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Developmental nicotine exposure alters synaptic input to hypoglossal motoneurons, and is associated with altered function of upper airway muscles

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6 Perinatal nicotine and upper airway motor control

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39

40

41 **Abstract**

42 Nicotine exposure during the fetal and neonatal periods (Developmental nicotine
43 exposure, DNE) is associated with ineffective upper airway protective reflexes in infants.
44 This could be explained by desensitized chemoreceptors and/or mechanoreceptors,
45 diminished neuromuscular transmission or altered synaptic transmission among central
46 neurons, as each of these systems depend in part on cholinergic signaling through
47 nicotinic acetylcholine receptors (nAChRs). Here we showed that DNE blunts the
48 response of the genioglossus muscle to nasal airway occlusion in lightly anesthetized
49 rat pups. The genioglossus muscle helps keep the upper airway open and is innervated
50 by hypoglossal motoneurons (XIIMNs). Experiments using the phrenic nerve-
51 diaphragm preparation showed that DNE does not alter transmission across the
52 neuromuscular junction. Accordingly, we used whole cell recordings from XIIMNs in
53 brainstem slices to examine the influence of DNE on glutamatergic synaptic
54 transmission under baseline conditions and in response to an acute nicotine challenge.
55 DNE did not alter excitatory transmission under baseline conditions. Analysis of
56 cumulative probability distributions revealed that acute nicotine challenge of P1-P2
57 preparations resulted in an increase in the frequency of nicotine-induced glutamatergic
58 inputs to XIIMNs in both control and DNE. By contrast, P3-P5 DNE pups showed a
59 decrease, rather than an increase in frequency. We suggest that this, together with
60 previous studies showing that DNE is associated with a compensatory increase in
61 inhibitory synaptic input to XIIMNs, leads to an excitatory-inhibitory imbalance. This
62 imbalance may contribute to the blunting of airway protective reflexes observed in
63 nicotine exposed animals and human infants.

64

65 **Significance statement**

66 The number one risk factor for sudden infant death (SIDS) is maternal smoking. While
67 the use of nicotine delivery devices such as e-cigarettes is increasing among women of
68 childbearing age, reflecting the belief that the use of nicotine alone is safer than
69 tobacco, SIDS deaths are not decreasing, suggesting that nicotine is the link between
70 maternal smoking and SIDS. Here we show that perinatal nicotine exposure alters a
71 major motor pathway responsible for upper airway patency during sleep. We also
72 introduce an animal model that is well suited to probing the mechanisms underlying the
73 link between maternal nicotine consumption and SIDS, and a phenotype that nicely
74 models key aspects of the events believed to give rise to SIDS.

75

76 **Introduction**

77 Hypoglossal motoneurons (XIIMNs) innervate the muscles of the tongue, which
78 are critically important in the maintenance of airway patency during breathing (Lowe,
79 1980). The breathing-related drive to the tongue muscles relies on the appropriate
80 timing and strength of XIIMN output, which is strongly influenced by the balance of
81 excitatory and inhibitory fast-synaptic inputs that the motoneurons receive (Berger,
82 2011), and a functionally viable neuromuscular junction. Environmental factors, such as
83 exposure to nicotine in the perinatal period, can alter the course of normal nervous
84 system development. This is attributed to nicotine's action on nicotinic acetylcholine
85 receptors (nAChRs), which are well known for their role in modulating synaptic
86 transmission in the brain (Wonnacott et al., 2005) and neuromuscular junction (Wood

87 and Slater, 2001). In terms of tongue muscle function in nicotine-exposed human
88 neonates, there are limited though interesting observations. These include an increased
89 incidence of obstructive apneas (Kahn et al., 1994) and hypoplasia and immaturity of
90 XIIMNs (Ottaviani et al., 2006; Lavezzi et al., 2010). In contrast with these limited data
91 from human neonates, there is a considerable body of work on the influence of
92 developmental nicotine exposure (prenatal exposure with continued exposure in the first
93 week of life, DNE) on the structure and function of XIIMNs. For example, XIIMNs from
94 DNE animals have a significantly more complex dendritic arbor than cells from control
95 animals on postnatal days 1-2 (P1-P2), but by P3-4 the arbor is less complex
96 suggesting altered neuronal development over the first week of life (Powell et al., 2016).
97 As for intrinsic properties, XIIMNs from DNE animals are hyperexcitable (Pilarski et al.,
98 2011) and show increased GABAergic inhibition (Jaiswal et al., 2016; Wollman et al.,
99 2018a). We believe that the increase in GABAergic inhibition to nicotine-exposed
100 XIIMNs is consistent with a homeostatic mechanism aimed at mitigating the increased
101 intrinsic excitability. However, a homeostatic response to the increased cell excitability
102 may also include reductions in excitatory synaptic input to XIIMNs.

103 The experimental results reported here were designed to gain a further
104 understanding of how DNE impacts tongue muscle function at rest and in response to a
105 respiratory challenge, the nature of excitatory synaptic inputs to XIIMNs, and the
106 integrity of the neuromuscular junction. First, tongue muscle function was evaluated in
107 vivo by recording the breathing-related tongue muscle EMG before, during and after a
108 period of airway occlusion in lightly anesthetized neonatal rats. Next, since hypoxia and
109 hypercapnia (as occurs during airway occlusion) is associated with increased

110 acetylcholine release (Metz, 1966; Huckstepp et al., 2016), and DNE is known to alter
111 nAChR function throughout the brain (Wonnacott, 1990; Wonnacott et al., 1990; Gentry
112 and Lukas, 2002), we hypothesized that DNE may change how nAChR activation
113 modulates excitatory fast-synaptic inputs to XIIMNs. Accordingly, we evaluated the
114 amplitude and frequency of AMPA receptor-mediated glutamatergic synaptic inputs to
115 XIIMNs at baseline and in response to acute activation of nAChRs. Finally, using the
116 hemi diaphragm-phrenic nerve preparation as a model, we probed the effects of DNE
117 on the integrity of the neuromuscular junction by measuring neuromuscular
118 transmission failure and susceptibility to fatigue.

119

120 **Materials and Methods**

121 Animals. We used a total of 195 Sprague-Dawley rat pups of either sex, ranging
122 in age from postnatal day one (P1) through P7, which in terms of comparable brain
123 development in humans corresponds roughly to the 23rd week of gestation through birth
124 (Semple et al., 2013). An equal number of control and nicotine exposed animals were
125 used. All neonates were born via spontaneous vaginal delivery from pregnant adult
126 female rats purchased from Charles River Laboratories (Wilmington, MA). Neonates
127 were housed with their mothers and siblings in the animal care facility at the University
128 of Arizona under a 12:12 hour light/dark cycle (lights on 07:00 h), in a quiet room
129 maintained at 22 °C and 20-30% relative humidity, and with water and food available *ad*
130 *libitum*. All procedures and protocols described were approved by the University of
131 Arizona Institutional Animal Care and Use Committee, and in accordance with National
132 Institutes of Health guidelines.

133 Developmental nicotine exposure. Pregnant Sprague-Dawley dams (Charles
134 River Laboratories) were anesthetized with a subcutaneous injection of ketamine (25
135 mg/kg), xylazine (8.0 mg/kg) and acepromazine (1 mg/kg) and an Alzet 1007D mini-
136 osmotic pump (Alzet Corp., CA, USA) was implanted subcutaneously on gestational day
137 5. A subcutaneous injection of buprenorphine (0.5 mg/kg) was given to control
138 postoperative pain. The 28-day pump exposes the pup via the placenta throughout the
139 remainder of gestation (approximately 16 days), and via breast milk after birth, and
140 these successive pre and postnatal exposures define DNE. The pump was loaded to
141 deliver an average dose of 6 mg/kg/day of nicotine bitartrate. This dose produces
142 plasma cotinine (a metabolic by-product of nicotine) levels in the pups ranging from 60-
143 92 ng/ml (Powell et al., 2016), which is comparable to that seen in the plasma of human
144 infants born to mothers who are considered moderate smokers (Berlin et al., 2010).
145 Control animals were obtained from pregnant dams implanted with an Alzet pump filled
146 with saline (sham control). Consistent with our previous studies, there were no
147 systematic differences in measured variables between sham control and animals
148 obtained from pregnant dams that did not undergo pump implantation (true
149 control). Pregnant dams were euthanized on postnatal day 7 using institutionally and
150 federally-approved procedures.

