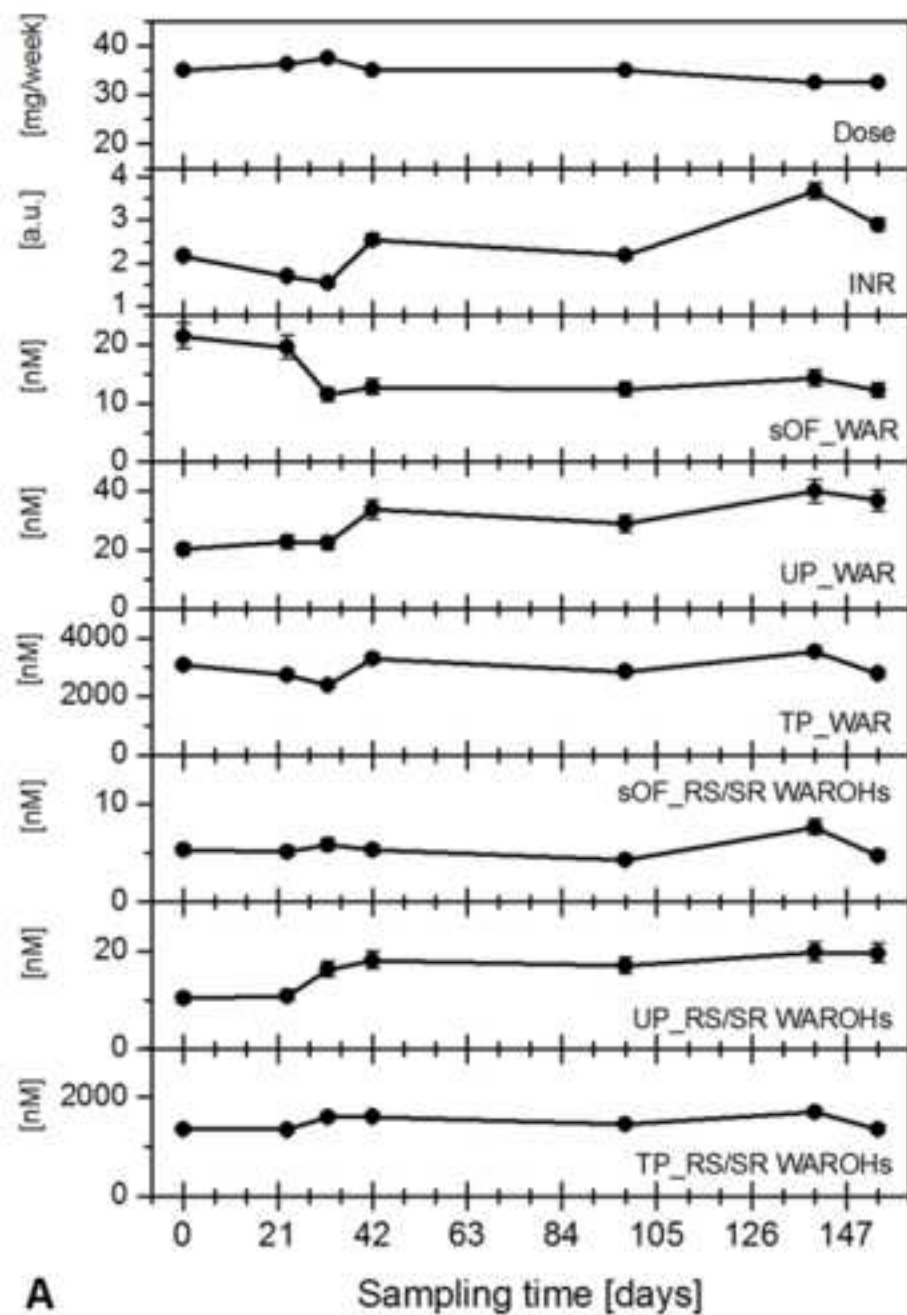
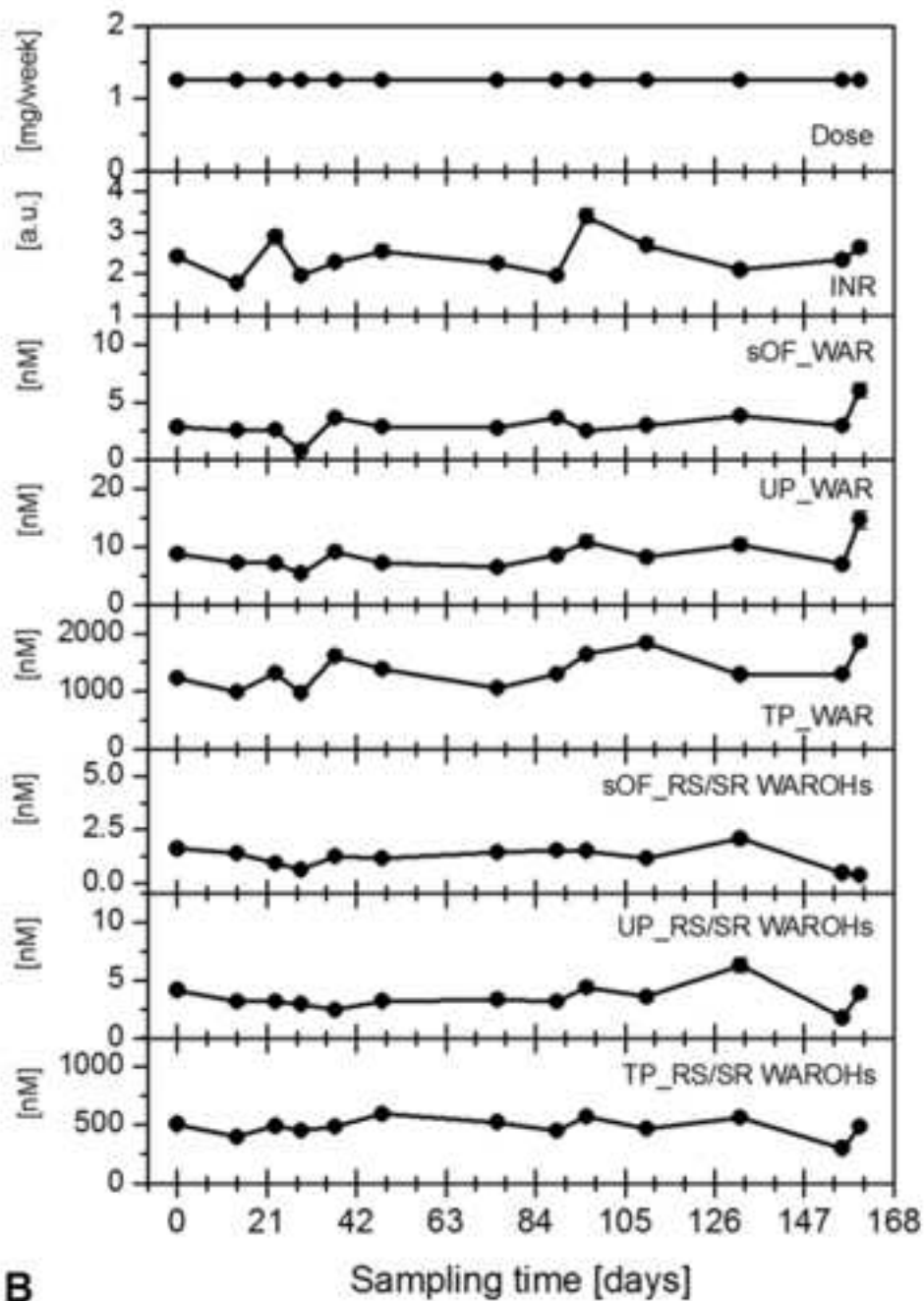
