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1 **Biocatalytic Synthesis of Polymeric Esters Used as Emulsifiers**

2

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11 **ABSTRACT**

12 Polyglycerol polyricinoleate (PGPR) is a polymeric ester widely used as emulsifier in
13 the food industry. In this work, PGPR biocatalytic synthesis was carried out in a one-
14 step solvent-free enzymatic process using lipase CALB immobilized in
15 Lewatit®MonoplusMP 64 by adsorption. The optimal immobilization conditions were
16 determined: initial enzyme concentration of 13 mg of Lowry protein per mL phosphate
17 buffer pH 7, and ricinoleic acid as a support activator. An immobilized derivative with
18 35.93 ± 4.90 mg of Lowry protein per g of dry support was obtained. It was used as a
19 catalyst for PGPR production in open air and vacuum batch reactors, and the results
20 obtained showed that only when the reaction equilibrium was shifted towards ester
21 production by means of water removal, the PGPR produced fulfilled the European
22 legislation (acid value ≤ 6 mg of KOH per g of product).

23

24 **Keywords**

25 biocatalysis, enzymes, esterification, immobilization, lipases

1

2 **INTRODUCTION**

3 Emulsifiers are molecules that have a polar (hydrophilic) and a nonpolar (hydrophobic)
4 part that are used in creams, sauces, and lotions formulation to keep the W/O or O/W
5 emulsions stable and thus they have wide applicability in the cosmetic and food
6 industries. Typical emulsifiers are usually fatty acid esters, such as sucrose esters or
7 polyglycerol esters. Among them, the strongly lipophilic emulsifier polyglycerol
8 polyricinoleate is highlighted (PGPR, E-476). This compound is a clear and highly
9 viscous liquid, insoluble in ethanol and soluble in fats and oils, and is used as a
10 viscosity reducing agent for chocolate.¹

11

12 Currently, PGPR is produced by chemical methods that involve a reaction in two stages:
13 the autocatalytic condensation of ricinoleic acid, and the esterification between
14 polyricinoleic acid and polyglycerol.² This method of synthesis has many disadvantages,
15 the main one being the long reaction time required, which implies high energy costs.
16 This fact, together with the high operating temperature, can negatively affect the final
17 product quality causing problems related to colour and odour, which makes it unsuitable
18 for use in the food industry.³

19

20 As an alternative, the authors of this article proposed the PGPR biotechnological
21 production using lipases from different sources as catalysts, which, acting under mild
22 operating conditions, provide a final product much more suitable for use in the food
23 industry. Firstly, a promising process in two stages was proposed, where **each of the**
24 **steps** was catalysed by a different lipase.⁴⁻⁹ In addition, the fact that the reaction takes
25 place in the absence of solvents (“solvent free”) makes this process highly attractive

1 within the field of “green chemistry”. This process also offers significant savings in
2 production costs, allows working with small volumes, and improves separation
3 operations. On the other hand, the use of two different biocatalysts is a disadvantage to
4 possible future industrial application. For this reason, in other works, the polymeric
5 ester biocatalytic synthesis was carried out in a single step using the two lipases co-
6 immobilized¹⁰ or using the widely known immobilized *Candida antarctica* lipase B
7 (CALB) commercially known as Novozym® 435.¹¹ Although in both cases good results
8 were obtained, the results obtained with Novozym® 435 were significantly better,
9 requiring only 55 h of reaction to produce PGPR that fulfils the strict specifications of
10 the European Commission regulation,¹² which states that CALB is a non-specific lipase
11 capable of catalysing the two stages of the reaction synthesis. However, when using
12 Novozym® 435, it is necessary to centrifuge the preparation in order to separate the
13 immobilized enzyme from the product, due to the low density of the biocatalyst
14 (0.4 g cm⁻³).^{11,13}

15

16 In order to solve this problem, lipase CALB derivatives immobilized on different kinds
17 of supports are needed. In literature, several studies describe the immobilization of
18 lipase CALB by covalent attachment on core-shell magnetic nanoparticles¹⁴ or on pore-
19 expanded SBA-15.¹⁵ But most of the available papers in the literature have studied the
20 immobilization of lipase CALB by adsorption on different supports, such as silica,¹⁶⁻¹⁹
21 chitosan²⁰ or kaolin.²¹