151 In vivo studies. These studies were designed to test the hypothesis that DNE is
152 associated with decreased drive to the tongue muscles in response to airway occlusion
153 (i.e., the model of an external stressor). Neonatal rat pups ranging in age from P3-P7
154 were lightly anesthetized with a mixture of ketamine (30 mg/mL), xylazine (6 mg/mL)
155 and acepromazine (3 mg/mL), injected subcutaneously at a volume corresponding to

156 approximately 0.35 $\mu\text{L/g}$ body weight. Pain sensitivity was checked via multiple paw
157 pinches initiated 10 minutes after the time of injection. Supplemental anesthetic was
158 added until paw retraction upon pinching was abolished. Whole muscle
159 electromyographic (EMG) activity of the genioglossus muscle (GG, a tongue protruder
160 muscle) was recorded using fine wire electrodes inserted into the area underneath the
161 tip of the mandible (Fig. 1A) (Bailey et al., 2005; Rice et al., 2011). An additional hook
162 wire electrode placed into the scruff of the neck near the animal's ear served as an
163 electrical ground. EMG signals were filtered (30-3000 Hz), amplified (Grass P122 AC
164 amplifiers) and sent to an A/D converter (Cambridge Electronic Design (CED); model
165 1401), which sampled the signal at a rate of 8333 Hz. After the experiment, animals
166 were killed with an overdose of pentobarbital sodium, and electrode location was
167 confirmed by dissection. Data were accepted only if we could confirm that the wires
168 were in the GG muscle. In four animals we also inserted pairs of fine wire electrodes
169 into the diaphragm just beneath the lower ribs, to document that overall respiratory
170 motor drive persisted during airway occlusion (Fig. 1B).

171 After implantation of the EMG electrodes, the animal was inserted into a 32 ml
172 head-out plethysmograph in the supine position (Fig. 1A). A neck seal was formed with
173 latex, allowing the animal to breathe normally from the room air, with the thorax and
174 abdomen isolated in the sealed chamber. When the animal inhales, its thorax expands,
175 forcing gas out of the sealed chamber. The gas flow entering and leaving the chamber
176 was measured with a pneumotach (Hans-Rudolph) connected to a pressure transducer
177 (Validyne, sensitivity ± 2 cmH₂O), and from this we obtained a recording that is
178 proportional to respiratory airflow (bottom trace in Fig. 1B). This signal was passed to

179 an analog integrator (Grass) that computed the area under the inspired segment of the
180 curve, providing a measure of the inspired tidal volume (Fig. 1B, third trace from the
181 top). We calibrated tidal volume by injecting known volumes of gas into the chamber
182 with a 50 μ L Hamilton syringe. The pressure, tidal volume and EMG signals were sent
183 to an analog-to-digital converter (Cambridge Electronics Design), displayed in real time
184 on a computer monitor (Spike II software) and stored on a hard drive for subsequent
185 offline analysis. The plethysmograph temperature was maintained between 32 and
186 34°C using a temperature probe and heat lamp. This range is within the thermoneutral
187 zone for neonatal rats (Mortola, 1984; Mortola and Tenney, 1986; Sant'Anna and
188 Mortola, 2003; Mortola, 2004). Though we did not measure body temperature, previous
189 studies show that baseline body temperature is the same in control and DNE rat pups
190 (Feng and Fregosi, 2015).

191 After baseline recordings were completed, the animal was challenged with 15
192 sec of nasal occlusion (Fig. 1B), resulting in strong breathing efforts but an absence of
193 lung inflation, as well as hypoxia, hypercapnia and acidosis. Measurement of peak EMG
194 activity, tidal volume and breathing frequency throughout the period of nasal occlusion
195 were organized into bins corresponding to five, 20% segments of occlusion time. The
196 EMG activity was normalized in each animal by first detecting the largest burst recorded
197 during the experimental procedure and assigning a value of 1.0 to that burst, which
198 represents the peak activity in each experiment. The average burst amplitude within
199 each 20%-time bin was expressed as a fraction of the maximal burst amplitude (e.g.,
200 Fig. 1C). We also measured the time between the onset of nasal occlusion and the
201 onset of the first EMG burst during occlusion, and defined this as the response latency

202 (e.g., Fig. 2). Changes in EMG activity during nasal occlusion were analyzed with two-
203 way ANOVA, with time and treatment the main factors. Post hoc analysis was by
204 Tukey's test. The difference in EMG onset latency was tested with the unpaired t-test.
205 $P < 0.05$ was taken as the threshold for statistical significance (Table 4).

206 In the course of working out the *in vivo* techniques, we completed 15-sec nasal
207 occlusion trials in 135 animals. Only a minority of these animals qualified for the main
208 analysis, which required both high quality plethysmographic and EMG recordings (9
209 control, 11 DNE); the remainder were not used in the main analysis. However, we did
210 find that 12 of the 135 animals failed to recover from nasal occlusion, and as shown in
211 Fig. 3., the majority of these were DNE animals.

212 In vitro study A-whole cell voltage clamp recordings of XIIMNs in medullary slice
213 preparations. These experiments were designed to examine the influence of DNE on
214 AMPA-mediated glutamatergic synaptic input to XIIMNs. As indicated below, we studied
215 both spontaneous excitatory post synaptic currents (sEPSCs) and miniature EPSCs
216 (mEPSCs) inputs. This dual focus is important, as sEPSCs reflect both action potential-
217 mediated glutamate release, as well as inputs due to the random, quantal release of
218 glutamate from presynaptic terminals. Moreover, nAChRs are located presynaptically
219 on the soma, dendrites and axon end-terminals of glutamatergic neurons as well as
220 postsynaptically on XIIMNs, and exposure to nicotine could alter nAChRs in all of these
221 locations. Therefore, recording both miniature and spontaneous events can help
222 determine whether the actions of DNE on XIIMNs are presynaptic or postsynaptic.

223 Pups of either sex were removed from their cages, weighed, anesthetized on ice
224 and decerebrated at the coronal suture. The vertebral column and ribcage were

225 exposed and placed in cold (4-8 °C) oxygenated (95% O₂- 5% CO₂) artificial
226 cerebrospinal fluid (aCSF), composed of the following (in mM): 120 NaCl, 26 NaHCO₃,
227 30 glucose, 1 MgSO₄, 3 KCl, 1.25 NaH₂PO₄, and 1.2 CaCl₂ with pH adjusted to 7.4
228 and osmolarity to 300-325 mOsm. The brainstem was extracted and glued to an agar
229 block, rostral surface up, and 2-3 transverse medullary slices (300-500mM) containing
230 the hypoglossal motor nucleus were cut in a vibratome (VT1000P, Leica) filled with ice-
231 cold aCSF. The slices were then transferred to an equilibration chamber containing
232 fresh, oxygenated, room temperature aCSF and allowed to recover for 1.5 hours before
233 recording.

234 Equilibrated slices were transferred to a recording chamber maintained at 27 °C
235 (TC-324B temperature controller, Warner Instrument Corporation) and perfused
236 with oxygenated (95% O₂/5% CO₂) aCSF at a rate of 1.5-2 ml/min. XIIMNs were
237 visualized with an Olympus BX-50WI fixed-stage microscope (40x water-immersion
238 objective, 0.75 N.A.) with differential contrast optics and a video camera (C2741-62,
239 Hamamatsu). Recordings were made with glass pipettes (tip resistance 3-7 MΩ) pulled
240 from thick-walled borosilicate glass capillary tubes (OD: 1.5 mm, ID: 0.75 mm). We used
241 a CsCl based intracellular solution containing (in mM): 130 CsCl, 5 NaCl, 2 MgCl₂,
242 1 CaCl, 10 HEPES, 2 ATP-Mg, 2 Sucrose, with pH adjusted to 7.2 and osmolarity of
243 250-275 mOsm. Under these conditions, the chloride reversal potential is approximately
244 0 mV (actual value = -2.8 mV) and therefore both excitatory and inhibitory post-synaptic
245 currents are inward at a holding potential of -75 mV. Filled pipettes were attached to a
246 head stage mounted in a micromanipulator (MP-225, Sutter Instrument Company). The

247 head stage was connected to a Multiclamp 700B amplifier, and the signals were
248 digitized with a Digidata 1440A A/D converter (Molecular Devices).