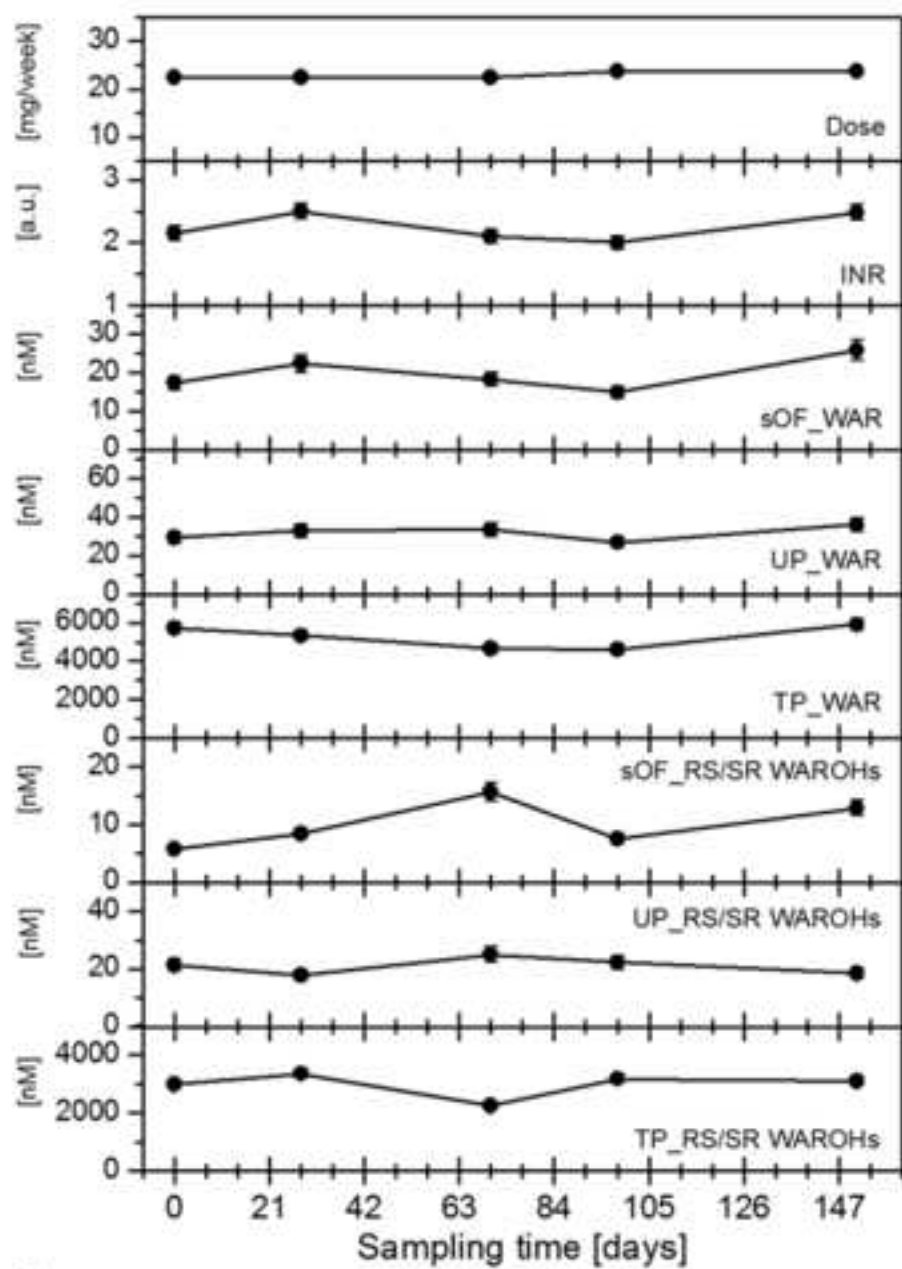


Fig. S2
