1	Effect of phosphate buffer concentration on the isomerization of
2	galactose to rare sugars under subcritical water conditions
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25 Abstract

26Galactose was treated in sodium phosphate buffer at various concentrations (0.1 to 500 27mmol/L) under subcritical water conditions (140°C), and the effects of the buffer 28concentration and reaction time (0 to 300 s) on the reaction behavior were evaluated. 29The reaction proceeded rapidly at higher buffer concentrations. Rare sugars (tagatose, 30talose, and sorbose) were formed from galactose by isomerization. The highest yield of 31the main product, tagatose, was approximately 14% in 50 mmol/L buffer. However, the 32tagatose yield did not increase further with increasing buffer concentration. On the other 33 hand, the formation of talose and sorbose was accelerated at higher buffer concentrations, 34 with the highest yields of approximately 5% and 12%, respectively, in 500 mmol/L buffer. 35At the same time, the formation of byproducts (organic acids and colored substances) 36 was also accelerated in high-concentration buffers. These results suggest that phosphate 37buffer promoted all reactions occurring under subcritical water conditions.

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39 Keywords: isomerization, organic acids, phosphate buffer, rare sugar, subcritical water

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42 **1. Introduction**

43D-Tagatose (hereafter referred to as tagatose) is a GRAS (Generally Recognized as 44Safe) substance and has attracted attention as a sugar substitute sweetener (Nagata, 45Mizuta, Kanasaki, & Tanaka, 2018; Salonen, Salonen, Leisola, & Nyyssölä, 2013). 46Compared with sucrose, it has 92% sweetness but less than half the calories (Choi & 47Chung, 2015; Torrico, Tam, Fuentes, Gonzalez Viejo, & Dunshea, 2019). Tagatose also 48has a low glycemic index (Guerrero-Wyss, Durán Agüero, & Angarita Dávila, 2018), 49meaning that its ingestion causes a slow increase in blood glucose level. Hence, it is 50valuable as an alternative sweetener that could treat type 2 diabetes (Lu, Levin, & 51Donner, 2008). It has also been reported to help maintain dental health (Kim, 2004), and 52to help reduce body weight while increasing high-density lipoprotein cholesterol levels 53(Donner, Magder, & Zarbalian, 2010). D-Talose and D-sorbose are also rare sugars. D-54Talose is reported to show antitumor and antimicrobial activities (Xiao, Wang, Wang, & 55Li, 2010), and D-sorbose possesses inhibitory activity of disaccharidase (Oku, Murata-56Takenoshita, Yamazaki, Shimura, & Nakamura, 2014). Therefore, it is anticipated that 57these rare sugars will be used in various products, such as health foods and functional 58beverages.

59As a naturally occurring rare ketohexose, tagatose is present in very small amounts 60 in Sterculia setigera gum and in dairy products (Hirst, Hough, & Jones, 1949; Kim, 2004; 61Mendoza, Olano, & Villamiel, 2005). Due to its scarcity in nature, its artificial production 62is required, but no method has yet been established for the mass production of tagatose 63 to enable its commercial use. Until now, methods for the mass production of tagatose 64have been studied using chemical (de Bruijn, Kieboom, & van Bekkum, 1986; Drabo & Delidovich, 2018; Nagasawa, Sato, & Kasumi, 2017), enzymatic (Cheng, Metzger, & 65 66 Martínez-Monteagudo, 2020; Zhang, Zhang, Jiang, & Mu, 2017), or biotechnological 67 approaches (Oh, 2007; Roy et al., 2018). However, each of these approaches has its 68 challenges. Chemical methods have drawbacks such as the need for multi-step 69 purification and their inapplicability to food production processes, depending on the 70 catalyst used. Enzymatic methods require the purification of enzymes, long reaction 71 times, and, in some cases, genetically modified organisms.