249 The following procedures pertain to all recordings. First XIIMNs were identified
250 based on their size, shape and location. We targeted the cell soma with the pipette and
251 after a gigaohm seal was achieved the membrane was ruptured by suction. After a 5-
252 minute equilibration period to confirm a stable recording, we pharmacologically
253 isolated AMPA receptor-mediated sEPSCs using D-(-)-2-Amino-5-phosphonopentanoic
254 acid (AP-5), strychnine hydrochloride, and bicuculline methiodide to antagonize the
255 NMDA receptors the glycine receptors, and the GABA_A receptors, respectively (Table
256 1). In the first set of experiments, sEPSCs were recorded for three minutes at baseline,
257 and then for an additional three minutes during bath application of nicotine (acute
258 nicotine challenge). This protocol was followed by five minutes of washout with aCSF.

259 In the second set of experiments we examined the influence of DNE on mEPSCs
260 both before and after an acute nicotine challenge. After a stable recording was
261 achieved, we blocked NMDA, GABAA and glycine receptors, as above, to isolate
262 AMPA-mediated excitatory events. This cocktail was superfused for three minutes,
263 followed by the addition of tetrodotoxin (TTX) for two minutes to block action potential
264 firing (Table 1). AMPA receptor-mediated mEPSCs were recorded at baseline for three
265 minutes, after which nicotine bitartrate was added to the superfusate. mEPSCs were
266 recorded for an additional three minutes in the presence of nicotine, followed by a five-
267 minute washout period.

268 In a third set of experiments, to evaluate the influence of DNE on post-synaptic
269 AMPA receptors, recordings were again made in the presence of AP-5, strychnine

270 hydrochloride, bicuculline methiodide, and TTX (Table 1). We then bath applied AMPA,
271 to activate post-synaptic AMPA receptors. Under these conditions, activation of the
272 AMPA receptors produces an inward current and the peak of this current was
273 measured. Post-synaptic currents were recorded in voltage clamp with
274 Clampex software (Molecular Devices, Sunnyvale, CA), and analyzed
275 with MiniAnalysis software (Synaptosoft, Decatur, GA, USA).

276 Drugs: Drugs were purchased from Sigma (St. Louis, MO, USA), except for
277 nicotine bitartrate (MP Biomedicals, LLC, Solon, OH, USA) and TTX (R&D Chemicals,
278 Minneapolis, MN, USA). All drugs were mixed in aCSF on the day of the experiment
279 from previously mixed aliquots that were frozen and stored at 0-2 °C. Antagonists were
280 used at concentrations known to be effective based on our previous studies or the
281 literature. Nicotine was used at the highest dose that produced presynaptic effects
282 (increased frequency of sEPSCs in pilot experiments) without producing a significant
283 inward current, which we found to be 0.5 μ M. This is important, as pilot studies showed
284 that higher concentrations of nicotine (1 mM, 10 mM, and 100 mM) activates
285 postsynaptic nAChRs and evokes an inward current, that decreases the ability to
286 discriminate sEPSCs /mEPSCs. AMPA was used at a concentration that produced an
287 approximately half maximal response (2.5 μ M), based on dose response experiments
288 previously performed in our lab. The drug solutions were oxygenated and maintained at
289 27 °C and perfused into the recording chamber at a rate of 1.5-2 ml/min.

290 Data from a total of 72 cells are reported, with 36 cells from DNE neonates and
291 36 cells from control neonates. Cell numbers for each experiment are summarized in
292 Table 2. The average number of sEPSCs and mEPSCs evaluated per neuron is shown

293 in Table 4. At the end of each experiment, the resting membrane potential and input
294 resistance were measured again to confirm the health of the cell and that
295 the gigaohm seal was still intact. Because of the morphological differences seen in
296 neurons from DNE animals aged P1-2 compared to age P3-5 (Powell et al., 2016), we
297 analyzed our data within these two age groups. For all EPSCs, the inter-event interval
298 (IEI) and peak amplitude were measured during the minute before the nicotine
299 challenge, and throughout the second and third minutes of the challenge. For mEPSCs,
300 rise time was measured at these same time points. There were no differences for any of
301 these variables between the second and third minutes of nicotine challenge, so data
302 recorded in the third minute was used for analysis. Lastly, we measured the peak of the
303 whole cell inward current evoked by stimulation of postsynaptic AMPA receptors with
304 bath applied AMPA (e.g., Fig. 9A).

305 In vitro study B- hemi diaphragm-phrenic nerve preparation. To estimate the
306 influence of DNE on the integrity of the neuromuscular junction, and as a substitute for
307 the hypoglossal nerve-tongue neuromuscular junction (see Discussion), we used
308 neonatal rat (P1-P5) phrenic nerve-hemidiaphragm preparations. Diaphragm muscle
309 was excised and secured in a dish perfused with warmed (37 °C), oxygenated Krebs
310 solution, containing (in mM): 123 NaCl, 26 NaHCO₃, 30 glucose, 1 MgSO₄, 3 KCl, 1.25
311 NaH₂PO₄ and 1.2 CaCl], gassed with 95% O₂/5% CO₂, with pH adjusted to 7.45-7.5.
312 Force was measured with a transducer (Kent Scientific) attached to the central tendon
313 of the hemi diaphragm, and the phrenic nerve was drawn into a suction electrode, which
314 was referenced to a bath ground and connected to a stimulator (Grass S88). Two
315 silver/silver-chloride discs were pinned to the bath on either side of the muscle strip and

316 connected to a second channel on the stimulator for direct depolarization of the muscle
317 fibers, bypassing the neuromuscular junction. Force and the output of the stimulator
318 were digitized and monitored on a computer using Spike II hardware and software
319 (Cambridge Electronics Design, London, UK).

320 To measure muscle twitch force and contraction speed in response to direct
321 muscle stimulation we delivered single, 0.2 ms supramaximal pulses to the bath
322 electrodes. We also measured the decline in force following 5 min of intermittent,
323 supramaximal direct muscle stimulation, while in another set of animals we stimulated
324 the phrenic nerve. Both muscle and nerve were stimulated with 0.2 ms pulses, delivered
325 in 330 ms trains at 40 Hz, with a train delivered every 2 sec. In additional sets of
326 animals, we estimated the contribution of neuromuscular transmission to force loss by
327 applying stimulus trains to the phrenic nerve, as above, while superimposing direct
328 muscle stimulation every 15 sec. Neuromuscular transmission failure was computed by
329 comparing the force loss during nerve stimulation with that evoked by direct muscle
330 stimulation (see Fig. 10C), as described by others (Aldrich et al., 1986; Fournier et al.,
331 1991). Force decline due to neuromuscular transmission failure = (force loss during
332 nerve stimulation - force loss during muscle stimulation) / (1- force loss during muscle
333 stimulation).

334 Statistics. A brief summary of the statistical analysis used in each of the three
335 experimental series is given in Table 2. In vivo experiments. Changes in EMG activity
336 during nasal occlusion were analyzed with two-way ANOVA, with time and treatment
337 the main factors. Post hoc analysis was by Tukey's test. The difference in EMG onset
338 latency was tested with the unpaired t-test. $P < 0.05$ was taken as the threshold for

339 statistical significance (Table 2). Differences in the number of failed autoresuscitations
340 was compared between groups using a Chi square analysis (Table 2).

341 In vitro study A-whole cell voltage clamp recordings of XIIMNs in medullary slice
342 preparations. Differences in baseline variables including age, weight, resting membrane
343 potential, and input resistance were evaluated between treatment groups, and between
344 age groups within a treatment group, by comparing the means from each group with a
345 two-way ANOVA, followed by Tukey's post hoc test for multiple comparisons (Table 2).

346 We analyzed the IEI and amplitude for both sEPSCs and mEPSCs in two ways
347 (see Table 2). First, the IEI and amplitude of all sEPSCs/mEPSCs from all cells within
348 an age or treatment group were used to construct a cumulative probability distribution
349 using Prism (GraphPad Software, Inc., La Jolla, CA) (e.g., Figures 5 and 7). We
350 expressed the cumulative probability as fractions ranging from 0 to 1, such that a value
351 of 0.5 defines the midpoint of the normalized EPSC amplitude or frequency distribution.
352 In these graphs, the y-axis value is the fraction of events that lies at or below the
353 corresponding x-axis value. To compare the IEI and amplitude distributions between
354 baseline conditions and during acute nicotine application, we performed a two-sample
355 Kolmogorov-Smirnov (K-S) test using SPSS (IBM, Armonk, NY).