22

23 In the present work, lipase CALB was immobilized by adsorption on different supports
24 with adequate physical characteristics to improve the separation operations. The
25 obtained immobilized derivative was used in the biocatalytic synthesis of the polymeric

1 ester PGPR in a single step solvent-free system, and operating in a controlled
2 atmosphere of dry N₂ and vacuum. In these conditions, the obtained PGPR fulfilled the
3 European legislation. Besides, with the purpose of its possible application on an
4 industrial scale, the reuse of immobilized derivative in a different number of cycles has
5 been studied.

6

7 Fig. 1 depicts the PGPR biocatalytic synthesis reaction scheme, where it can be
8 observed that several hydroxyl groups can be esterified in the final product because
9 CALB is a non-specific lipase that can esterify both primary and secondary alcohols.
10 Moreover, the condensed ricinoleic acid chains length is also variable.

11

12 Materials and methods

13 Chemicals

14 Lipozyme® CALB L (liquid solution of *Candida antarctica* lipase B, 26 mg of Lowry
15 protein per mL) was kindly provided by Novozymes Spain S.A. Immobilization
16 supports were Lewatit® MonoPlus MP 64, Lewatit® Monoplus MP 500, and Dowex
17 50x8, all from Fluka. The substrates, ricinoleic acid (~80 %), and polyglycerol-3 were
18 supplied by Fluka and kindly gifted by Solvay, respectively. The activators used in the
19 immobilization, soybean lecithin of commercial grade and oleic acid were supplied by
20 Santiveri and Fluka, respectively.

21

22 Immobilization of Lipozyme® CALB L

23 A standard immobilization procedure for all the assayed supports was carried out
24 following these steps. Firstly, for the support activation (when necessary) 5 g of support
25 were mixed with 50 mL of a 20 mg mL⁻¹ activator suspension, and stirred at 120 rpm in

1 an orbital shaker for 24 hours. Secondly, in the immobilization procedure the activated
2 support was transferred to a jacketed column reactor (2.5 cm i.d. and 30 cm length),
3 provided with a sintered glass plate placed 5 cm from the bottom. The support was then
4 washed twice with 25 mL of deionized water. The corresponding volume of
5 Lipozyme® CALB L and buffer (total volume 25 mL) was added to the support and
6 circulated for 48 h at 4 °C. The supernatant solution was recovered and the immobilized
7 derivative was rinsed twice with 25 mL of the same buffer in order to remove unbound
8 enzyme. Finally, it was washed twice with 12.5 mL of acetone, air dried, and stored at 4
9 °C.

10

11 The amount of immobilized protein was determined from the difference between the
12 protein in the enzymatic solution and that in the supernatant and washings. The protein
13 quantification was made by Lowry's method.²²

14

15 Enzymatic synthesis of PGPR

16 To carry out PGPR synthesis, both substrates (30 g of ricinoleic acid and 2.5 g of
17 polyglycerol-3, corresponding to an initial acid value of 160 ± 8 mg KOH g⁻¹) were
18 placed together in the reactor with 3.6 g of the immobilized derivative, and all the
19 experiments were conducted at 70 °C and 350 rpm.

20

21 Two different reactors were used:an open-air glass-jacketed batch reactor (250 mL, total
22 volume) provided with an overhead stirrer with a two-bladed propeller (axial flow), and
23 a Parr 5100 series low-pressure glass-jacketed reactor (100 mL, total volume) equipped
24 with a crossed blade impeller of 4 flat blades. The pressure in the second reactor was

1 kept at 213 hPa, and dry N₂(25 cm³ s⁻¹) was passed through the vessel so that the water
2 content was maintained around 2000 ppm.

3

4 The enzymatic reaction extent was followed by measurement of acid value (AV)
5 (ASTM D974-02e1),²³ which represents the number of mg of potassium hydroxide
6 necessary to neutralize free acids in 1 g of sample.