72Subcritical water is water maintained in a liquid state under pressurized conditions. 73It is characterized by a high ion product and is capable of isomerizing reducing sugars 74(Usuki, Kimura, & Adachi, 2007). For example, galactose isomerizes to tagatose and 75talose during subcritical water treatment (Gao, Kobayashi, & Adachi, 2015). However, 76 there have been reports that the degradation reaction of sugars is pronounced in 77subcritical water, resulting in low isomerization yields of sugars (Hirayama & Kobayashi, 782019; Usuki et al., 2007). This is thought to be due to the formation of organic acids as 79the sugars degrade, lowering the pH of the reaction solution (Jin, Yun, Li, Kishita, Tohji, 80 & Enomoto, 2008; Kishida, Jin, Yan, Moriya, & Enomoto, 2006; Kruse & Gawlik, 2003; 81 Sınağ, Gülbay, Uskan, & Canel, 2010). As a result, the Lobry de Bruyn–Alberda van 82 Ekenstein (LBAE) transformation reaction, which occurs under alkaline conditions and 83 is the main pathway for the formation of rare sugars, is inhibited.

84 To overcome this problem, we previously investigated the production of rare sugars 85 (tagatose and talose) by the isomerization of galactose using phosphate buffer solution 86 under subcritical water conditions and succeeded in greatly improving the yield at pH 87 7.0 (Onishi, Furushiro, Adachi, & Kobayashi, 2021; Onishi, Furushiro, Hirayama, 88 Adachi, & Kobayashi, 2020). However, the effect of the buffer concentration on the 89 reaction behavior is currently unknown. Its clarification would help to make the 90 production of rare sugars more efficient. In this study, galactose was treated under 91subcritical water conditions in sodium phosphate buffer at various buffer concentrations,

and the reaction was evaluated in terms of rare sugar yields and side reactions.

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- 94 2. Materials and methods
- 95 2.1. Materials

D-Galactose, D-tagatose, D-talose, and D-sorbose were purchased from Fujifilm Wako
Pure Chemicals (Osaka, Japan). Other chemicals were purchased from Wako, Dojin
(Kumamoto, Japan) or Nacalai Tesque (Kyoto, Japan).

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100 2.2. Subcritical water treatment of galactose in sodium phosphate buffer

101 Subcritical water treatment of galactose was performed using the same reaction 102apparatus as previously reported (Onishi, Adachi, Tani, & Kobayashi, 2022; Onishi et 103 al., 2021; Onishi et al., 2020). Galactose was dissolved at 5 wt% in 0.1–500 mmol/L (0, 104 0.1, 0.5, 1, 2, 5, 10, 50, 100, 200, 500 mmol/L) sodium phosphate buffer adjusted to pH 1057.0 or in pure water (control), to prepare a substrate solution. Nitrogen gas was then 106blown into the substrate solution to remove oxygen from the solution, and a bag 107containing nitrogen gas was connected to the solution reservoir to prevent re-dissolution 108of oxygen. A PEEK high-performance liquid chromatography (HPLC) tube (0.8 mm 109internal diameter (I.D.), 1.9 mL volume) was used as the reactor. The reaction 110 temperature was fixed at 140°C based on the previous results (Onishi et al., 2020). The 111 reactor was coiled and immersed in an oil bath maintained at 140°C, and the inlet side 112was connected to an HPLC pump (LC-10ADVP, Shimadzu, Kyoto, Japan). The outlet side 113was connected to a cooling water bath, to terminate the reaction. A back pressure valve 114(P-880, Upchurch, IDEX Health & Science, Oak Harbor, WA, USA) was installed at the 115outlet of the reactor to maintain the internal pressure at 3 to 4 MPa. Subcritical water 116treatment was performed by varying the flow rate of the galactose solution to the reactor

to achieve a prescribed reaction time in the range of 30 to 300 s. After reaching a steady state, approximately 1.5 mL of the reactor outlet solution was collected for analysis. The untreated solution was used as a sample with a reaction time of 0 s.

120 The treatment was performed in triplicate for the galactose concentrations of 5, 10, 121 and 50 mmol/L, and standard deviations for the remaining galactose, yields of tagatose 122 and talose were almost within 2%. Because these deviations were not so large, the 123 treatment with other galactose concentrations were performed once.