356 Second, in each cell we recorded the median value of IEI and the event
357 amplitude for every event, both at baseline and during acute nicotine challenge in both
358 age and treatment groups. We then ran a separate mixed model, three-way factorial
359 ANOVA for each of these variables, with the main factors the treatment group (control
360 vs. DNE), age (P1-P2 vs. P3-P5) and experimental condition (baseline vs. acute
361 nicotine challenge). When the ANOVA was significant, we conducted post hoc

362 analyses using the Holm-Sidak multiple comparisons test, with the alpha level set at $P <$
363 0.05. We used an unpaired t-test to compare the mean peak current in control and
364 nicotine exposed cells (Table 2). We note that this approach is considerably more
365 conservative than the analysis of cumulative probability distributions, which is the most
366 popular technique for analyzing excitatory and inhibitory synaptic potentials (Henze et
367 al., 1997). This is because probability distributions typically pool all events from all cells
368 into a single distribution, which inflates the statistical power.

369 In vitro study B- hemi diaphragm-phrenic nerve preparation. Average values for
370 force loss in response to nerve stimulation, muscle stimulation and estimates of
371 neuromuscular transmission failure in control and DNE animals were compared with the
372 unpaired t-test. As above, $P < 0.05$ was the threshold for statistical significance (Table
373 2). Average data is reported as the mean \pm SD throughout the manuscript.

374

375 **Results**

376 ***In vivo studies: Influence of DNE on tongue muscle EMG activity in***
377 ***response to airway obstruction.*** We began our study by assessing the impact of
378 DNE on neural drive to the GG muscle of the tongue, which is innervated by XIIMNs
379 and plays a major role in keeping the upper airway open (Remmers et al., 1978). We
380 did this by challenging the system with a 15 sec nasal occlusion, initiated during the
381 expiratory period. Airway occlusion in neonates typically results in a strong increase in
382 drive to the muscles of breathing. The representative recordings in Fig. 1B show that
383 nasal occlusion is associated with a monotonic increase in the EMG activity of both the
384 diaphragm and the GG. The group average data (Fig. 1C) show that the increase in

385 GG EMG activity during occlusion was significantly blunted in the DNE animals,
386 consistent with a reduced excitation of XIIMNs. In addition to the reduced amplitude of
387 the GG EMG during occlusion, the onset latency was longer in DNE animals ($P <$
388 0.001), as shown in the representative recordings in Figs. 2A and 2B, with individual
389 and mean values shown in Fig. 2C. This observation is consistent with a DNE-
390 mediated blunting of excitatory drive to hypoglossal motoneurons during airway
391 occlusion.

392 As indicated in methods, we did the nasal occlusion test in 135 neonates and
393 noted that 12 of the 135 never recovered, and instead entered a state characterized by
394 terminal gasping. The pattern of breathing in animals that did not recover most often
395 approximated that shown in Fig. 3A, in that long periods of apnea were terminated
396 following bursts of GG activity. Fig. 3A also shows that, at times, multiple bursts of GG
397 EMG activity were required to terminate an apnea. These observations are consistent
398 with upper airway obstruction, as the bursting pattern of GG EMG activity suggests that
399 the XIIMNs were receiving drive from the respiratory central pattern generator but
400 airflow was not detected. Interestingly, of the 12 neonates that entered this state of
401 unstable breathing, nine were DNE animals (Fig. 3B). This difference in the ability to
402 survive nasal airway occlusion was statistically significant by Chi square analysis (Chi
403 statistic = 3.594, Z score = 1.896, $P = 0.0290$), with an adjusted odds ratio of 3.5.

404 ***In vitro study A-whole cell voltage clamp recordings of XIIMNs in medullary***
405 ***slice preparation.***

406 Influence of DNE on age, weight, V_m and input resistance. The age and weight
407 of the animals used in these experiments are shown in Table 3. The age of the animals

408 studied in each treatment group was the same, eliminating age bias in the results. The
409 older animals were heavier, as expected, but there were no differences in body weight
410 between control and DNE animals in either age group. There were also no effects of
411 age or treatment for either V_m or input resistance (Table 3). We note that the values for
412 input resistance are higher than values recorded with standard intracellular solutions,
413 but are consistent with values recorded with Cs-based intracellular solutions, as used
414 here.

415 Influence of DNE on the frequency and amplitude of glutamatergic sEPSCs in
416 brain stem slices. To evaluate the influence of DNE on network level AMPA receptor-
417 mediated synaptic events under baseline conditions, we evaluated differences in the
418 inter-event intervals (IEIs) and the amplitude of sEPSCs in control and DNE cells. The
419 upper traces in Fig. 4A and 4B are example recordings of glutamatergic sEPSCs from
420 one control and one DNE cell under baseline conditions; both recordings were obtained
421 from a P4 animal. There are no obvious differences in the traces from control and DNE
422 cells at baseline, which is consistent with comparisons of the mean data showing no
423 significant differences for baseline sEPSC IEI (Fig. 8A) or amplitude (Table 3) between
424 control and DNE cells, in either of the age groups.

425 We then studied the influence of an acute nicotine challenge on the frequency
426 and amplitude of sEPSCs. The tracings in Fig. 4 (recordings labeled 0.5 μ M Nicotine)
427 show a modest increase in sEPSC frequency with nicotine challenge in the control cell,
428 while the DNE cell showed little change in amplitude, but a decrease in frequency.
429 Examination of cumulative probability curves in animals aged P1-P2 (Figs. 5A and 5B)
430 show that the distributions shifted to the left, to lower IEIs (higher frequency) with acute

431 nicotine challenge in both control ($P=0.049$, based on 675 and 749 events at baseline
432 and with acute nicotine challenge, respectively) and DNE cells ($P<0.0001$, 871 events at
433 baseline, 1170 events with nicotine challenge). In animals aged P3-P5, nicotine
434 challenge again shifted the cumulative probability distributions to the left in control
435 animals (Fig. 5C; $P<0.0001$, based on 570 and 1271 events analyzed at baseline and
436 during nicotine challenge, respectively). However, in the P3-P5 DNE animals acute
437 nicotine challenge shifted the curve to the right, indicating a slowing, rather than an
438 increase in sEPSC frequency (Fig. 5D; $P=0.012$, based on 678 and 501 events
439 analyzed at baseline and during nicotine challenge, respectively).

440 We also analyzed the group mean data for all events by first averaging all events
441 in each cell, followed by calculation of the grand mean value within each of the four age
442 and treatment groups (Fig. 8A). The group mean data show that in control cells, acute
443 nicotine challenge had no significant effect on the IEI at either age (Fig. 8A). In
444 contrast, whereas acute nicotine challenge had no significant effect on DNE cells at
445 ages P1-2, it was associated with an increase in sEPSC IEI in cells from animals aged
446 P3-P5, indicating a significant decrease in the frequency of sEPSCs ($P = 0.0021$, Fig.
447 8A). In addition, the change in IEI in the DNE cells from P1-2 and P3-5 animals is
448 significantly different ($P = 0.0001$, Fig. 8A). The IEI in DNE cells from P3-5 pups was
449 also different from the IEI in cells from P3-5 control cells ($P = 0.0006$, Fig. 8A). As with
450 control cells, nicotine challenge had no effect on sEPSC amplitude in cells from DNE
451 animals at either age, and this was true whether we analyzed the entire population of
452 events with cumulative probability analyses (data not shown), or with ANOVA based on
453 the average data in each age and treatment group (Table 5).

454 Frequency, amplitude and rise time of glutamatergic mEPSCs. We also
455 evaluated how DNE affects the frequency, amplitude and rise time of AMPA receptor-
456 mediated mEPSCs, which represent the random, quantal release of glutamate from
457 presynaptic terminals. The upper traces in Fig. 6A and 6B are mEPSCs recorded under
458 baseline conditions, while the lower traces were recorded during acute nicotine
459 challenges. Figures 6A and 6B are from a control and DNE animal, both studied on P2.