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A

B

Fig. S3
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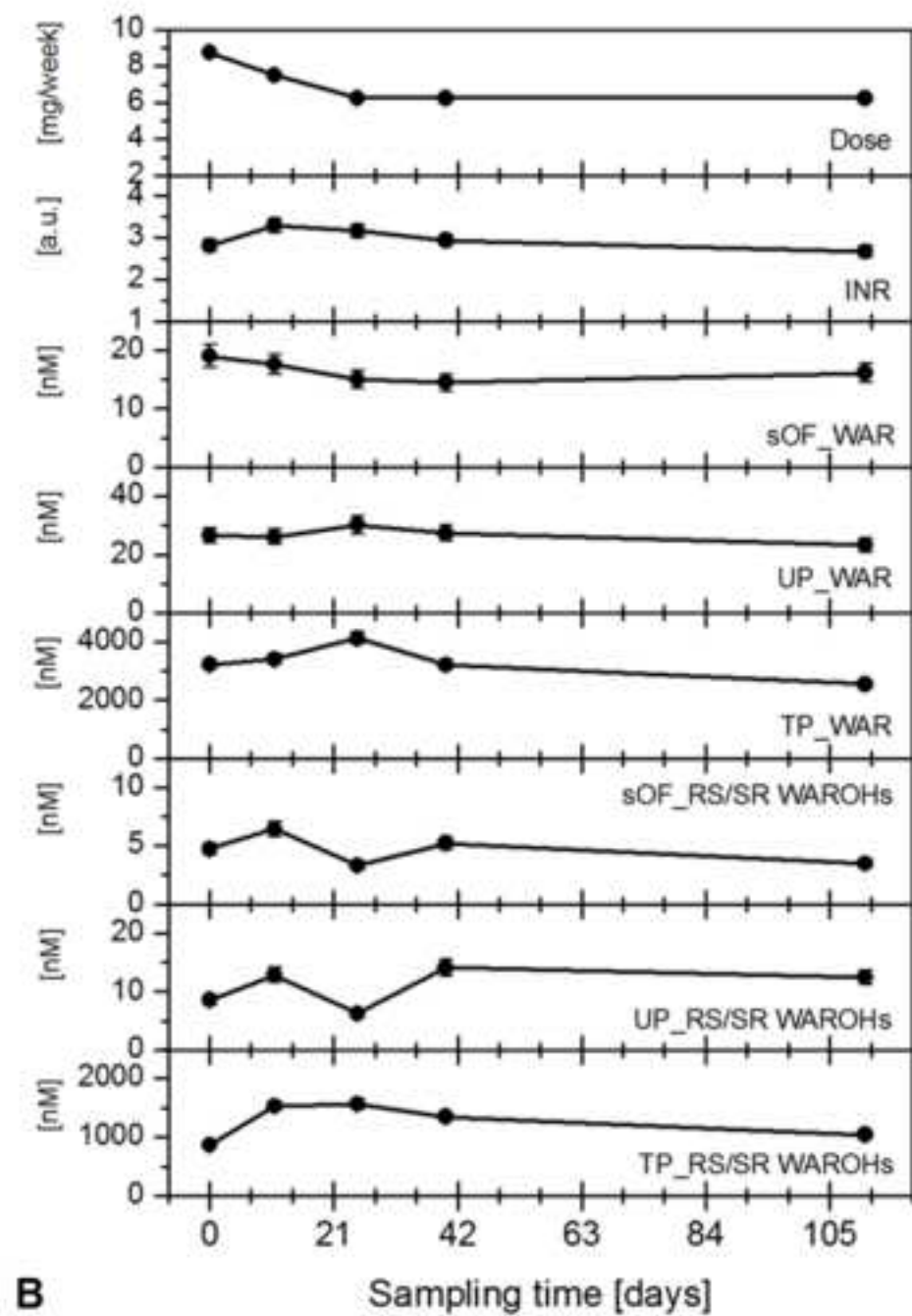
