

**LIPASE-CATALYZED SYNTHESIS OF CAFFEIC
ACID BORNYL ESTER**

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LIPASE-CATALYZED SYNTHESIS OF CAFFEIC ACID BORNYL ESTER

by

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TABLE OF CONTENTS

	Page	
ACKNOWLEDGEMENT	ii	
TABLE OF CONTENTS	iii	
LIST OF TABLES	viii	
LIST OF FIGURES	x	
LIST OF ABBREVIATIONS	xiii	
LIST OF SYMBOLS	xiv	
ABSTRAK	xv	
ABSTRACT	xvii	
CHAPTER ONE: INTRODUCTION		
1.1	Natural products in pharmaceutical industry	1
1.2	The properties of natural products	3
1.3	The properties, extraction and synthesis of caffeic acid bornyl ester	4
1.4	Enzymatic approach in the synthesis of valuable chemicals from natural products	6
1.5	Problem statement	7
1.6	Objectives	9
1.7	Scope of research	10
	1.7.1 Preparation of substrate	10
	1.7.2 Lipase-catalyzed synthesis of CAFE using transesterification reaction	11
	1.7.3 Kinetic mechanism and activation energy of lipase-catalyzed synthesis of CAFE	11
CHAPTER TWO: LITERATURE REVIEW		
2.1	Enzyme as biocatalyst	13
	2.1.1 Lipases	14
	2.1.2 Industrial application of lipases	15
	2.1.3 Application of lipase in the synthesis of organic esters	16

2.2	Current method for the synthesis of ester	17
2.2.1	Lipase-catalyzed esterification reaction	17
2.2.2	Lipase-catalyzed transesterification reaction	17
2.2.3	Literature survey on the synthesis of ester and CA derivatives	18
2.3	The synthesis of CABE	21
2.4	Important parameters in lipase-catalyzed reaction	24
2.4.1	Solvents system	24
2.4.2	Enzyme concentration	26
2.4.3	Substrate concentration	27
2.4.4	Temperature	28
2.5	Enzyme kinetic studies	29
2.5.1	Enzyme kinetic mechanism	30
2.5.1(a)	Single substrate: Michaelis-Menten equation	30
2.5.1(b)	Multiple substrates: Random ternary complex bi-bi mechanism (Random sequential mechanism)	31
2.5.1(c)	Multiple substrates: Ordered ternary complex bi-bi mechanism (Ordered sequential mechanism)	32
2.5.1(d)	Multiple substrates: Ping Pong Bi Bi mechanism	33
2.5.2	Kinetic studies on lipase-catalyzed transesterification reaction	34
2.5.3	Determination of kinetic parameters for lipase-catalyzed transesterification reaction	40
2.5.3(a)	Lineweaver-Burk plot	40
2.5.3(b)	Non-linear regression method	46
2.6	Optimization using RSM	47
2.7	Activation energy of lipase-catalyzed transesterification reaction	48
2.8	Summary	49

CHAPTER THREE: METHODOLOGY

3.1	Equipment and facilities	52
3.2	Materials and chemicals	52
3.3	Synthesis of substrate, ethyl caffeate via esterification reaction	53

3.4	Lipase-catalyzed synthesis of CAFE	54
3.4.1	Assay of lipase activity	54
3.4.2	Lipase-catalyzed transesterification reaction	55
3.4.3	Screening of important parameters	56
3.4.3(a)	Type of enzyme	56
3.4.3(b)	Type of organic solvent	57
3.4.3(c)	Type of alkyl group	57
3.5	Effect of reaction parameters on lipase-catalyzed synthesis of CAFE	58
3.5.1	Effect of enzyme loading	59
3.5.2	Effect of reaction time	59
3.5.3	Effect of temperature	60
3.5.4	Effect of substrate ratio	60
3.5.5	Effect of optimum conditions based on One Factor at a Time method	60
3.6	Enzyme kinetic study	61
3.6.1	Determination of initial rate of reaction	61
3.6.2	Determination of kinetic mechanism and kinetic parameters	62
3.7	Optimization of lipase-catalyzed synthesis of CAFE using RSM	64
3.7.1	Screening of variables and selection of experimental design	64
3.7.2	Analysis of data	65
3.7.3	Optimization of lipase-catalyzed synthesis of CAFE	65
3.8	Activation energy of lipase-catalyzed transesterification of CAFE	65
3.9	Analytical method	67
3.9.1	High Pressure Liquid Chromatography (HPLC)	67
3.9.2	Thin Layer Chromatography (TLC)	68
3.9.3	Nuclear Magnetic Resonance (NMR)	69
3.9.4	Electrospray Ionization – Mass Spectrometry (ESI – MS)	69