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125 2.3. Analysis

Sugars in the treated solution were quantified by HPLC, using an HPLC pump (LC-20AD, Shimadzu) connected to a COSMOIL Sugar-D column (3.0 mm I.D. × 250 mm, Nacalai Tesque) and a refractive index detector (RID-20A, Shimadzu). The column temperature was controlled at 40°C, and 80% (v/v) acetonitrile was used as the mobile phase with a flow rate of 0.4 mL/min. The pH of the treated solution was measured at room temperature using a pH meter (D-71, HORIBA, Kyoto, Japan).

To evaluate coloration, absorption spectra (wavelength 200–700 nm) of the treated solutions were measured using a spectrophotometer (U-5100, Hitachi High-Tech Science, Tokyo, Japan). During preliminary experiments, a peak was observed near 440 nm in the spectra, and the absorbance at 440 nm increased with increasing reaction time. Therefore, absorbance at 440 nm was used as an index for the degree of coloration.

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138 **3. Results and discussion**

139 3.1. Effect of buffer concentration on the degradation and isomerization behavior of140 galactose

141 Figure 1 shows the effect of buffer concentration (0.1–500 mmol/L) on the formation

of tagatose, talose, and sorbose from galactose in sodium phosphate buffer maintained at 140°C (subcritical conditions). Galactose began to decrease from the beginning of the reaction (reaction time < 1 min). However, the degree of galactose decrease was rather small at 30 s, with a steep decrease observed after 60 s. The lower decrease at 30 s would be due to the effect of heat transfer between the oil bath and the reaction medium.

147In the early stage of the reaction (<180 s), the remaining galactose rapidly decreased 148with increasing buffer concentration (Fig. 1a). After 180 s, the decrease leveled off. The 149decrease in galactose at the initial stage was particularly pronounced with buffer 150concentrations of 10 mmol/L or higher. Finally, at 300 s, the remaining galactose was 96% at a buffer concentration of 0.1 mmol/L and 75% at 10 mmol/L; however, it had 151152decreased to 17% at 500 mmol/L. Therefore, sodium phosphate promoted the conversion 153of galactose to other substances at 140°C, even at low buffer concentrations, and the 154conversion was considerably higher at higher buffer concentrations. Although the 155conversion of galactose was indeed low at low buffer concentrations, it would be 156considerably higher than in pure water (\sim 1%), clearly indicating the effect of phosphate. 157Next, we discuss the formation of rare sugars (tagatose, talose, and sorbose) by 158isomerization or epimerization (Fig. 1b-d). The yield of tagatose at 300 s was 2.6% in 0.1 159mmol/L and 14% in 50 mmol/L phosphate buffer. The yield of tagatose increased 160 significantly with increasing buffer concentration (Fig. 2); this increase was most 161pronounced in the buffer concentration range of 0.1 to 10 mmol/L.

In parallel with the formation of tagatose, the formation of talose was also observed (Fig. 1c). As previously reported, no talose was detected in the absence of buffer (Onishi et al., 2020). However, with phosphate buffer, the yield of talose increased with increasing buffer concentration (Fig. 2), with the highest yield being approximately 5%; previously reported yields of talose were at most 1.5% (Gao et al., 2015; Onishi et al., 167 2021; Onishi et al., 2020). In contrast to the formation of tagatose, the talose yield 168 significantly increased at buffer concentrations of more than 50 mmol/L. Presently, 169 although the yield of talose is only 4% at most, we expect that increasing the buffer 170 concentration will become a new method for producing talose in the future if the process 171 will be further improved.