7

8 The conversion based on acid value was calculated as:

9

10 Conversion (%) = $\frac{(AV)_{t=0} - (AV)_t}{(AV)_{t=0}} \cdot 100$

11

12 Results are presented graphically as the mean of the three measurements and include the
13 error bars (\pm standard deviation).

14

15 **Results and discussion**

16 **Use of different supports for immobilization**

17 Based on previous studies^{5,7-9} ion exchange resins were used as supports for the
18 immobilization of *Candida antarctica* lipase (Lipozyme[®] CALB). In particular,
19 Lewatit[®] MonoPlus MP 64 (weakly basic), Lewatit[®] Monoplus MP 500 (strongly
20 basic), and Dowex 50x8 (strongly acidic) were studied. These supports were chosen
21 based on the particle size (0.6 mm approximately)²⁴⁻²⁹ similar to that of the commercial
22 immobilized enzyme Novozym[®] 435. Their density (1.04, 1.06, and 0.80 g cm⁻³,
23 respectively) is higher than that of Novozym[®] 435 (0.40 g cm⁻³).¹³ The resins are based
24 on styrene-divinylbenzene matrices which were hydrated with distilled water before
25 use. Three different immobilized derivatives were obtained following the standard

1 procedure described in the **Materials and methods** section without the support activation
2 step. The highest amount of immobilized protein was obtained with
3 Lewatit® Monoplus MP 64 as a support, in which $24.33 \pm 2.67\%$ of protein was
4 adsorbed. A percentage of $19.30 \pm 2.07\%$ was immobilized on
5 Lewatit® Monoplus MP 500, and $13.30 \pm 1.28\%$ on Dowex 50x8.

6

7 The results obtained in this work are slightly lower than those in the previous reports.
8 Lewatit® Monoplus MP 64 was used as support for the immobilization of lipases from
9 different sources.^{5,7-9} The difference can be attributed to different origin of the
10 immobilized lipases (*Candida rugosa*, *Rhizopus arrhizus* and *Rhizopus oryzae*). The
11 immobilized derivatives described here show adequate physical characteristics to
12 facilitate their separation from the reaction media, PGPR. In another report³⁰, CALB L
13 lipase (commercial solution of lipase stabilized with glycerol and sorbitol diluted in
14 buffer¹³) was successfully immobilized on hydrophobic supports and has been used as a
15 catalyst in the synthesis of esters with cosmetic application; the main problem was its
16 high cost.

17

18 The esterification activity of the three immobilized derivatives was tested in the
19 synthesis of polyglycerol polyricinoleate. The AV decreased by 9 % with the
20 immobilized derivative of Lewatit® Monoplus MP 64 and by 6 % with that of
21 Lewatit® Monoplus MP 500, while a decrease of only 2 % was obtained with the
22 immobilized derivative of Dowex 50x8. These negative preliminary results showed that,
23 although the immobilized derivatives contained lipase, it was not in its active
24 conformation. Lewatit® Monoplus MP 64 showed slightly better results, so this support
25 was selected for subsequent optimization studies.

1

2 **Optimization of the immobilization procedure**

3 *Influence of pH*

4 The influence of pH of the buffer used to dilute Lipozyme® **CALB** L for its
5 immobilization on Lewatit® Monoplus MP 64 has been studied. This study is important
6 because pH influences the electrostatic forces, and the pH changes over the isoelectric
7 point of lipase might have a great impact on the amount of bound protein.^{31,32}

8

9 In this case, Lipozyme® **CALB** L was diluted in different buffers, 0.1 M acetate buffer
10 and 0.1 M phosphate buffer, covering pH values ranging from 4.0 to 8.0; the rest of the
11 immobilization process was as described in **Materials and methods** section. The results
12 presented in Fig. 2 show that pH variations influence the immobilization yield, which
13 confirms the hypothesis that electrostatic forces are the driving force of the
14 immobilization process. However, hydrophobic interactions could also be involved in
15 the adsorption process. The maximum percentage of immobilized protein was obtained
16 using phosphate buffer pH7. Therefore, the pH value of 7 was chosen for the remainder
17 of the study.