CHAPTER FOUR: RESULT & DISCUSSION

4.1	Synthesis of ethyl caffeate (EC)	70
4.1.1	Identification of EC using HPLC	70
4.1.2	Analysis of EC using NMR	71

4.2	Synthesis of caffeic acid bornyl ester (CABE)	72
4.2.1	Identification of CABE using HPLC	72
4.2.2	Analysis of CABE using ESI-MS	73
4.3	Lipase-catalyzed synthesis of CABE via transesterification reaction: The screening of important parameters	75
4.3.1	Effect of various types of lipases	75
4.3.2	Effect of various organic solvents	76
4.3.3	Effect of alkyl group	79
4.4	Effect of reaction parameters on lipase-catalyzed synthesis of CABE	81
4.4.1	Effect of enzyme loading	81
4.4.2	Effect of reaction time	83
4.4.3	Effect of reaction temperature	85
4.4.4	Effect of substrate ratio	87
4.4.5	Effect of optimum reaction conditions based on OFAT method	88
4.5	The kinetics of lipase-catalyzed transesterification reaction	90
4.5.1	Determination of initial rate of reaction	90
4.5.2	Determination of kinetic parameters	91
4.6	Analysis and optimization of lipase-catalyzed synthesis of CABE using RSM	99
4.6.1	Screening of variables and selecting experimental design	99
4.6.2	Analysis of data	103
4.6.3	Effect of parameters on substrate conversion based on RSM	106
4.6.3(a)	Effect of single factor	106
4.6.3(b)	Effect of interaction between factors	108
4.6.4	Optimization	115
4.7	Activation energy of lipase-catalyzed transesterification reaction	117
 CHAPTER FIVE: CONCLUSION & RECOMMENDATIONS		
5.1	Conclusion	119
5.2	Recommendations	121

REFERENCES

122

APPENDICES

Appendix A: HPLC chromatogram for ethyl caffeate (EC)

Appendix B: Calibration curve for HPLC analysis

Appendix C: ^1H -NMR spectrum for synthesized EC

Appendix D: ^{13}C -NMR spectrum for synthesized EC

LIST OF PUBLICATION

LIST OF TABLES

		Page
Table 2.1	Industrial applications of lipases	16
Table 2.2	Literature survey on lipase-catalyzed synthesis of ester	19
Table 2.3	Literature survey on lipase-catalyzed synthesis of caffeic acid derivatives	20
Table 2.4	The log P values of organic solvents	25
Table 2.5	Literature survey for kinetic studies on lipase-catalyzed reaction with ping pong bi-bi mechanism	37
Table 2.6	Literature survey for kinetic studies on lipase-catalyzed reaction with ternary complex mechanism	39
Table 2.7	The ordinate and abscissa intercepts from the secondary plots for ping pong bi-bi mechanism	43
Table 2.8	The ordinate and abscissa intercepts from the secondary plots for ternary complex mechanism	46
Table 3.1	List of equipment and facilities	52
Table 3.2	List of chemicals and reagents	52
Table 3.3	Reagents for the assay of lipase activity	54
Table 3.4	The effect of substrates concentration on initial rate of reaction	62
Table 3.5	The range of parameters selected for optimization of lipase-catalyzed synthesis of CAFE	64
Table 4.1	EC retention time	71
Table 4.2	CAFE and EC retention times	73
Table 4.3	The different types of alkyl caffeates and their alkyl group side chain	81
Table 4.4	Optimum conditions for each parameter tested	89

Table 4.5	Kinetic parameters for lipase-catalyzed transesterification to produce CAGE using Novozym 435	95
Table 4.6	The range of parameters for optimization of CAGE synthesis	101
Table 4.7	Factors and response values from experimental data for CCD	102
Table 4.8	ANOVA for response surface quadratic model	104
Table 4.9	Solution for optimization	115
Table 4.10	The optimized condition based on solution for optimization suggested by Design Expert software	116