172Sorbose was also detected in the galactose-treated solution (Fig. 1d). The effect of 173buffer concentration was considerable above 50 mmol/L, and the concentration 174contributed to increase in the yield (Fig. 2); 500 mmol/L produced the highest yield, of 175approximately 13%. However, the effect of buffer concentration was negligible between 1760 and 2 mmol/L. In terms of the time courses, there was a slight time lag for the formation 177of sorbose (Fig. 1d). The yield of sorbose at 30 s was at most approximately 1%; however, 178after 60 s, the yield increased rapidly with prolonged reaction time. In other words, the 179formation of sorbose was less likely to occur at the beginning of the reaction and occurred 180 somewhat later. This contrasts with the formation of tagatose and talose, which 181proceeded immediately after the start of the reaction. These results suggest that sorbose 182is formed through consecutive reactions (Fig. S1). These consecutive reactions would be 183composed of a multi-step LBAE transformation, as discussed in more detail later.

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185 3.2. Kinetic analysis of isomerization

To further explore the various degrees of reaction progress described above, the initial reaction rate of each sugar (initial rate of decrease for galactose and initial rates of formation for the rare sugars) was analyzed. For the kinetic analysis, the initial reaction rate was calculated from the slope at the beginning of the reaction for each sugar shown in Fig. 1; in calculating the slope, we excluded the data at 30 s, when the effect of heat transfer was obvious.

192Figure 3 shows a log-log plot of the dependence on the buffer concentration of the 193 reaction rates for the formation or decrease in each sugar. In all reactions, the rate 194increased with increasing buffer concentration. In other words, phosphate promoted both 195isomerization and other side reactions. However, the degree of this promotion was 196heavily dependent on the type of sugar. The rate for tagatose formation was maintained 197to a certain degree even at low buffer concentrations, i.e., the use of low-concentration 198buffer solution selectively produced tagatose. On the other hand, the rates for the 199formation of sorbose and talose increased with increasing buffer concentration. These 200results suggest that high-concentration buffer would promote isomerization to various 201rare sugars. The rate of decrease in galactose was greater than the sum of the rates of 202the rare sugar formation, suggesting the occurrence of side reactions. We discuss this in 203more detail in the following section.

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205 3.3. Selectivity of rare sugars during isomerization

206During the isomerization of galactose, rare sugars can be efficiently synthesized if no 207side reactions occur. However, as already noted, the degradation of tagatose and talose 208also occur, decreasing the selectivity of rare sugars. In this section, we discuss the 209selectivity of rare sugars, which represents the ratio of the formation of rare sugars to 210the decrease in galactose (selectivity= $Y_{\text{Tag}}/X_{\text{Gal}} \times 100\%$ or $Y_{\text{Tal}}/X_{\text{Gal}} \times 100\%$ or $Y_{\text{Sor}}/X_{\text{Gal}} \times 100\%$ 100%), where X_{Gal} is the conversion of galactose; and Y_{Tag} , Y_{Tal} , and Y_{Sor} are the yields 211212of tagatose, talose, and sorbose, respectively. Figure 4 shows relationships between the 213conversion of galactose and yields of rare sugars, including the total yield of rare sugars $(Y_{Tag}+Y_{Tal}+Y_{Sor})$. The dashed line represents the relationship between the conversion 214and the yield when no side reactions occur (selectivity=100%); the closer the plot is to 215216the dashed line, the higher the selectivity of rare sugars. Conversely, the further away 217 from the dashed line, the higher the priority of the side reactions.

218Overall, as the reaction progressed (X_{Gal} >15%), the plot of total rare sugars deviated 219more from the dashed line, suggesting increased progression of side reactions. However, 220if the reaction was stopped in the range of $X_{Gal} < 10\%$, the product would be almost 221exclusively rare sugars. The plot for tagatose was also very close to the dashed line when 222 $X_{\text{Gal}} < 10\%$, but it deviated sharply at higher galactose conversion. In addition, the 223tagatose yield was almost constant when $X_{\text{Gal}}>30\%$, probably indicating the presence of 224an equilibrium between the galactose-tagatose conversion reaction. As a result, a 225mixture comprising almost exclusively galactose and tagatose was obtained when XGal<10%. 226

227 On the other hand, talose and sorbose showed different behaviors. For talose, the 228 yield increased gradually and almost linearly when $X_{\text{Gal}} < 50\%$, then leveled off when 229 there was greater galactose conversion ($X_{\text{Gal}} \ge 50\%$). Unlike these rare sugars, the yield 230 of sorbose always increased linearly and was almost the same as that of tagatose at 231 $X_{\text{Gal}} \sim 80\%$. As described above, the yield of tagatose reached a plateau at $X_{\text{Gal}} \ge 20\%$. One 232 of the reasons for this plateau would be the consecutive isomerization of tagatose to 233 sorbose.