460 Examination of cumulative probability curves in animals aged P1-P2 (Figs. 7A
461 and 7B) show that the distributions shifted to the left, to lower IEIs (higher frequency)
462 with acute nicotine challenge in both control ($P < 0.0001$, based on 168 and 221 events
463 at baseline and with acute nicotine challenge, respectively) and DNE cells ($P < 0.0001$,
464 169 events at baseline, 361 events with nicotine challenge). In animals aged P3-P5,
465 nicotine challenge again shifted the cumulative probability distributions to the left in
466 control animals (Fig. 7C; $P = 0.004$, based on 91 and 164 events analyzed at baseline
467 and during nicotine challenge, respectively). However, in the P3-P5 DNE animals acute
468 nicotine challenge did not affect the cumulative probability distribution of mEPSCs
469 significantly (Fig. 7D; $P = 0.066$, based on 186 and 202 events analyzed at baseline and
470 during nicotine challenge, respectively).

471 Analysis of the group mean data did not reveal significant differences in either
472 the frequency (Fig. 8B) or amplitude (Table 5) of mEPSCs in either control or DNE cells,
473 both at baseline and with acute nicotine challenge. Similarly, there were no significant
474 differences for mEPSC rise time either between treatment groups at baseline, or
475 between baseline and nicotine challenge within a treatment group (Table 5).

476 Influence of DNE on postsynaptic AMPA receptors. To gain a more complete
477 understanding of DNE-mediated effects on AMPA receptor function, we obtained
478 recordings from XIIMNs and measured the peak inward current that was produced by
479 bath application of 2.5 μ M AMPA in the presence of AP-5, strychnine hydrochloride,
480 bicuculline methiodide, and TTX (Table 1). Figure 6A shows an example trace of the
481 inward current that results from activation of the postsynaptic AMPA receptors with bath
482 application of 2.5 μ M AMPA in a control cell from a P1 animal. The average peak
483 amplitude of the inward current was the same in DNE and control cells in both age
484 groups, and there were no differences in current amplitude with age in either control
485 cells or DNE cells (Fig. 9B).

486 ***In vitro study B- Influence of DNE on diaphragm muscle contractile***
487 ***properties and the susceptibility to fatigue.*** Contractile properties (mean \pm SD)
488 including peak twitch tension (Control, 2.5 \pm 1.2 g; DNE 2.6 \pm 1.3 g), time to peak
489 tension (Control, 50 \pm 10 ms; DNE 60 \pm 10 ms), and $\frac{1}{2}$ relaxation time (Control, 70 \pm 20
490 ms; DNE 60 \pm 20 ms) were the same in diaphragm strips from control and DNE
491 animals. We note that our values for each of these variables are similar to those
492 reported in 7 day-old neonatal rats (Zhan et al., 1998). Figure 7A is an example of the
493 force decline recorded in diaphragm muscle strips following repetitive trains of phrenic
494 nerve stimulation, while Fig. 10C is an example of the protocol used to estimate the
495 contribution of neuromuscular transmission failure to the decline in force. Note that
496 direct muscle stimulation was superimposed on phrenic nerve stimulation approximately
497 every 15 sec, and the difference in force between nerve and muscle stimulation was
498 used to compute an index of neuromuscular transmission failure (see Methods). The

499 force loss following repetitive stimulation of muscle directly (Fig. 10D) or the phrenic
500 nerve (Fig. 10E) was the same in control and DNE preparations. Similarly, the
501 percentage of the force decline attributable to neuromuscular transmission failure was
502 the same in both treatment groups (Fig. 10F). Thus, DNE does not impair the
503 physiology of the neuromuscular junction in diaphragm muscle.

504

505 **Discussion**

506 Inadvertent obstruction of the airway (e.g., an infant's head covered by bedding)
507 is accompanied by an increase in blood CO₂ and a decrease in O₂, leading to an
508 increase in the release of several neurotransmitters, including ACh (Metz, 1966). The
509 increased release of excitatory neurotransmitters helps support the respiratory motor
510 response to chemoreceptor stimulation. Here, we found that nicotine exposed neonatal
511 rats had a delayed and blunted genioglossus muscle motor response to nasal airway
512 occlusion, consistent with an attenuation of excitatory drive to XIIMNs under these
513 conditions. We then used an *in vitro* approach to examine excitatory synaptic input to
514 XIIMNs both under baseline conditions and in response to an acute nicotine challenge,
515 which mimics the stimulation of nAChRs that accompanies the release of endogenous
516 ACh, or an increase in central nicotine levels secondary to tobacco smoking or the use
517 of nicotine delivery devices. The key finding is that in 3-5-day old animals, an acute
518 nicotine challenge evoked a marked increase in excitatory synaptic input to XIIMNs in
519 control animals, while the frequency decreased in the DNE pups. Together with
520 previous work showing that nicotine challenge increased GABAergic inhibitory input to
521 XIIMNs (Neff et al., 2003; Jaiswal et al., 2016; Wollman et al., 2018a), these

522 observations suggest that DNE shifts the excitatory-inhibitory balance in XIIMNs
523 towards inhibition in response to a nicotine challenge. This is a deviation from the
524 normal response of neural systems, wherein neuronal spiking activity is maintained
525 within homeostatic limits by careful adjustments in the balance of excitatory and
526 inhibitory synaptic inputs to a neuron or network of neurons (Turrigiano, 2012; Wenner,
527 2014). Below, we discuss how alterations in nAChR function and/or altered
528 development of XIIMNs may underlie the observation that DNE blunts the genioglossus
529 motor response to nasal occlusion and reduces the likelihood of surviving an occlusion.

530 *DNE blunts the genioglossus motor response to airway obstruction.* Previous
531 work has mainly utilized in vitro techniques to evaluate how DNE alters
532 neurotransmission and the development of hypoglossal motoneurons, which innervate
533 the tongue muscles. In contrast, we are unaware of any studies on the influence of DNE
534 on the control of tongue muscle activity in-vivo. Here, we show that DNE blunts the
535 magnitude and delays the activation of the GG EMG during imposed nasal occlusions.
536 Although we are unable to establish the mechanisms underlying these observations,
537 there are clues from previous work. First, nasal occlusion prevents lung inflation, and
538 the absence of inflation releases hypoglossal motoneurons from inhibition, leading to
539 increased GG activity, at least in adult rodents (Bailey et al., 2001). Second, the
540 previously described reduction in chemosensitivity with DNE in neonatal rodents (St-
541 John and Leiter, 1999; Fewell et al., 2001; Simakajornboon et al., 2004; Hafstrom et al.,
542 2005; Eugenin et al., 2008; Mahliere et al., 2008; Huang et al., 2010) may explain the
543 reduced GG activity during nasal occlusion, as combined hypoxia and hypercapnia
544 become progressively more severe as the occlusion continues and DNE animals are

545 not as well equipped to initiate chemoreceptor-mediated activation of hypoglossal
546 motoneurons. The mechanism of the blunted ventilatory response to chemoreceptor
547 stimulation in nicotine-exposed animals is unknown but could be due to effects on
548 peripheral and central chemoreceptor signaling, and/or a reduced respiratory motor
549 response to the chemoreceptor afferent input. Third, in vitro studies show that DNE is
550 associated with various disruptions in the growth, intrinsic membrane properties and
551 synaptic inputs to hypoglossal motoneurons (Robinson et al., 2002; Pilarski et al., 2011;
552 Jaiswal et al., 2013; Powell et al., 2016; Vivekanandarajah et al., 2016). It is likely that
553 each of the factors contribute in some way to the blunted GG response to nasal
554 occlusion in nicotine exposed pups.

555 We also showed that the majority of pups that failed to recover from nasal
556 occlusion were nicotine exposed. Animals that were used to obtain the main
557 experimental data sets had to meet certain criteria in order for their responses to be
558 analyzed. Criteria included reestablishing inspiratory flow, tidal volume, breathing
559 frequency and EMG activity to baseline levels following nasal occlusions. One hundred
560 and twenty-five animals met these criteria, while 12 did not. Of great interest is that 9
561 out of the 12 animals that failed to recover were nicotine exposed. These findings
562 suggest that DNE may increase the probability that a neonate experiencing an airway
563 occlusion will fail to reestablish a normal breathing pattern, leading to hypoxia and
564 acidosis. An important caveat that envelopes ventilatory measures in neonatal animals
565 is that the stress of maternal separation may interact with DNE and contribute to the
566 altered GG EMG responses observed. Indeed, impaired volitional motor control in DNE
567 animals is exacerbated by maternal separation (Bassey and Gondre-Lewis, 2019).