LIST OF FIGURES

		Page
Figure 1.1	Approved drugs from 1981 to 2010	2
Figure 1.2 (a)	Caffeic acid bornyl ester, CABE	5
Figure 1.2 (b)	Caffeic acid phenethyl ester, CAPE	5
Figure 1.3 (a)	Enzymatic synthesis of CABE using esterification reaction	9
Figure 1.3 (b)	Enzymatic synthesis of CABE using transesterification reaction	9
Figure 2.1 (a)	The effect of enzyme concentration on the reaction rate	27
Figure 2.1 (b)	The effect of substrate concentration on the reaction rate	27
Figure 2.2	Random ternary complex bi-bi mechanism	32
Figure 2.3	Ordered ternary complex bi-bi mechanism	33
Figure 2.4	Ping pong bi-bi mechanism	33
Figure 2.5	The Lineweaver-Burk plot for ping pong bi-bi mechanism at several fixed concentrations of B	41
Figure 2.6	The Lineweaver-Burk plot for ping pong bi-bi mechanism at several fixed concentrations of A	42
Figure 2.7	The Lineweaver-Burk plot for ordered ternary complex mechanism at several fixed concentrations of B	44
Figure 2.8	The Lineweaver-Burk plot for ordered ternary complex mechanism at several fixed concentrations of A	45
Figure 4.1	HPLC chromatogram of EC standard	72
Figure 4.2	HPLC chromatogram for synthesized product containing the mixture of EC and CABE	73
Figure 4.3	ESI-MS spectrum for final product mixture (Borneol + EC + CABE)	74

Figure 4.4	ESI-MS spectrum for blank (Methanol)	74
Figure 4.5	Effect of various types of lipases on synthesis of CAGE	75
Figure 4.6	Effect of various organic solvents on synthesis of CAGE	77
Figure 4.7	Effect of alkyl group on synthesis of CAGE	80
Figure 4.8	Effect of enzyme loading on synthesis of CAGE	82
Figure 4.9	Effect of reaction time on synthesis of CAGE	84
Figure 4.10	Effect of reaction temperature on synthesis of CAGE	85
Figure 4.11	Effect of substrate ratio on synthesis of CAGE	87
Figure 4.12	Effect of optimum reaction conditions on synthesis of CAGE	89
Figure 4.13	Lineweaver-Burk double reciprocal plot of transesterification reaction for variation in ethyl caffeate (EC) concentration at five fixed concentrations of borneol	91
Figure 4.14	Lineweaver-Burk double reciprocal plot of transesterification reaction for variation in borneol concentration at five fixed concentrations of EC	92
Figure 4.15	Schematic form for ordered ternary complex mechanism for the synthesis of CAGE	97
Figure 4.16	Comparisons of experimental and simulated rates	98
Figure 4.17	Normal probability plot of the studentized residual for overall conversion	105
Figure 4.18	Studentized residual versus predicted values	106
Figure 4.19	Effect of enzyme loading (A)	107
Figure 4.20	Effect of temperature (B)	107
Figure 4.21	Effect of reaction time (C)	108

Figure 4.22(a)	Response contour plot for the interaction of enzyme loading and time	110
Figure 4.22(b)	Response 3D surface plot for the interaction of enzyme loading and time	110
Figure 4.23(a)	Response contour plot for the interaction of temperature and time	112
Figure 4.23(b)	Response 3D surface plot for the interaction of temperature and time	112
Figure 4.24(a)	Response contour plot for the interaction of enzyme loading and temperature	114
Figure 4.24(b)	Response 3D surface plot for the interaction of enzyme loading and temperature	114
Figure 4.25	Arrhenius plot for the estimation of activation energy	117

LIST OF ABBREVIATIONS

ANOVA	Analysis of Variance
Bor	Borneol
CA	Caffeic acid
CABE	Caffeic acid bornyl ester
CAPE	Caffeic acid phenethyl ester
CCD	Central Composite Design
DF	Dilution factor
EC	Ethyl caffeate
ESI-MS	Electrospray ionization – mass spectrometry
FAME	Fatty acid methyl ester
FDA	Food and Drug Administration
HPLC	High pressure liquid chromatography
MC	Methyl caffeate
NMR	Nuclear magnetic resonance
NPs	Natural products
OFAT	One Factor at a Time
PC	Propyl caffeate
PNPB	p-Nitrophenyl Butyrate
RSM	Response Surface Methodology
UV	Ultra violet

