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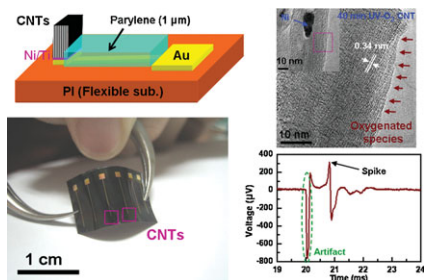
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# COMMUNICATION

## Carbon Nanotubes

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W.-L. Hsu, Y.-T. Lee, S.-J. Yen,  
H.-Chieh Su, S.-R. Yeh, H. Chen,  
T.-R. Yew\* .....XX-XX<sup>a</sup>

### Flexible UV-Ozone-Modified Carbon Nanotube Electrodes for Neuronal Recording



Carbon nanotubes were grown on flexible polyimide substrates at temperatures below 400 °C as electrodes for extracellular neuronal recording. The electrical charge-transfer and electrochemical properties of such CNT electrodes were enhanced by UV-ozone exposure, which induced the formation of C–O, C=O, and O–C=O bonds and reduced the CNT/electrolyte interfacial impedance while increasing the interfacial capacitance.

<sup>a</sup> Final page numbers not assigned

# Flexible UV-Ozone-Modified Carbon Nanotube Electrodes for Neuronal Recording

By Hui-Lin Hsu, I-Ju Teng, Yung-Chan Chen, Wei-Lun Hsu, Yu-Tao Lee, Shiang-Jie Yen, Huan-Chieh Su, Shih-Rung Yeh, Hsin Chen, and Tri-Rung Yew\*

Neurophysiologists have used sharpened **OK?** metal electrodes to electrically stimulate neuronal activities to investigate the physiological functions of the brain. Moreover, they employed this electrical stimulation to treat diseases such as Parkinson's disease, dystonia, and chronic pain.<sup>[1–5]</sup> As neurons utilize electrical potential difference between their cell membranes to transmit electrical signals, this particular way of communication enables us to record the neuronal activity extracellularly or intracellularly. For the extracellular recording approach, the electrodes are positioned intimately next to neuron cells to record and to stimulate their electrical activity by capacitive coupling. The coupling efficacy of these electrical recordings or interventions depends significantly on the selectivity, sensitivity, charge-transfer characteristics, long-term chemical stability, and interfacial impedance between electrodes and target tissue.<sup>[5,6]</sup>

The most common approach to further investigate the functional behavior of neurons, is using Si-based microelectrode probes fabricated by the micro-electromechanical system (MEMS) method to replace the conventional electrodes (Ag/AgCl) in the aspect of device-structure improvement and

scaling down device sizes.<sup>[7–11]</sup> However, Si-based MEMS electrodes are extremely rigid and cannot be deformed inside the organs; therefore, the recorded positions are easily shifted and the target tissues are consequently damaged when the animals are in motion. This will become an obstacle in future long-term implantation and real-time recording applications. An alternative method is the use of flexible electrodes presented by several groups.<sup>[12–16]</sup> The authors utilized soft materials, such as poly(dimethylsiloxane), SU-8 epoxy-based negative photoresist, and polyimides, to fabricate microelectrodes that can deform while being attached to the tissues and that can also be **OK?** into small-scale devices using MEMS methods. **OK?**

Not only would rigid Si-based MEMS probes damage target tissues, the reduced electrode size also resulted in a significantly increase in impedance that may degrade recording sensitivity and limit the stimulating current deliverable through an electrode. In order to resolve above issues, the impedance of the electrode must be as low as possible.<sup>[5,6]</sup> Carbon nanotubes (CNTs) exhibit intrinsically large surface areas (700–1000 m<sup>2</sup> g<sup>−1</sup>), high electrical conductivity, and intriguing physicochemical properties.<sup>[17–21]</sup> Most importantly, CNTs are chemically inert and biocompatible.<sup>[22–24]</sup> Based on the above, the promising advantages of flexible substrates and CNTs lead the attempt of fabricating CNTs directly on flexible substrates as microelectrodes for neuronal recording.

In this work, the feasibilities of growing CNTs on flexible polyimide substrates at low temperatures (400 °C) by catalyst-assisted chemical vapor deposition (CVD) and utilizing the above devices (see the schematic image in Fig. 1a and the photo in Fig. 1b) as electrodes for extracellularly neuronal recording were investigated. The electrical enhancement (by UV-ozone exposure), biocompatibility (by neuron cell cultures), long-term usage and adhesion, and the detection of action-potential signals on crayfish (using flexible UV-ozone-modified CNT electrodes) were examined. **change for clarity OK?**

After a series of process optimizations, the 5-nm Ni-catalyst layer and C<sub>2</sub>H<sub>2</sub> (60 sccm)/H<sub>2</sub> (10 sccm) process gases at 5 Torr were found to be the optimum CNT growth parameters in this work. Besides, the Au layer could facilitate CNT growth. Figure 1c shows that CNTs have been grown on the polyimide substrate with Au layer, while not on that without Au layer (the inset). The high-resolution transmission electron microscopy (HRTEM) image (Fig. 1d) further confirms the successful syntheses of multi-walled carbon nanotubes (MWCNTs) at 400 °C or even down to 350 °C with H<sub>2</sub> plasma pretreatment prior to the CVD processing. As shown in the Supporting Information (Fig. S1a),