18

19 *Influence of lipase concentration*

20 For the purpose of increasing the immobilization yield and obtaining an immobilized
21 derivative with a high enzyme content, experiments using Lipozyme® **CALB** L
22 solutions with concentrations between 2.6 and 26 mg of Lowry protein per mL were
23 conducted. These experiments were carried out following the general procedure
24 described in Materials and Methods section, and with the previously selected
25 conditions: Lewatit® Monoplus MP 64 as support without activation, and pH 7. The

1 results are shown in Table 1, where mass of immobilized protein per gram of dry
2 support and immobilization yield are specified. Measurements revealed that 5.00 ± 0.05
3 g of support had a water content of 28 %, resulting in 3.60 ± 0.05 g of dry support. This
4 water content differs from the value (61-66 %) for commercial specifications of
5 Lewatit® Monoplus MP 64.

6

7 As may be seen, as the concentration of the immobilization solution increases, the
8 loading of protein also increases but the percentage of immobilized protein decreases.
9 From the obtained results, it seems that for lipase solution concentrations higher than 13
10 mg of Lowry protein per mL, the increase in the amount of adsorbed protein does not
11 justify the increase in the offered protein, so this concentration was selected for the
12 remainder of the experiments.

13

14 ***Study of different activators of the support***

15 The selected immobilized derivative (Lewatit® Monoplus MP 64 as support without
16 activation, pH 7, and with initial enzyme concentration of 13 mg of Lowry protein per
17 mL) was used for the synthesis of PGPR in a jacketed reactor following the procedure
18 described in Materials and methods section. After 4 days, no notable decrease in the
19 acid value was observed. These results can be attributed to the insufficiently
20 hydrophobic enzyme microenvironment in the immobilized derivative. **Based on**
21 **different studies^{5,7-9,33,34}** it is known that the use of support activators improves lipase
22 activity of the immobilized derivatives. Therefore, different immobilization experiments
23 were conducted using Lewatit® Monoplus MP 64 as support at the optimal conditions
24 determined previously, and soybean lecithin, ricinoleic acid or oleic acid as support
25 activators.

1

2 The results presented in Table 2 show that, when the support was activated with very
3 hydrophobic substances (oleic and ricinoleic acid), the immobilization yield increased
4 considerably, suggesting that *Candida antarctica* lipase adsorption process is also
5 controlled by hydrophobic interactions and not only by electrostatic forces, and that the
6 support activation with a fatty acid modifies the support hydrophobicity and improves
7 its adsorption capacity. On the other hand, activation with a phospholipid, soybean
8 lecithin seemed not to be as effective, at least with respect to immobilization yield.
9 These results are in contrast with those obtained previously⁵ for *Candida rugosa* lipase
10 immobilization on the same support, where it was observed that its activation reflected
11 no increase in the amount of adsorbed enzyme.

12

13 The abovementioned immobilized derivatives were used as biocatalysts in the synthesis
14 of PGPR in open air tank reactors, following the protocol described in Materials and
15 methods. Firstly, the specific activities of the four immobilized derivatives (expressed
16 as $\Delta(AV)$ per h per g of Lowry protein) were determined from these experiments, and
17 are shown in the last column of Table 2. The results presented in Fig. 3 reveal that the
18 biocatalysts obtained using hydrophobic compounds (oleic and ricinoleic acid) as
19 activators exhibit great catalytic activity in the synthesis of PGPR, reaching conversions
20 around 70 %, much higher than that observed when the immobilized enzyme was used
21 without support activation or treated with soybean lecithin. These results are, again, in
22 contrast with those previously mentioned⁵ in which no noticeable difference in enzyme
23 activity was observed between the activators, and in which soybean lecithin was found
24 to be the best of them. These differences can be attributed, as previously commented, to
25 the fact that the enzyme source is different. Since both hydrophobic activators have the

1 same effect on the process, both in the immobilization and in PGPR synthesis, the more
2 logical choice is ricinoleic acid, since it is one of the reaction substrates and thus the use
3 of a compound strange to the reaction is avoided.