LIST OF SYMBOLS

[A]	Concentration of substrate A
[B]	Concentration of substrate B
A	Substrate A
A	Arrhenius pre-exponential factor
B	Substrate B
E	Enzyme
E_a	Activation energy
k	Rate constant
K_{cat}	Catalytic constant
K_{iA}	Inhibition constant for substrate A
K_{iB}	Inhibition constant for substrate B
K_m	Michaelis-Menten constant
K_{mA}	Michaelis constant for substrate A
K_{mB}	Michaelis constant for substrate B
P	Product
R	The gas constant
v	Rate of reaction
V_{max}	Maximum velocity

LIPASE SEBAGAI PEMANGKIN DALAM SINTESIS ESTER ASID KAFFEIK BORNIL

ABSTRAK

Ester asid kaffeik bornil (EAKB) berasaskan asid kaffeik merupakan produk semulajadi yang jarang ditemui serta mempunyai sifat biologi dan farmakologi yang signifikan. Walaubagaimanapun, penggunaan cara tradisional seperti pengekstrakan dan sintesis menggunakan bahan kimia bagi menghasilkan sebatian ini memerlukan kos yang tinggi, kurang cekap dan toksik kepada manusia dan alam sekitar. Oleh itu, objektif utama kajian ini adalah untuk memperkenalkan tindak balas hijau bagi menghasilkan EAKB menggunakan enzim lipase sebagai pemangkin dalam tindak balas transesterifikasi. Sintesis EAKB telah dijalankan dengan melakukan pemeriksaan awal ke atas beberapa pemboleh ubah tindak balas penting seperti pelbagai jenis enzim disekat gerak (Novozym 435, Lipozyme TLIM and Lipozyme RMIM), pelarut organik (isooctane, n-hexane, n-heptane, toluene, acetone, acetonitrile, n-hexane:diethyl ether and n-hexane:acetone) dan jenis kumpulan alkil yang digunakan (metil kaffeat and etil kaffeat) diikuti dengan mengkaji kesan pemboleh ubah tindak balas seperti jumlah enzim (25 – 250 U), masa tindak balas (0 – 84 h), nisbah substrat borneol kepada etil kaffeat (1:1, 1.5:1, 2:1, 2.5:1 and 3:1), suhu tindak balas (30 - 60°C) dan keadaan tindak balas optimum menggunakan kaedah tradisional satu faktor dalam satu masa untuk mendapatkan respon tertinggi. Mekanisma kinetik telah dikaji dan pemalar kinetik telah ditentukan berdasarkan kadar tindak balas awal yang diperolehi daripada penyiasatan ke atas kesan kepekatan substrat. Pengoptimuman bagi penghasilan EAKB juga telah dijalankan dengan menggunakan kaedah tindak balas permukaan dengan reka bentuk “face-centered central composite design (CCD)” bagi mendapatkan respon tertinggi. Akhir sekali,

tenaga pengaktifan yang diperlukan untuk tindak balas telah ditentukan dengan menjalankan tindak balas transesterifikasi pada pelbagai suhu dari 30°C sehingga 55°C. Hasil daripada pemeriksaan awal yang telah dijalankan, Novozym 435 telah didapati memberikan pertukaran tertinggi diikuti oleh enzim Lipozyme TLIM dan enzim Lipozyme RMIM. Pertukaran substrat tertinggi juga telah diperolehi dengan menggunakan sistem pelarut campuran (n-hexane:acetone, 80:20, % isipadu/isipadu) dan etil kafeat sebagai substrat. Berdasarkan kajian ke atas pemboleh ubah tindak balas menggunakan kaedah satu faktor dalam satu masa, pertukaran tertinggi telah diperolehi dengan menggunakan unit enzim sebanyak 125 U dan masa tindak balas selama 48 jam pada suhu 55°C. Nisbah substrat borneol kepada etil kafeat 2.5:1 (25 mM borneol: 10 mM EC) telah diperhatikan menghasilkan peratusan pertukaran tertinggi. Pada keadaan tindak balas optimum seperti yang telah dinyatakan di atas, peratusan pertukaran substrat tertinggi telah diperolehi iaitu sebanyak 86.0%. Model kinetik bagi tindak balas sintesis EAKB menggunakan enzim lipase Novozym 435 telah didapati mematuhi mekanisme kompleks ternari dan pemalar kinetik adalah seperti berikut; $K_{mEC} = 0.091$ mM, $K_{mBor} = 10.908$ mM, $V_{max} = 0.187$ mM/min and $K_{iBor} = 1.943$ mM. Keadaan optimum yang telah dicadangkan oleh kaedah tindak balas permukaan dengan rekabentuk “face-centered central composite design (CCD)” pula adalah menggunakan jumlah enzim sebanyak 245 U dalam tempoh selama 36 jam dan suhu 60°C untuk menghasilkan kadar pertukaran substrat optimum sebanyak 93.64%. Anggaran bagi tenaga pengaktifan yang diperlukan oleh lipase Novozym 435 untuk sintesis EAKB adalah 57.6 kJ/mol.