It was reported that $Y_{\text{Tag}}=16\%$ when $X_{\text{Gal}}=51\%$ in the presence of base (Drabo et al., 2018). Sn-BEA zeolite (solid Lewis acid) gave $Y_{\text{Tag}}=24\%$ at $X_{\text{Gal}}=29\%$. The selectivity of tagatose in this study somewhat resembled the case using base but was different from that using Lewis acid. This reflects that the reaction mechanism in this study is indeed essentially base-catalyzed reaction (LBAE transformation).

As described above, the behavior for the formation of each rare sugar was strongly influenced by the buffer concentration, and the degree of influence was heavily dependent on the type of sugar. In addition, there was considerably greater production

242of sorbose at higher buffer concentrations. One possible explanation for these results is 243as follows. Each of these isomerization reactions is caused by LBAE transformation (Fig. 244S1). During this transformation, the formation of 2,3-endiols may be kinetically 245predominant at higher buffer concentrations. There may also be a slight predominance 246of talose formation (epimerization). However, the yield of tagatose did not change much 247in the higher buffer concentration range, partly due to the chemical reaction equilibrium 248mentioned above. Therefore, the formation of 2,3-enediol from tagatose would also be 249predominant. The detailed reasons for these phenomena will be clarified in future 250investigations.

251Figure 5 shows the effect of buffer concentration on the composition of sugars and 252byproducts at the reaction time of 300 s. In pure water, the byproducts were less than 2530.5 wt%, but as the buffer concentration increased, the byproduct content increased. In 254addition, more than half of the galactose was converted to byproducts at 500 mmol/L. 255These findings suggest that sodium phosphate buffer does not separately promote 256isomerization, epimerization, or decomposition; rather, it uniformly promotes all possible 257reactions when galactose is subjected to subcritical water treatment. Therefore, we 258compared the results with those of other factors such as pH and UV absorbance and 259discuss their effects on the byproducts in the following section.

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261 3.4. Changes in pH and absorbance following subcritical water treatment

To examine in detail how the buffer concentration influences pH and the degree of coloration of the treated solution, the relationships between buffer concentration, yield of 5-hydroxymethylfurfural (HMF), pH, and absorbance at 440 nm, with a reaction time of 300 s, are depicted in Fig. 6. When the buffer concentration was low (0–2 mmol/L), the pH decreased with increasing buffer concentration, indicating that a low concentration of phosphate buffer possessed little buffering capacity, and the phosphate promoted some
reactions, resulting in lower pH (pH 4.96 at 2 mmol/L). These results indicate that
phosphate has some catalytic ability.

270At buffer concentrations of more than 5 mmol/L, the decrease in pH was suppressed, 271depending on the buffer concentration. This would reflect emerging the buffering 272capacity of phosphate and also indicate that the effective concentration of organic acids 273was lower than 5 mmol/L. In addition, the treated solution became colored as the buffer 274concentration increased. The reasons for this coloration are as follows. It has been 275reported that there are various pathways for the degradation of sugars and byproduct 276formation (Kabyemela, Adschiri, Malaluan, & Arai, 1999; Peterson, Vogel, Lachance, 277Fröling, Antal Jr, & Tester, 2008; Richards & Sephton, 1957; Sasaki et al., 1998) (Fig. 278S2). During the degradation observed in the present study, organic acid formation and 279other side reactions will have occurred in addition to isomerization. As shown in Fig. 5, 280a greater proportion of byproducts formed at higher buffer concentrations; naturally, 281organic acids would also be formed at higher concentrations. These organic acids would 282autocatalytically promote the formation of HMF, a starting material for the formation of 283caramel and humin, from ketoses. It is thought that this increased formation of organic 284acids facilitates the formation of humin (van Zandvoort, van Eck, de Peinder, Heeres, 285Bruijnincx, & Weckhuysen, 2015; van Zandvoort et al., 2013) and caramel (Baltes, 1985; 286Yaylayan & Kaminsky, 1998) from HMF. The humin and caramel formed would result in 287a high degree of coloration, especially at buffer concentrations of 100 mmol/L or higher. 288The yield of HMF was kept low (<0.01%) within the buffer-concentration range of 0.5– 289500 mmol/L. This result indicates that HMF would be immediately converted to humin 290or caramel at higher buffer concentrations.