4

5 Thus, when operating under optimal immobilization conditions, 129.35 ± 16.80 mg of
6 Lowry protein was adsorbed by the support when 325 ± 42.3 mg of Lowry protein was
7 offered to immobilization, which represents an immobilization yield of $39.80 \pm 5.17\%$.
8 The specific protein content of the immobilized derivative is referred to as g of dry
9 support as previously described (35.93 ± 4.90 mg of Lowry protein per g of dry
10 support).

11

12 **PGPR synthesis in batch reactors**

13 The legislative requirements for PGPR determine that this product should present an
14 $AV \leq 6$ mg of KOH per g of product, which can only be obtained by forcing the
15 equilibrium towards the ester (right-hand) side of the esterification reaction equation. In
16 order to achieve complete consumption of substrates and shift the equilibrium towards
17 the product, the water produced in the reaction was removed using a vacuum reactor
18 with a continuous dry N_2 inflow. The results obtained by operating in open air and
19 vacuum reactors under the same operating conditions are compared in Fig. 4.

20

21 As may be observed, the use of a controlled atmosphere reactor provides higher
22 conversion degrees. In fact, with open air reactor, PGPR with $AV \leq 6$ mg(KOH) g^{-1} was
23 not **produced**. The minimum acid value after almost 170 h of operation reached around
24 40 mg(KOH) g^{-1} , whereas with vacuum reactor reached AV of 3.8 mg(KOH) g^{-1} in 159
25 hours. **This reaction time is significantly higher than when Novozym® 435 was used as**

1 a catalyst (55 h).¹¹ However, the final choice of the best immobilized lipase should be
2 based on economic studies of the entire process. Namely, with the new derivative, the
3 downstream processes would be cheaper because centrifugation could be avoided.

4

5 Finally, it is important to note that the obtained PGPR maintained the acid value for at
6 least one week when stored at room temperature, which evidenced that lipase desorption
7 in the reaction media was insignificant.

8

9 **Immobilized derivative reuse study**

10 One of the main advantages of using immobilized biocatalyst instead of a free one is the
11 possibility of obtaining a final product free of catalyst residues, thus enabling the reuse
12 of the immobilized derivative. This fact usually results in a significant decrease in the
13 overall costs of the production process. It is therefore necessary to explore the
14 possibility of separating the derivative from the reaction medium in order to verify if its
15 reuse is viable in practice, and determine the possible loss of activity after successive
16 reuses.

17

18 In a previous study,¹¹ the commercial immobilized derivative Novozym® 435 was used
19 for the PGPR production, but due to the high viscosity of the reaction product and the
20 small density of the commercial enzyme, the biocatalyst was removed from the final
21 product by centrifugation followed by decantation. The advantage of using the new
22 immobilized derivative is that the density of the macroporous resin, on which *Candida*
23 *antarctica* lipase is immobilized, is higher than that of the commercial Novozym® 435,
24 so the centrifugation step to separate both phases is not required. Thus, to separate the
25 obtained PGPR from the immobilized derivative, it is only necessary to wait less than a

1 minute for the resin to settle, and with the help of a pipette, to extract the product from
2 the top. After pipetting the reaction product, the biocatalyst is washed with acetone in
3 order to remove the excess of the product. Finally, when immobilized derivative is
4 completely dry and free of acetone, it is ready to catalyse a new reaction. More than 97
5 % of the biocatalyst activity is recovered.

6

7 In this work, the immobilized derivative was used three times in a vacuum reactor
8 reaction under the same experimental conditions. The results are shown in Fig. 5. The
9 first analysis of Fig. 5 showed that final conversion values were the same in the three
10 runs, although the time required was slightly higher in the case of the third run.
11 Therefore, it may be affirmed that the activity loss of the biocatalyst had no significant
12 influence on the reduction of the acid number, since the AV of the final product was
13 practically the same.

14

15 On the other hand, it should be noted that the first reaction run was slower than the two
16 others. This may be explained by the assumption that, after the immobilization process,
17 the immobilized derivative still contained some buffer that soaked it, which interfered
18 with the reaction course. In the successive runs, the immobilized derivative was sodden
19 with the product itself and/or washing acetone, which created a hydrophobic
20 environment that favoured the course of the reaction.