LIPASE-CATALYZED SYNTHESIS OF CAFFEIC ACID BORNYL ESTER

ABSTRACT

Caffeic acid bornyl ester (CABE) is a rare caffeic acid derivative and natural product with significant biological and pharmacological properties. However, the use of traditional chemical extraction and chemical synthesis method to produce CABE are uneconomical, inefficient and toxic to human and environment. Thus, the main objective of this study is to establish a green reaction pathway for the synthesis of CABE via lipase-catalyzed transesterification reaction. The synthesis of CABE was conducted by the screening of important parameters such as types of immobilized enzyme (Novozym 435, Lipozyme TLIM and Lipozyme RMIM), organic solvents (isooctane, n-hexane, n-heptane, toluene and n-hexane:acetone) and effect of alkyl group (methyl caffeate and ethyl caffeate) followed by investigating the effect of reaction parameters such as enzyme loading (25 – 250 U), reaction time (0 – 84 h), substrate ratio of borneol to ethyl caffeate (1:1, 1.5:1, 2:1, 2.5:1 and 3:1), reaction temperature (30 – 60°C) and optimum reaction conditions based on traditional one factor at a time (OFAT) method. The reaction kinetic mechanism was investigated and kinetic parameters of lipase-catalyzed transesterification reaction were determined based on the initial reaction rate obtained from the investigation of the effect of substrates concentration. The optimization of CABE production was also conducted using response surface methodology (RSM) based on face-centered central composite design (CCD) to obtain the highest response. Finally, the activation energy required for the reaction was determined by conducting the transesterification reaction at various temperatures from 30°C to 55°C. From the screening, it was found that Novozym 435 gave the highest conversion followed by Lipozyme TLIM

and Lipozyme RMIM. The highest substrate conversion was obtained using mixed solvents system (n-hexane:acetone, 80:20, %v/v) and ethyl caffeate as substrate. In the investigation of effect of reaction parameters based on OFAT method, the highest conversions were obtained by using 125 U of enzyme loading, 48 h of reaction time and temperature at 55°C. It was observed that the substrate ratio of borneol to EC, 2.5:1 (25 mM borneol: 10 mM EC) resulted in the highest conversion. At the selected optimum reaction conditions as described above, the highest substrate conversion of 86.0% was obtained. The reaction kinetics model for CAFE synthesis using lipase Novozym 435 was found to obey the ternary complex mechanism and the kinetic parameters were as follows; $K_{mEC} = 0.091$ mM, $K_{mBor} = 10.908$ mM, $V_{max} = 0.187$ mM/min and $K_{iBor} = 1.943$ mM. The optimized condition suggested by RSM was found to be 245 U of enzyme loading at 36 h and 60°C with 93.64% conversion. The estimated activation energy value of lipase Novozym 435 for the synthesis of CAFE was observed to be 57.6 kJ/mol.

CHAPTER ONE

INTRODUCTION

In this chapter, the background of research is briefly described starting with the importance of natural products followed by the introduction of caffeic acid bornyl ester potential as natural product and how it is currently being synthesized. Then, a brief outline of enzymatic-catalyzed synthesis as a promising alternative method is highlighted followed by the problem statement, objectives and scope of the study.