568 *Influence of DNE on AMPA receptor-mediated glutamatergic neurotransmission.*

569 Surprisingly, recordings done under baseline conditions did not reveal
570 differences in the frequency or amplitude of sEPSCs or mEPSCs between control cells
571 and DNE cells at either age. We also assessed postsynaptic receptor function with bath
572 application of AMPA in synaptically isolated neurons. There were no differences in peak
573 AMPA current in control or DNE cells in either age group, and there were no age-
574 dependent changes within a treatment group for any of these variables. We note that
575 this approach stimulates both synaptic and extra-synaptic AMPA receptors which may
576 respond differently to DNE. Nevertheless, when taken together with the data showing
577 no change in mESPC amplitude with DNE, the findings indicate that under baseline
578 conditions, DNE does not alter glutamatergic synaptic input to XIIMNs, or the
579 postsynaptic response to AMPA.

580 An important caveat underlying these observations is that previous work showed
581 that the frequency of AMPA receptor-mediated glutamatergic sEPSCs was lower in
582 XIIMNs from DNE cells compared to control cells (Pilarski et al., 2011). However, the
583 latter experiments were done for a different purpose, with recordings made in the setting
584 of elevated extracellular potassium (9 mM) in thick brainstem slices. Moreover,
585 because the cells were bursting under these conditions, the excitatory inputs could only
586 be discerned in the interburst interval, they were not isolated pharmacologically (i.e.,
587 inhibitory transmission was intact) and the response to acute nicotine challenge was not
588 examined. Accordingly, the present results extend these earlier findings.

589 In many physiologic systems underlying pathology is not obvious under baseline
590 conditions but can be revealed when the system is stimulated. It is well known that

591 stimulation of nAChRs on glutamatergic neurons leads to increased release of
592 glutamate (Wonnacott et al., 1990; Wonnacott, 1997; Gentry and Lukas, 2002).
593 Importantly, chronic nicotine exposure is associated with both an upregulation and long-
594 term desensitization of nAChRs in many neuron types (Wonnacott, 1990; Gentry and
595 Lukas, 2002), including XIIMNs (Pilarski et al., 2012); (Wollman et al., 2016).
596 Accordingly, we also studied glutamatergic synaptic transmission while nAChRs were
597 activated with an acute nicotine challenge. Whereas nicotinic stimulation of
598 glutamatergic synaptic transmission was the same in control and DNE pups studied on
599 P1 and P2, there were significant treatment effects in P3-P5 animals. In P3-P5 control
600 animals, acute nicotine challenge increased the frequency of both sEPSCs and
601 mEPSCs, while the frequency of sEPSCs decreased in the DNE animals. Importantly,
602 the stimulation of mEPSCs by acute nicotine challenge in control preparations indicates
603 that nicotine is likely acting on the presynaptic terminals of glutamatergic neurons that
604 impinge upon the motoneurons. The stimulation of sEPSC frequency could involve
605 other sites of nicotine's action, including the soma or dendrites of glutamatergic neurons
606 or neurons presynaptic to them. Nicotine challenge did not affect the mEPSC frequency
607 of P3-5 DNE preparations. Thus, the stimulatory effect on axon terminals at earlier
608 stages may be blunted and/or the reduction in sEPSC frequency at stages P3-5 reflects
609 sites of action other than the presynaptic terminals. Although the mechanisms
610 responsible for the qualitative change in nicotinic control of glutamatergic synaptic
611 transmission in P3-5 animals is unknown, we hypothesize that this is part of the
612 compensatory response to the increased excitability in XIIMNs from nicotine exposed
613 animals (Pilarski et al., 2011; Jaiswal et al., 2013). The 3-5-day delay may reflect the

614 time needed to establish compensatory mechanisms after birth, which is accompanied
615 by a sudden demand for tongue muscle activation to support suckling, licking and
616 swallowing (Thiels et al., 1990). Strategies that neural systems use to compensate for
617 increased excitability could include reducing dendrite volume, increasing pre and/or
618 postsynaptic inhibitory input, or reducing excitatory input. There is evidence that all
619 three adjustments occur in XIIMNs from DNE animals. First, the dendritic tree in XIIMNs
620 from DNE animals is larger and more complex than that of controls on P1-2, but is
621 smaller and less complex by P3-4 (Powell et al., 2016), indicating changes in the timing
622 of growth and pruning of XIIMNs due to DNE. Similarly, DNE may alter the growth and
623 pruning of specific populations of glutamatergic neurons in this region, which could
624 result in altered responses to acute nicotine challenge as seen here. This is supported
625 by work showing that neuronal development is dependent on the trophic effects of ACh,
626 both in utero and into adolescence, and disruption of nicotinic cholinergic signaling in
627 this developmental window alters brain morphology and function, leading to behavioral
628 abnormalities in both humans and animal models (Slotkin et al., 1987; Navarro et al.,
629 1989; Slotkin, 2004). Additionally, changes in the frequency of inhibitory inputs to
630 XIIMNs are known to occur with DNE (Wollman et al., 2018a, b), and DNE is associated
631 with an increase in the postsynaptic response to muscimol in XIIMNs (Wollman et al.,
632 2018a), consistent with an increase in GABA receptor expression (Jaiswal et al., 2016).
633 Other possibilities include inhibitory effects of nAChR activation, activation of GABAB
634 receptors, which were not blocked, or perhaps nicotine-mediated effects on other
635 neuromodulators that inhibit glutamatergic inputs to XII motoneurons, such as serotonin
636 (Singer et al., 1996).

637 Influence of DNE on the balance of excitatory and inhibitory inputs to XIIMNs. A

638 noteworthy finding from these experiments is that the frequency of glutamatergic
639 sEPSCs invading XIIMNs is lower than the frequency of spontaneous inhibitory
640 postsynaptic currents that have been observed in these cells in previous experiments.
641 For example, glutamatergic sEPSCs in XIIMNs at baseline had an average IEI of 1500
642 ms, while GABAergic inputs to XIIMNs had an average IEI of 400 ms under baseline
643 conditions (Wollman et al., 2018a). These differences carry two important implications.
644 First, the data suggest that XIIMNs are under significant inhibition at rest. And second,
645 it is possible that only small changes in the frequency of glutamatergic inputs have large
646 physiological effects. This could also indicate that the strength of excitatory inputs may
647 be much more relevant during periods of high activity than at rest, and therefore the
648 DNE mediated changes may become more pronounced under conditions where
649 excitatory drive is increased. Interestingly, the reduction in glutamatergic input that is
650 evoked by nicotine challenge in stages P3-5 cannot be due to enhanced GABAergic or
651 glycinergic inhibition because these were blocked in the current experiments. While we
652 can only speculate, it is possible that nicotine evoked a distinct inhibitory effect, either
653 by direct action or by causing the release of inhibitory neuromodulators (Singer et al.,
654 1996; Maggi et al., 2004).

655 DNE and the integrity of the neuromuscular junction. Adult mammals are said to
656 have a high “safety factor” at the neuromuscular junction, which refers to the ability of
657 neuromuscular transmission to remain effective even under stressful conditions such
658 fatiguing contractions which can occur with elevations in airway resistance or sustained
659 hyperpnea. It is believed that the safety factor is a presynaptic phenomenon, such that

660 the amount of ACh released per nerve impulse exceeds the quantity needed to activate
661 nAChRs and depolarize muscle. However, neuromuscular transmission includes
662 postsynaptic mechanisms as well, and it is possible that DNE alters the function of
663 nAChRs at the neuromuscular junction. Moreover, there is evidence that the safety
664 factor in neonates is lower than in adults due to a relatively low quantal content (Kelly,
665 1978) and more axonal branch point failure (Fournier et al., 1991). Accordingly, we
666 examined the integrity of the neuromuscular junction in control and DNE neonates by
667 stimulating the phrenic nerve repetitively, with periodic superimposition of direct
668 stimulation of muscle fibers. Comparison of the force evoked by phrenic nerve and/or
669 direct stimulation of the muscle fibers showed that DNE had no influence on
670 neuromuscular transmission.

671 An important caveat is that we used the diaphragm muscle for these
672 experiments, rather than the tongue muscles, which are innervated by XIIMNs. Pilot
673 studies showed that measuring force in excised tongue muscles from such small
674 animals is difficult and we were not confident that the measured force was accurate or
675 reproducible. The phrenic nerve-diaphragm preparation did not present these
676 challenges, which explains why it has been an archetypal model for studying the
677 neuromuscular junction.