21

22 Conclusion

23 In this work, a polymeric emulsifier food additive has been biotechnologically obtained
24 with Lipozyme® CALB L lipase, immobilized on different supports, in a solvent-free
25 and one-step process. Among the assayed supports, the resin Lewatit® Monoplus MP 64

1 presented the best results in protein immobilization, but the immobilized derivative was
2 inactive without previous activation of the support with a hydrophobic agent. For the
3 immobilization, phosphate buffer of pH 7, initial enzyme concentration of 13 mg of
4 Lowry protein per mL, and ricinoleic acid as support activator were chosen.
5 Experiments carried out under the optimum conditions in an open air batch reactor with
6 vertical stirring, produced a PGPR with AV = 40 mg(KOH) g⁻¹ in 170 h, which does not
7 fulfil the acid value requirements prescribed in the European Commission regulation
8 (below 6 mg(KOH) g⁻¹ for its use in food industry). When PGPR was synthesized in a
9 vacuum reactor operating under nitrogen atmosphere, AV = 3.8 mg(KOH) g⁻¹ was
10 reached after 159 hours. Besides, this immobilized derivative proved to conserve the
11 same activity for at least three successive runs, which allows the scaling up of the
12 process.

13

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20

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1 **Figure captions**

2 **Figure 1.** PGPR biocatalytic synthesis reaction scheme

3

4 **Figure 2.** Experimental results obtained in the immobilization of Lipozyme[®] CALB L
5 on Lewatit[®]Monoplus MP 64 to study the influence of pH using different buffers
6 (●) Acetate, and (▼) Phosphate buffer

7

8 **Figure 3.** Influence of the activator on the evolution of conversion with reaction time in
9 the synthesis of PGPR. Reaction conditions: open air batch reactor, 30 g ricinoleic acid,
10 2.5 g polyglycerol-3, 3.6 g immobilized derivative, 70 °C, 350 rpm. (●)
11 Without activator, (▼) soybean lecithin, (■) ricinoleic acid, and (◆) oleic acid

12

13 **Figure 4.** Conversion variation with time in the synthesis of PGPR in two different
14 reactors, an open air and a vacuum reactor. Reaction conditions: 30 g ricinoleic acid, 2.5
15 g polyglycerol-3, 3.6 g immobilized derivative, 70 °C, 350 rpm.
16 (●) Vacuum reactor, and (▼) open air reactor

17

18 **Figure 5.** Conversion variation with time for PGPR synthesis in the vacuum reactor
19 after first, second, and third use. Reaction conditions: 30 g ricinoleic acid, 2.5 g
20 polyglycerol-3, 3.6 g immobilized derivative, 70 °C, 350 rpm. (●) First, (▼) second,
21 and (■) third use

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1 **Table captions**

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3 **Table 1.** Experimental results obtained in the immobilization of Lipozyme® **CALB** L on
4 Lewatit Monoplus MP 64 to study different lipase solution concentrations.

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6 **Table 2.** Experimental results obtained in the immobilization of Lipozyme® **CALB** L on
7 Lewatit Monoplus MP 64 to study the influence of different activators