291 Considering that decolorization of the treated solution is necessary during the

purification of rare sugars, it is desirable to avoid coloration as much as possible. In
addition, from the perspective of production costs, the buffer concentration should be low.
Based on the above results and the additional background details, a buffer concentration
of 10–50 mmol/L would be considered desirable.

In conclusion, sodium phosphate buffer under subcritical water conditions greatly affects the isomerization of galactose and production of rare sugars, depending on the buffer concentration. The formation of tagatose was promoted at low buffer concentrations, but higher concentrations were required to produce talose and sorbose. In addition, byproduct formation was promoted, especially at higher buffer concentrations.

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303 Declaration of competing interests

The authors declare that they have no known competing financial interests or personal
relationships that could have appeared to influence the work reported in this paper.

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307 Credit authorship contribution statement

T. Kobayashi: Conceptualization, Methodology, Writing - Original draft preparation,
Supervision; Y. Onishi: Investigation, Data curation; S. Adachi: Validation, Writing Reviewing & Editing; F. Tani: Validation - Reviewing & Editing.

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316 Data availability

317 The data underlying this article will be shared upon reasonable request to the 318 corresponding author.

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446 Figure captions

Fig. 1. Effects of phosphate buffer concentration on the time courses of (a) decrease in
galactose, (b) formation of tagatose, (c) formation of talose, and (d) formation of sorbose,
under subcritical water conditions at 140°C.

450

Fig. 2. Effects of buffer concentration on the fraction of remaining galactose, yield of tagatose, yield of talose, and yield of sorbose at 300 s. The "//" in the figure represents the omission of a concentration range.

454

455 Fig. 3. Effect of buffer concentration on the reaction rate of galactose degradation,
456 tagatose formation, talose formation, and sorbose formation. The "//" in the figure
457 represents the abbreviated concentration range.

458

459 Fig. 4. Relationship between the conversion of galactose and yield of rare sugars. Open, 460 gray, and closed symbols represent tagatose, talose, and sorbose, respectively. The 461 dashed line is the set of points corresponding to 100% selectivity.

462

463 Fig. 5. Effect of buffer concentration on the composition of treated solutions at the464 reaction time of 300 s.

465

Fig. 6. Effects of buffer concentration on the pH (\bigcirc) and absorbance at 440 nm (Δ), yield of HMF (\Box) of the treated solutions at the reaction time of 300 s. The "//" in the figure represents the abbreviated concentration range.

469





Fig. 1. Effects of phosphate buffer concentration on the time courses of (a) decrease in
galactose, (b) formation of tagatose, (c) formation of talose, and (d) formation of sorbose,
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Fig. 3. Effect of buffer concentration on the reaction rate of galactose degradation, tagatose formation, talose formation, and sorbose formation. The "//" in the figure represents the abbreviated concentration range.



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Fig. 6. Effects of buffer concentration on the pH (\bigcirc) and absorbance at 440 nm (Δ) of the treated solutions at the reaction time of 300 s. The "//" in the figure represents the abbreviated concentration range.



Fig. S1. Pathways for the isomerization of galactose to rare sugars



Fig. S2. Promotion of the formation of byproducts by autocatalytic reaction