678 Functional Significance. The consensus explanation for sudden infant death
679 (SIDS) and Apparent Life-Threatening Events (ALTE) is the triple risk hypothesis
680 (Filiano and Kinney, 1994), which is based on the convergence of 1) a vulnerable
681 neonate (typically due to risks established in utero); 2) a critical developmental period;
682 3) and an exogenous stressor. Maternal smoking is indeed the number one risk factor

683 for SIDS and apparent life threatening events in neonates, but the lack of a suitable animal
684 model to probe the mechanisms underlying this association has been elusive. It is
685 noteworthy that SIDS risk is highest in infants aged 4-5 months, while it has been
686 suggested the first two weeks of life in the rat corresponds to 28-40 weeks of gestation
687 in humans (Dwyer et al., 2009), so although the model mimics the triple risk model of
688 SIDS, the developmental discrepancies between rodents and humans make an exact
689 comparison impossible. Nevertheless, we propose that our animal model replicates, at
690 least in part, the triple risk model. Specifically, DNE results in a decrease in nicotine-
691 mediated glutamatergic drive to XIIMNs (vulnerability) at P3-5, but not P1-2 (critical
692 developmental period), and when we imposed airway occlusion (external stressor), the
693 DNE animals had a markedly blunted genioglossus muscle motor response and were
694 less likely to survive the challenge. In summary, the combination of in vitro and in vivo
695 models used here has proven useful in the quest to understand how, and to what
696 extent, maternal smoking/nicotine exposure impairs the function of hypoglossal
697 motoneurons and protective respiratory reflexes.
698

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846 **Figure and Table legends**

847 **Table 1.** List of drug cocktails used to isolate AMPA receptor-mediated
848 glutamatergic EPSCs and postsynaptic AMPA receptors, with the number of cells used
849 in each condition. The number of cells studied in each experiment are also shown.

850 **Table 2.** Statistical tests and significance threshold used for each experiment in
851 each experimental series.

852 **Table 3.** Age, weight, resting membrane potential (mV), and input resistance
853 (Rin) of XIIMNs from control and DNE animals. Values are mean \pm SD. There were no
854 differences in any of these variables between control and DNE cells. The only
855 significant differences between P1-P2 and P3-P5 *within* a treatment group was body
856 weight, as expected. ***, $P < 0.001$, P1-P2 vs. P3-P5 within a treatment group.

857 **Table 4.** Number of sEPSCs and mEPSCs recorded per neuron at baseline and
858 during acute nicotine application. Values are mean \pm SD.

859 **Table 5.** Mean values for amplitude of glutamatergic sEPSCs, mEPSCs and
860 mEPSC rise time at baseline and during acute nicotine challenge. There were no
861 significant differences in any of these variables.

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863 **Figure 1. In vivo experimental model and EMG response to nasal occlusion.**

864 *Panel A.* Schematic rendition of the in vivo experimental preparation, which combines
865 head-out plethysmography and genioglossus EMG recordings in lightly anesthetized
866 neonatal rats, as described in Methods. *Panel B.* Example trace showing diaphragm
867 and genioglossus EMG and integrated EMG along with volume and flow traces obtained
868 from the plethysmograph. After 5 minutes of uninterrupted baseline recordings, a 10- 15
869 second nasal occlusion was administered (*rectangle*). *Panel C.* Genioglossus (GG)
870 EMG amplitude during the nasal occlusion. The duration of the nasal occlusion was
871 normalized by dividing the total duration of each occlusion into equal 20%-time bins.
872 EMG amplitude was normalized as a percent of the largest burst recorded (see
873 Methods). All animals in both groups showed increased GG burst amplitude as the
874 nasal occlusion progressed. Post hoc analysis following 2-way ANOVA revealed that
875 DNE animals had a significantly blunted amplitude response compared to control at the
876 40%, 60%- and 80%-time bins. *, $P < 0.05$, ** $P < 0.01$, ***, $P < 0.001$.

877 **Figure 2. Elapsed time between the onset of nasal occlusion to first**
878 **discernible genioglossus muscle EMG burst, defined as onset latency.** *Panel A*
879 shows recordings from representative control and DNE pups, as indicated. The length
880 of the blue line under the EMG tracing represents the latency, which is prolonged in the
881 DNE animal. following the onset of nasal occlusion. *Panel B* shows the onset latency in
882 9 control and DNE pups. The horizontal lines represent the mean value. An unpaired t-
883 test revealed a significant difference between the groups (***, $P < 0.001$).

884 **Figure 3. Failure to recover from nasal occlusion.** *Panel A.* An example
885 tracing of one of the 12 animals that exhibited continuous breathing difficulties post

886 nasal occlusion, as explained in Results. *Panel B*. The number of animals in each
887 treatment group that either recovered from nasal occlusion or failed to recover. Note
888 that of the 12 animals that failed to recover, 9 were from the DNE group, which is a
889 significant difference by Chi square analysis ($P = 0.0290$).

890 **Figure 4. Example traces of AMPA receptor-mediated sEPSCs recorded**
891 **from XIIMNs.** Panels A and B show representative traces of pharmacologically isolated
892 sEPSCs from a control animal (Panel A) and a DNE animal (Panel B), both studied on
893 P4. Each trace shows the entire three-minute recording period at baseline (upper trace
894 in each panel) and during acute nicotine application (bottom trace in each panel). Inset
895 panels are an expanded view, showing 10 seconds of the recording at the end of each
896 trace. Note that the size and frequency of events at baseline is similar in the control and
897 DNE animals. In contrast, with acute nicotine challenge (bottom trace in each panel) the
898 DNE cell shows a decrease in sEPSC frequency, whereas there is a modest increase in
899 the control cell.

900 **Figure 5. DNE alters the modulation of glutamatergic sEPSCs in response**
901 **to an acute nicotine challenge, but only in cells from pups aged P3-P5.**
902 Cumulative probability distributions of glutamatergic sEPSC IEIs in control and DNE
903 cells, at baseline and during acute nicotine challenge. At P1-2 (**Panels A and B**), acute
904 nicotine challenge with 0.5 μM nicotine (black dashed lines) caused a left shift, toward
905 shorter IEIs, of glutamatergic sEPSCs in both control and DNE cells (Control, $P=0.049$,
906 **Panel A**; DNE, $P<0.0001$, **Panel B**). In cells from P3-P5 animals (**Panels C and D**),
907 acute nicotine challenge caused a left shift, toward shorter IEIs in control cells
908 ($P<0.0001$, **Panel C**), the distribution shifted to the right, towards longer IEIs in the DNE

909 cells ($P=0.012$, **Panel D**). Arrows indicate the direction of the shift with acute nicotine
910 challenge and indicates significant differences with K-S test (**See Methods**). Dotted
911 gray lines indicate the 95% confidence intervals of each curve.

912 **Figure 6. Influence of DNE on AMPA receptor-mediated mEPSCs recorded**
913 **from XIIMNs.** Panels A and B show representative traces of pharmacologically isolated
914 mEPSCs from a control animal (Panel A) and a DNE animal (Panel B) studied on P4.
915 Each trace shows the entire three minutes of recording at baseline (top trace) and
916 during acute nicotine application (bottom trace). Inset panels show an expanded view of
917 10 seconds at the end of each trace, as in Fig. 4 Note that the size and frequency of
918 events is similar in the control and DNE cell at baseline. However, during acute nicotine
919 challenge, mEPSC frequency increased in control cells but not in DNE cells.

920 **Figure 7. Cumulative probability distributions of glutamatergic mEPSC IEIs**
921 **in control and DNE cells, at baseline and during acute nicotine challenge.** In cells
922 from animals aged P1-2 (**Panels A and B**), acute nicotine challenge with 0.5 μM
923 nicotine (black dashed lines) caused a left shift, toward shorter IEIs, of glutamatergic
924 mEPSCs in both control ($P<0.0001$, **Panel A**) and DNE cells ($P<0.0001$, **Panel B**). In
925 cells from animals aged P3-5 (**Panels C and D**), acute nicotine challenge caused a
926 significant left shift of glutamatergic mEPSCs in control cells ($P=0.004$, **Panel C**), but
927 there was no change in the distribution of IEIs in DNE cells ($P=0.066$, **Panel D**). Arrows
928 indicate the direction of the shift with acute nicotine challenge and indicates significant
929 differences with K-S test (**See Methods**). Dotted gray lines indicate the 95% confidence
930 intervals of each curve.