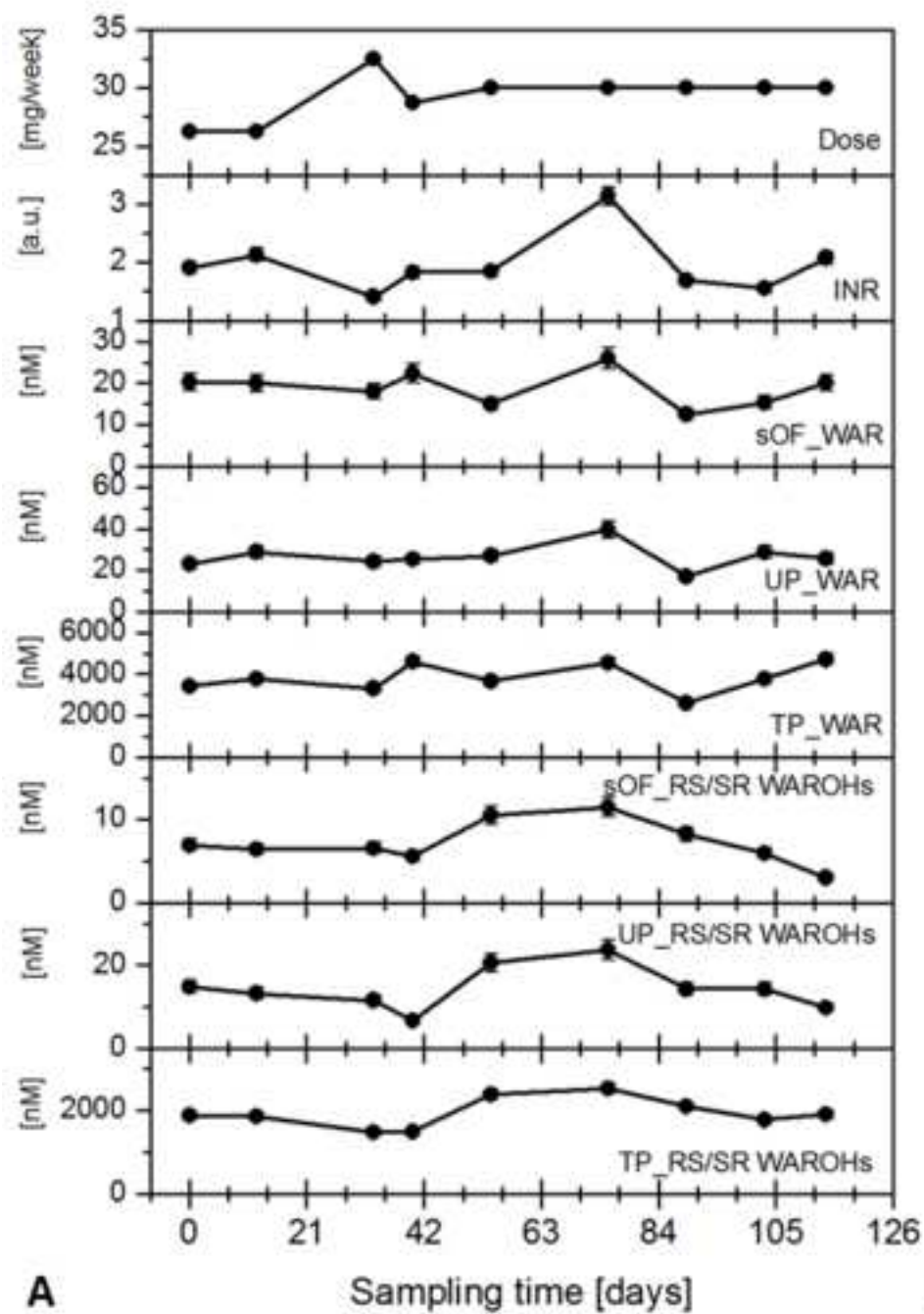


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