1.1 Natural products in pharmaceutical industry

Natural products (NPs), also known as secondary metabolites have been used widely since ancient times as a treatment to various diseases and illnesses. One of the earliest evidence on the use of natural products was the clay tablets from Mesopotamia (2600 B.C). A record from Egypt, namely The Ebers Papyrus (2900 B.C.) reported the used of about 700 natural product-based drugs such as pills, ointments and infusions (David et al., 2014). A large numbers of medicinal drugs from ancient China have been documented in the Chinese Materia Medica. Among the records are the Shennong Herbal (100 B.C.) with 365 drugs documented and the Tang Herbal (659 A.D.) which reported the used of 850 natural-based drugs (Cragg & Newman, 2005).

Nowadays, the roles of NPs in drug discovery and development have been remarkable. Almost half of the pharmaceuticals today are inspired by NPs. It was estimated that about 25 % to 50% of current drugs present in the market owe their origins to NPs (David et al., 2014). This fact was supported by the statistics

presented by Newman and Cragg in 2012 (Figure 1.1). Analysis by Newman and his coworker from 1981 to 2010 revealed that NPs have been among important sources of new drugs and played significant roles in the therapeutic treatment of cancer and anti-hypertensive disease.

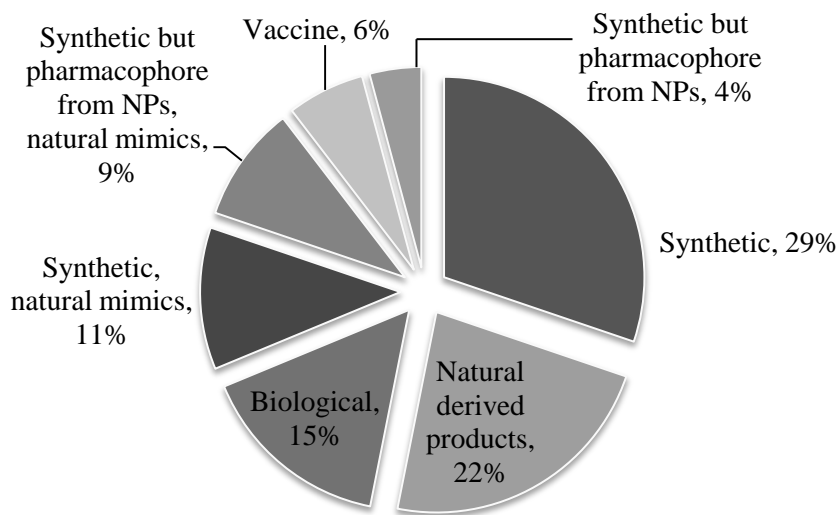


Figure 1.1: Approved drugs from 1981 to 2010 (Newman & Cragg, 2012)

As shown in Figure 1.1, 29 % of drugs approved were of synthetic origin while the remaining was derived from NPs, natural product mimics, having pharmacophore from NPs, vaccine and biological products. These data indicated the influence of products other than formal synthetic products in the discovery and approval of new drug (Newman & Cragg, 2012). Another evidence of NPs influence can be seen in year 2000, 2001 and 2003, in which the sales of NP-derived drugs was ranked in the top 35 over the total sales of ethical drugs worldwide. In 1998 to 2004, the launching of 21 NPs and NP-derived drugs had been successfully launched in the United States, Europe and Japan market (Butler, 2005).

1.2 The properties of natural products

Since a long time, NPs have undoubtedly being important sources of new drugs in the process to develop novel medicinal compounds for various treatments. The diversity of NPs in the nature from all over the world has been one of the important characters for them to serve as unlimited sources of novel lead compounds. It was estimated that only 5 to 15 % out of 250,000 species of vascular plants (higher plants) have been extensively investigated. Also, unlimited sources of natural products from microorganisms provide potential novel compounds especially with the advanced in genetic engineering (Cragg & Newman, 2005). In addition, most of NPs contain several bio-active components which are responsible for various beneficial properties such as biological and pharmacological activities, flavors, nutritional values and preservation activities (David et al., 2014; Amirkia & Heinrich, 2015).

Among the natural products that have gained researchers interest in the last few years is the caffeic acid (3,4-dihydroxycinnamic acid) and its derivatives or analogs. Caffeic acid (CA) can be found widely in human diet and nature including wide variety of plants such as coffee, wine, fruits and vegetables (Wang et al., 2008). Extensive studies on caffeic acid from the past few years had revealed their potential biological and pharmacological properties. Among significant properties of CA are antioxidant (Sroka & Cisowski, 2003), antibacterial (Tsou et al., 2000), anticancer, anti-inflammatory and antiviral activities (Wang et al., 2008). Due to the remarkable properties present, CA could serve as a potential lead compound for the development of new drugs.