931 **Figure 8. Individual and average IEI of sEPSCs and mEPSCs at baseline**
932 **and during acute nicotine challenge. Panel A** shows the individual and average IEI of
933 AMPA receptor-mediated sEPSCs under baseline conditions and following acute
934 nicotine challenge. Note that in control cells (circles, left of the vertical line) there was a
935 slight though non-significant decline in IEI (i.e., an increase in frequency) on both P1-P2
936 (filled circles) and P3-P5 (open circles). The IEI in response to an acute nicotine
937 challenge in cells from DNE animals was age-dependent (squares, right of the vertical
938 line). Note that on P1-P2, nicotine challenge decreased the IEI, though as in controls
939 this trend was not significant. Surprisingly, on P3-P4 acute nicotine challenge
940 significantly increased the IEI ($P = 0.0021$). Moreover, the mean value for IEI in P3-5
941 DNE cells during acute nicotine challenge is significantly different than corresponding
942 data in P1-2 DNE cells ($P = 0.0001$), and in P3-5 cells from control animals. **Panel B**
943 shows the individual and average IEI of AMPA receptor-mediated mEPSCs under
944 baseline conditions and following acute nicotine challenge. Note that in the P1-2 group,
945 both control and DNE cells show a trend toward a decrease in IEI with acute nicotine
946 challenge, however this was not significant. Analysis of average IEI from control and
947 DNE neurons at P3-5 shows no differences at baseline and no change in frequency with
948 acute nicotine challenge.

949 **Figure 9. Activation of postsynaptic AMPA receptors in control cells and**
950 **DNE cells. Panel A** shows a representative trace of the AMPA receptor mediated
951 inward current in XIIMNs from a control animal at P1. **Panel B** shows individual values
952 for the peak inward current in response to bath application of AMPA. Mean values
953 within each treatment group are indicated by the horizontal lines. There were no

954 differences in the magnitude of the postsynaptic inward current either within or between
955 treatment groups.

956 **Figure 10. Influence of DNE on diaphragm muscle fatigue and**
957 **neuromuscular transmission failure during repetitive muscle or phrenic nerve**
958 **stimulation in diaphragm phrenic nerve-muscle strips. Panel A** shows
959 representative force recording over a 5-minute period of direct muscle stimulation.
960 Fatigue was quantified as the % of the maximum force remaining at the end of the 5-
961 minute stimulation period (see Methods). **Panel B** shows the muscle twitch produced
962 by a single stimulus pulse, and an expanded view of the muscle force produced by a
963 330 ms train of stimulation pulses, as described in Methods. An identical protocol was
964 used when phrenic nerve stimulation was used to assess the magnitude of force
965 decline. **Panel C** shows representative force recording during 5 minutes of repeated
966 phrenic nerve stimulation with superimposed direct muscle stimulation every 15 sec.
967 Neuromuscular transmission failure (NTF) was calculated as: Panels D and E show the
968 percent force decline in each control and DNE preparation subjected to either muscle
969 (Panel D) or phrenic nerve (Panel E) stimulation. Panel F shows the percent
970 neuromuscular transmission failure in control and DNE preparations. Horizontal lines in
971 Panels D, E and F indicate the mean. There were no significant differences in the
972 percent force loss between control and DNE preparations with either muscle or nerve
973 stimulation, or the force loss due to neuromuscular transmission failure.

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TABLE 1. List of drug cocktails used to isolate AMPA receptor-mediated

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glutamatergic EPSCs and postsynaptic AMPA receptors, with the number of cells used

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in each condition. The number of cells studied in each experiment are also shown.

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<i>Experiments and drugs used</i>	<i>Age</i>	<i># Cells (Control:DNE)</i>
Glutamate sEPSCs 50 μ M AP-5, 10 μ M bicuculline, 0.4 μ M strychnine + 0.5 μ M nicotine	P1-2 P3-5	6:6 6:6
Glutamate mEPSCs 50 μ M AP-5, 10 μ M bicuculline, 0.4 μ M strychnine, 1 μ M tetrodotoxin (TTX) + 0.5 μ M nicotine	P1-2 P3-5	6:6 6:6
Postsynaptic receptors 50 μ M AP-5, 10 μ M bicuculline, 0.4 μ M strychnine, 1 μ M TTX + 2.5 μ M AMPA	P1-2 P3-5	6:6 6:6

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TABLE 2. Statistical tests and significance threshold used for each experiment

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in each experimental series.

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<i>Experiment</i>	<i>Statistical test, post hoc</i>	<i>Significance Threshold</i>
In vivo series		
1. Changes to EMG during nasal occlusion	Two-way mixed-model ANOVA with Tukey's post-hoc analysis	P < 0.05
2. Differences in EMG onset latency	Unpaired Student's t-test	P < 0.05

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3. Autoresuscitation	Chi Squared analysis	P < 0.05
In vitro series A		
1. Differences in baseline parameters	Two-way mixed model ANOVA with Tukey's post-hoc analysis	P < 0.05
2. Differences in IEI and amplitude of EPSCs	Kolomogorov-Smirnoff test of cumulative probability distributions, and Three-way mixed model ANOVA with the Holm-Sidak post-hoc analysis	P < 0.05
3. Differences in peak whole cell current	Unpaired Student's t-test	P < 0.05
In vitro series B		
1. Differences in nerve stimulation, muscle stimulation, and estimates of neuromuscular transmission failure	Unpaired Student's t-test	P < 0.05

TABLE 3. Age, weight, resting membrane potential (mV), and input resistance (R_{in}) of XIIMNs from control and DNE animals.

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	<i>Control</i>	<i>DNE</i>	<i>P Value</i>	<i>n</i> (<i>Control:DNE</i>)
Age (days)				
P1-2	1.7±0.2	1.4±0.1	P= n/s	18:18
P3-5	3.4±0.1	3.7±0.2	P= n/s	18:18
Weight (grams)				
P1-2	7.72±0.31	7.4±0.1	P= n/s	18:18
P3-5	10.53±0.44***	10.8±0.3***	P= n/s	18:18
V _m				
P1-2	-49±3	-48±2	P= n/s	18:18
P3-5	-48±2	-47±2	P= n/s	18:18
R _{in} (MΩ)				
P1-2	221±49	184±23	P= n/s	4:4
P3-5	185±41	189±42	P= n/s	4:4

Table 4. Number of sEPSCs and mEPSCs recorded per neuron at baseline and during acute nicotine application. Values are mean ± SD.

sEPSCs

P1-2		
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<i>Baseline</i>	65±23	91±38
<i>Acute nicotine</i>	74±59	187±105
P3-4		
<i>Baseline</i>	145±107	116±84
<i>Acute nicotine</i>	211±211	81±60

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mESPCs		
P1-2		
<i>Baseline</i>	28±14	28±22
<i>Acute nicotine</i>	38±20.8	61±39
P3-4		
<i>Baseline</i>	18±13	41±38
<i>Acute nicotine</i>	31±15	33±27

1066 **TABLE 5.** Mean values for amplitude of glutamatergic sEPSCs, mEPSCs and
 1067 mEPSC rise time at baseline and during acute nicotine challenge. There were no
 1068 significant differences in any of these variables.

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	<i>Baseline</i>	<i>Acute nicotine challenge</i>
<u>sEPSC Amplitude (pA)</u>		
<u>Control:</u>		
P1-2	-15.2 ± 2.7	-16.0 ± 3.2
P3-5	-15.5 ± 2.3	-15.7 ± 3.9
<u>DNE:</u>		
P1-2	-18.5 ± 7.4	-18.3 ± 8.9
P3-5	-16.4 ± 2.8	-14.8 ± 2.9
<u>mEPSC Amplitude (pA)</u>		
<u>Control:</u>		
P1-2	-16.2 ± 2.6	-14.6 ± 2.6
P3-5	-14.9 ± 3.0	-16.3 ± 3.7
<u>DNE:</u>		
P1-2	-16.0 ± 2.9	-15.6 ± 3.8
P3-5	-17.5 ± 1.9	-17.4 ± 1.9
<u>mEPSC rise time (msec)</u>		
<u>Control:</u>		
P1-2	2.1 ± 0.2	2.1 ± 0.2
P3-5	2.0 ± 0.1	2.2 ± 0.1
<u>DNE:</u>		
P1-2	2.1 ± 0.2	2.0 ± 0.1
P3-5	1.8 ± 0.1	2.0 ± 0.1



