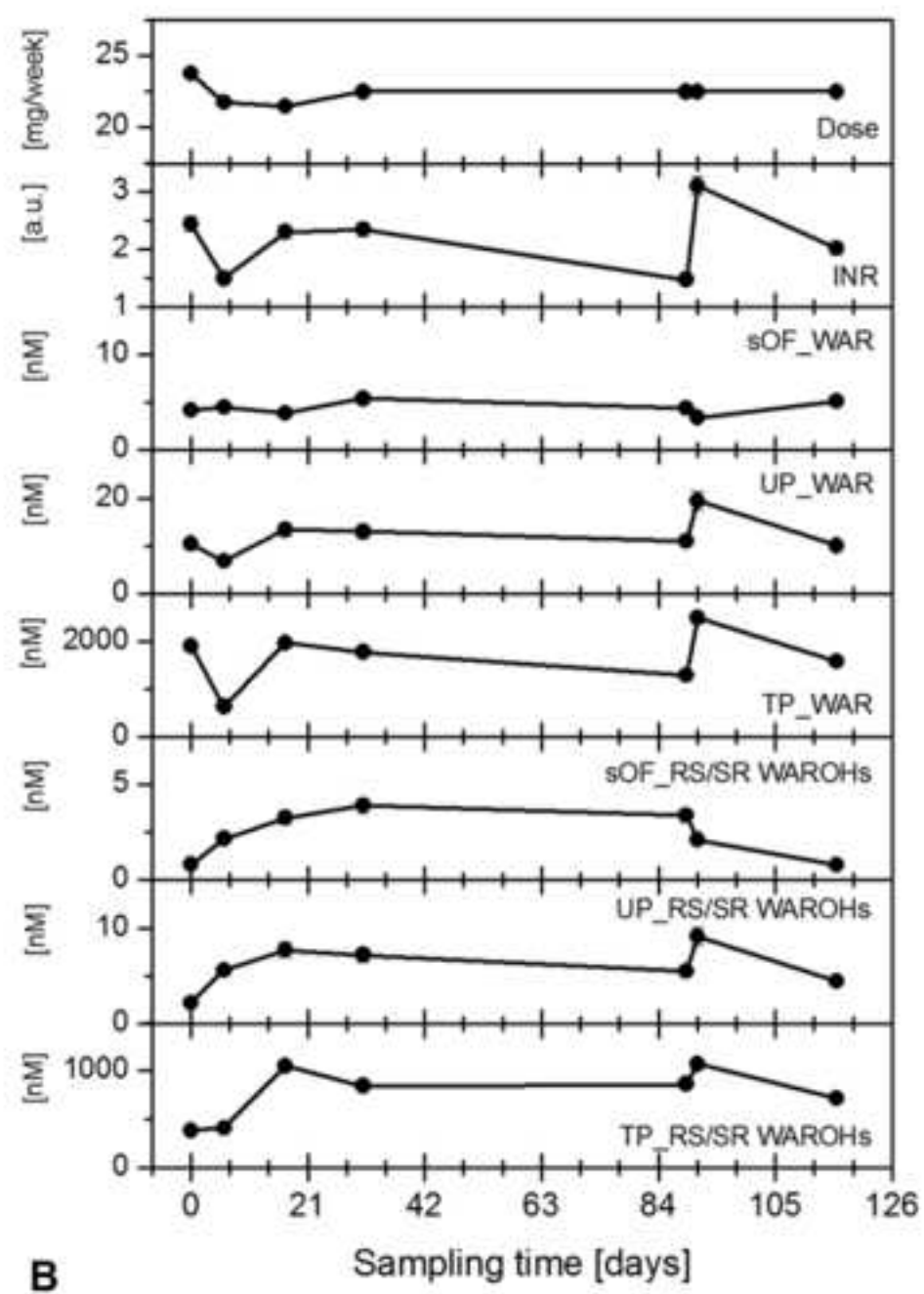
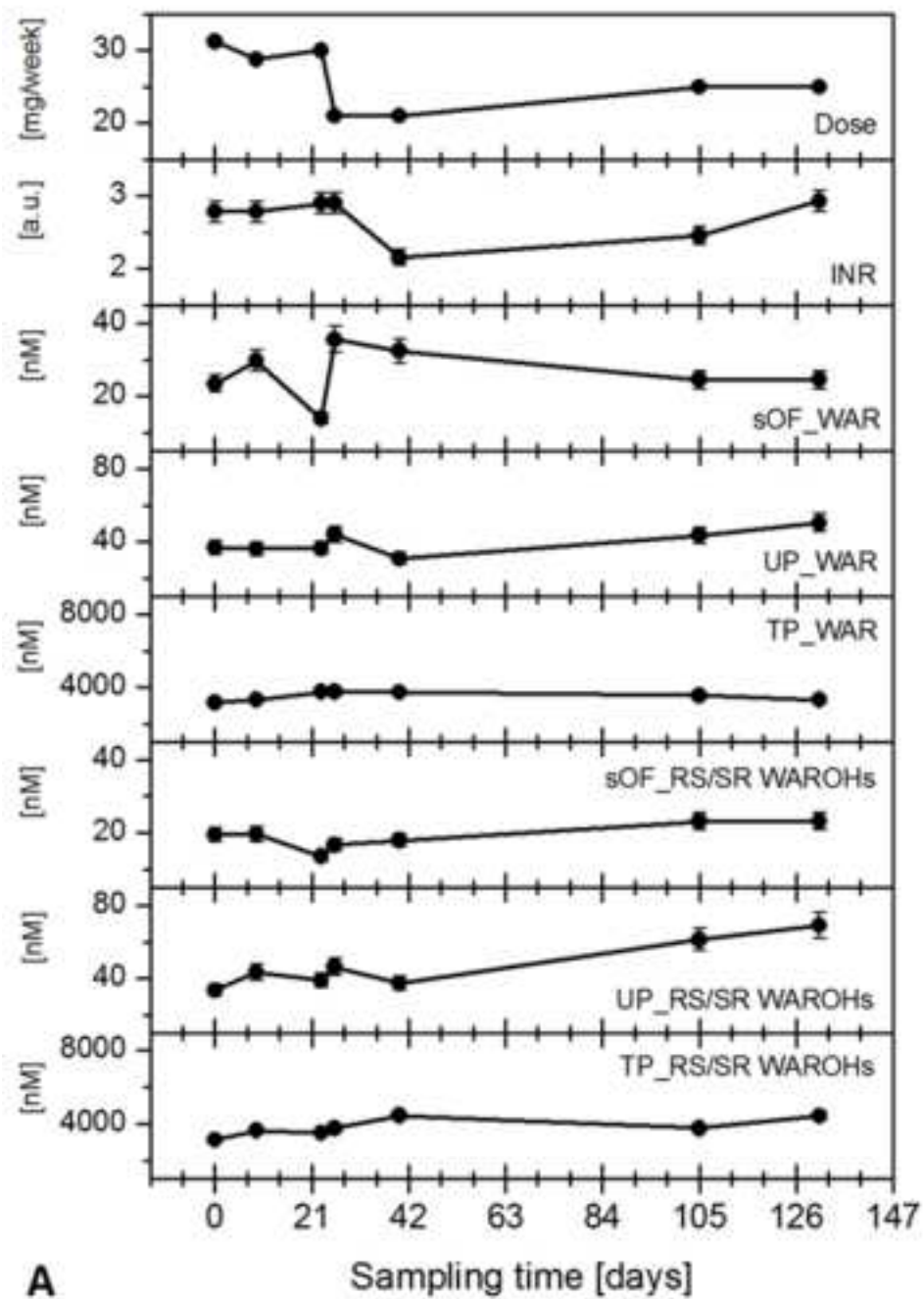


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