Caffeic acid phenethyl ester (CAPE) is one of the most popular CA derivatives. A lot of studies have been conducted to explore CAPE properties and extensive efforts have been made to synthesize them more efficiently. CAPE is a bio-active compound found in honeybee propolis extracts with numerous biological and pharmacological properties such as anti-inflammatory (Gu et al., 2014), antioxidants (LeBlanc et al., 2012), anti-metastatic (Liao et al., 2003), anticancer (Ozturk et al., 2012) and antiviral activity (Erdemli, 2015). The chemical structure of CAPE consists of hydroxyl group inside catechol ring which is responsible for various biological and pharmacological activities of this compound (Murtaza et al., 2014).

1.3 The properties, extraction and synthesis of caffeic acid bornyl ester

Besides CAPE, another CA derivative that has gained researchers interest lately is the caffeic acid bornyl ester (CABE). However, there is lack of extensive study to improve the synthesis of CABE compared to CAPE. CABE or also known as bornyl caffeate was initially extracted and isolated from plants. CABE was first isolated by Maldonado et al. (1998) from a plant namely *Coreopsis mutica* var. *mutica* and was identified to exhibit anti-inflammatory activity. In the next year, CABE was isolated from *Piper caninum* and was found to show high antibacterial activity against a wide range of bacteria (Setzer et al., 1999). The extraction of *Piper philippinum* and *Verbesina turbacensis Kunth* led to the isolation of several compounds including CABE (Chen et al., 2007; Ogungbe et al., 2010). The synthesis of CABE via one-pot method was conducted by Xia et al. (2008) and it was found that CABE had the ability to inhibit HIV integrase. CABE had also been found to show high potential in anticancer property. Based on a study by Yang et al. (2014), it

was found that CAFE had demonstrated the ability in activating the intracellular reactive oxygen species (ROS)- and c-Jun N-terminal kinase (JNK)- mediated pathways and thus inducing apoptosis in the human breast cancer MCF-7 cells. In a recent study by Glaser et al. (2014), the extraction of *Valeriana wallichii* (*V. wallichii*) rhizomes using chloroform led to the isolation and identification of CAFE. CAFE had been identified as the active component in *V. wallichii* rhizomes which is responsible for the treatment of Leishmaniasis, an infectious disease caused by protozoan parasites (Glaser et al., 2014). In most of previous studies, CAFE was obtained directly from plant through the chemical extraction method. Alternatively, CAFE can be synthesized from natural-based compounds such as caffeic acid, caffeic acid ester and borneol. Since the chemical structure of CAPE is similar to CAFE, the previous researches on the synthesis of CAPE can be used as references for the improvement in CAFE synthesis. The chemical structures of CAFE and CAPE are as shown in Figure 1.2 (a) and (b), respectively.

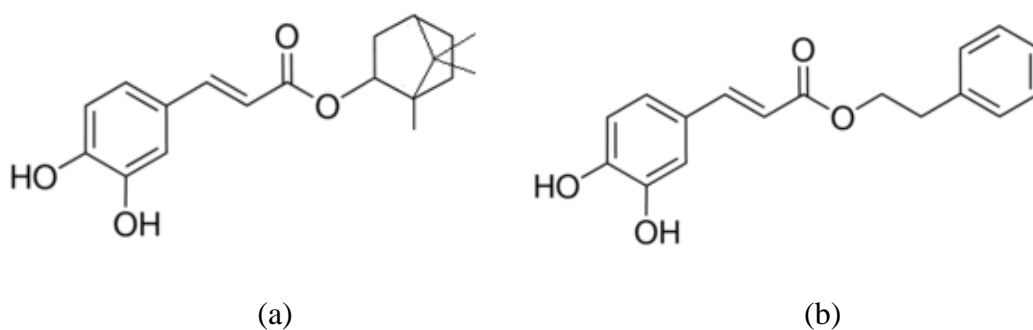


Figure 1.2: (a) Caffeic acid bornyl ester, CAFE (Yang et al., 2014); (b) Caffeic acid phenethyl ester, CAPE (Murtaza et al., 2014)