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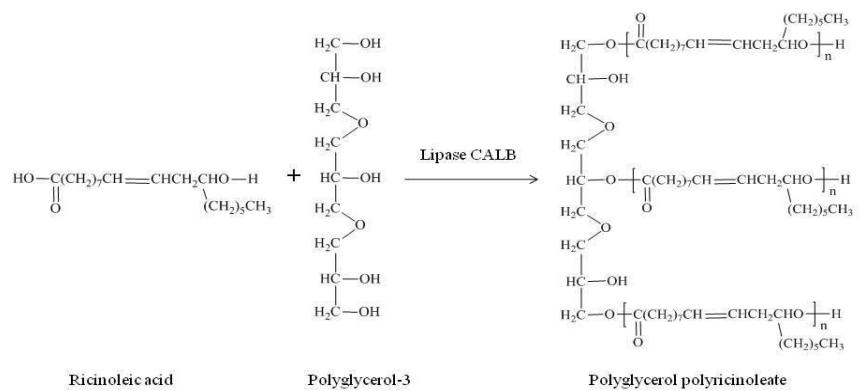
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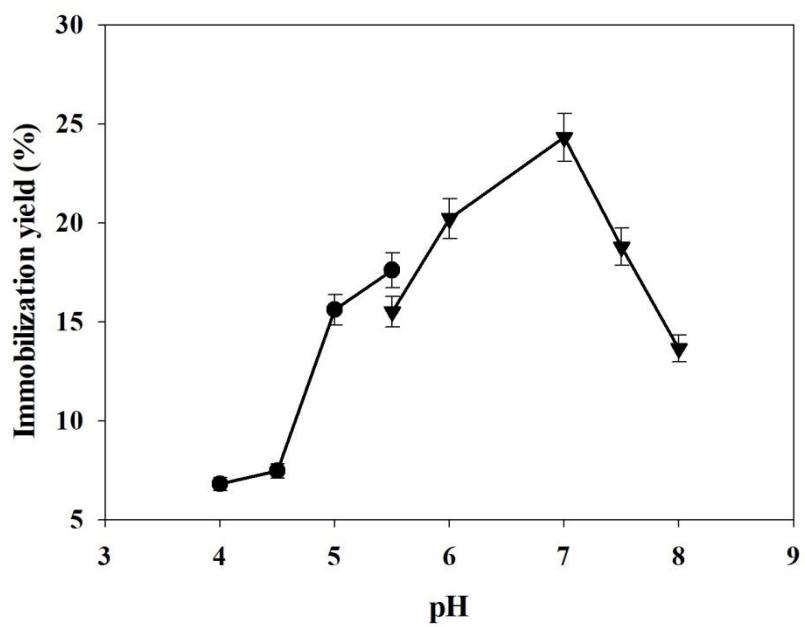
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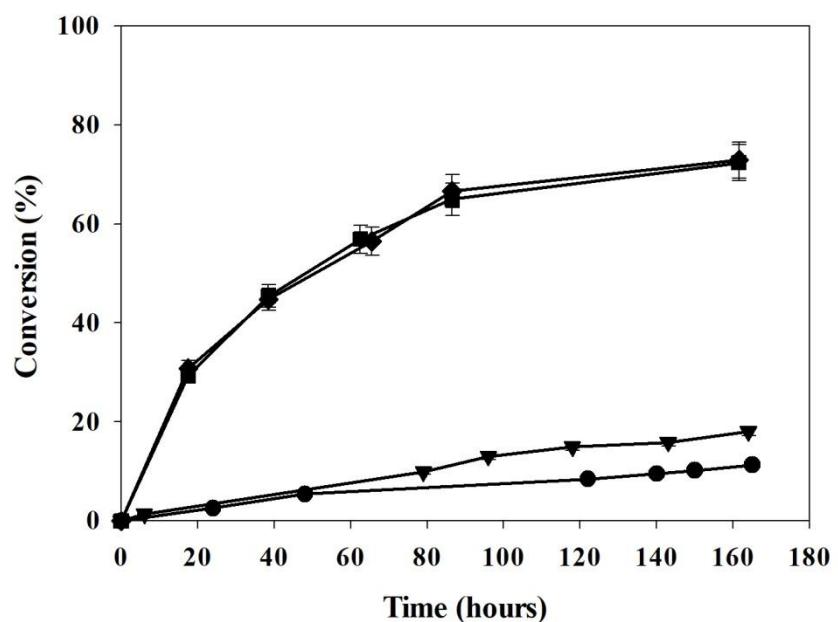
2 Fig. 1

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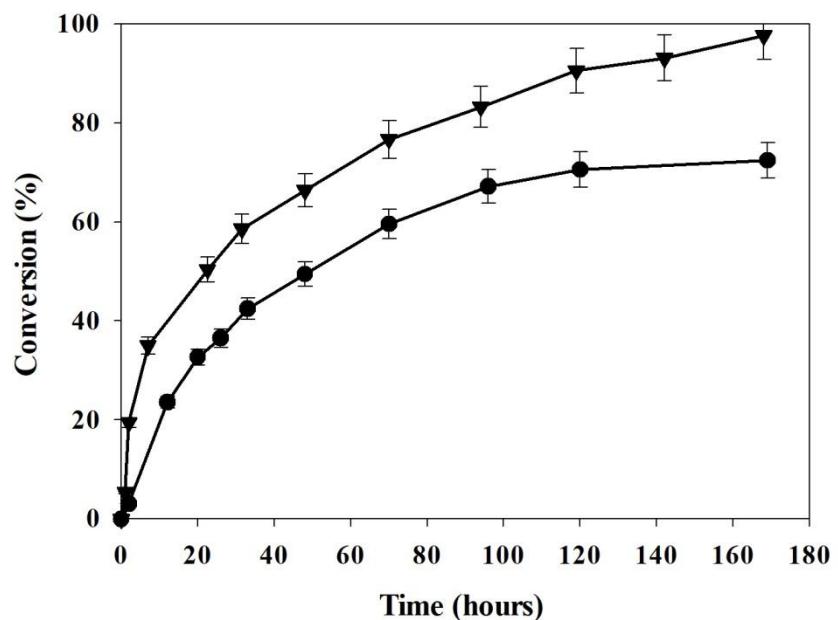
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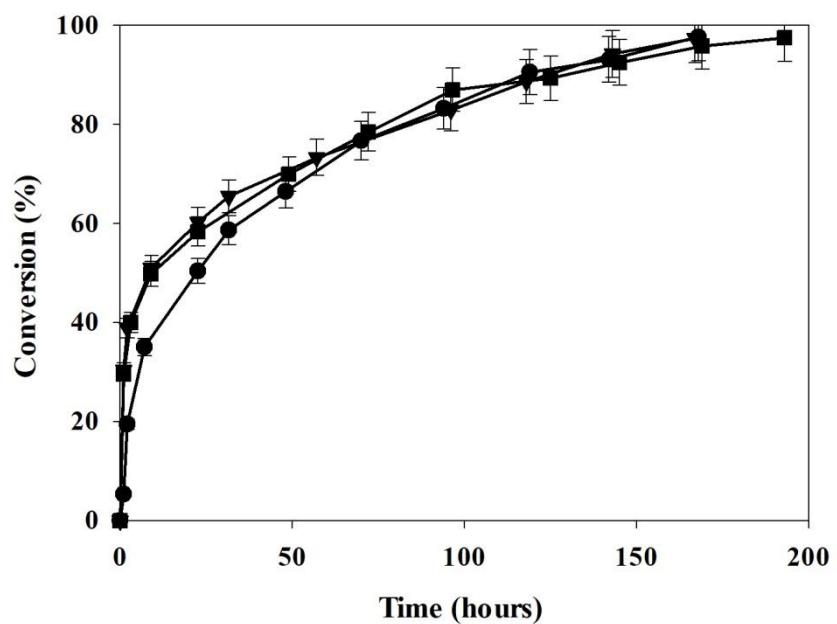
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1 **Table 1**

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Lipase concentration in immobilization solution (mg of Lowry protein per mL)	Immobilized protein (mg of protein per g of dried support)	Immobilization yield (%)
2.60 ± 0.26	5.90 ± 0.59	32.68 ± 3.30
3.90 ± 0.40	7.27 ± 0.73	26.84 ± 2.68
6.50 ± 0.65	12.80 ± 0.13	28.36 ± 2.84
13.00 ± 1.43	21.96 ± 2.42	24.33 ± 2.67
19.50 ± 0.20	25.31 ± 0.25	18.69 ± 1.87
23.40 ± 0.23	26.59 ± 0.27	16.36 ± 1.64
26.00 ± 0.26	27.38 ± 0.27	15.16 ± 1.52

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1 **Table 2**

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Activator	Immobilized protein (mg protein per g of dry support)	Immobilization yield (%)	Specific activity $\Delta(AV)$ per h per g of Lowry protein)
Without activation	21.96 ± 2.42	24.33 ± 2.67	2.04 ± 0.22
Soybean lecithin	19.42 ± 1.94	21.55 ± 2.16	5.12 ± 0.51
Ricinoleic acid	35.93 ± 4.90	39.80 ± 5.17	19.18 ± 2.49
Oleic acid	37.61 ± 3.80	41.66 ± 4.20	19.17 ± 0.19

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