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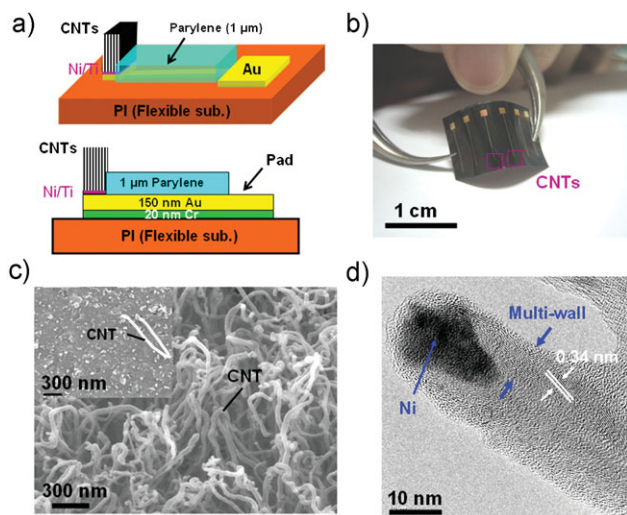
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**Figure 1.** a) A schematic side and cross-section view and b) a photo, of flexible CNT electrode devices. c) Figure and inset show SEM images of CNTs grown on Ni (5 nm)/Ti (20 nm)/Au (150 nm)/Cr (20 nm) and Ni (5 nm)/Ti (20 nm) on polyimide, respectively. **Please check resolution of all figures and provide higher-resolution image files if necessary.**

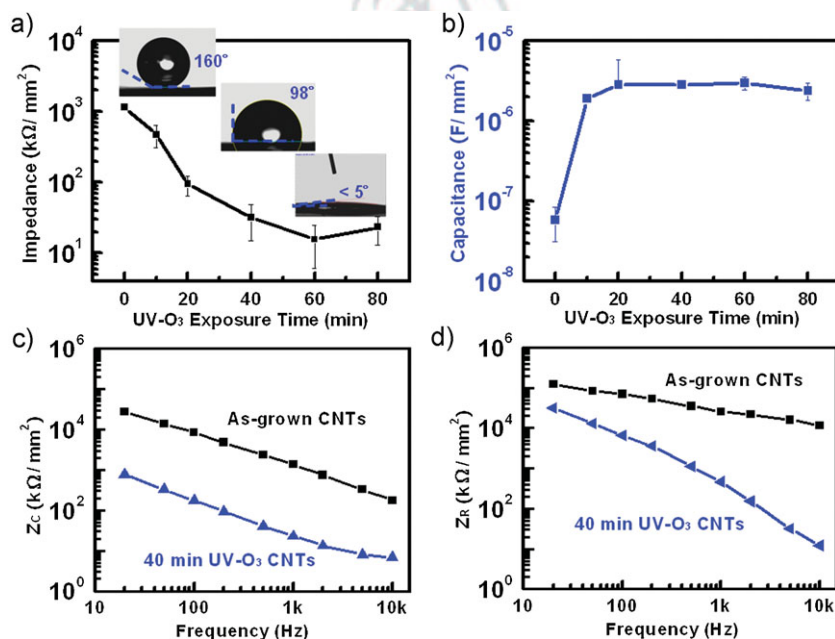
The interfacial properties **interactions?** between CNTs and the electrolyte, which play an important role in neuronal signal detection, can be improved by UV-ozone exposure. As the duration of UV-ozone exposure increases, the impedance per unit area of the CNT electrodes decreases. Besides, the surface wettability of CNTs is changed from superhydrophobic to hydrophilic (Fig. 2a), as shown by the contact angles of 160°, 98°, and smaller than 5° (insets of Fig. 2a) measured from the CNTs with UV-ozone exposure for 0, 10, and 40 min, respectively. The impedance per unit area drops more than one order of magnitude for CNTs after 20 min UV-ozone exposure and reaches a saturation value ( $\sim 30 \text{ k}\Omega \text{ mm}^{-2}$ ) after UV-ozone exposure for 40 min or longer. Besides, the interfacial capacitance per unit area (Fig. 2b), derived from cyclic voltammetry (CV) data, increases from  $5.7 \times 10^{-8} \text{ F mm}^{-2}$  for as-grown CNTs to greater than  $10^{-6} \text{ F mm}^{-2}$  for the CNTs subjected to more than 10 min UV-ozone exposure. Benefiting from lower interfacial impedance and higher capacitance, as above, UV-ozone modified CNT electrodes can provide better charge-transfer capability and consequently facilitate their application for neuronal recording.

In addition, the CNT/electrolyte interface can be modeled electrically as a resistor and a capacitor in parallel.<sup>[25–27]</sup> The resistive impedance,  $Z_R$  ( $Z_R = R$ , Fig. 2c), was comparable to capacitive impedance,  $Z_C = 1/(2\pi fC)$ , Fig. 2d, where  $R$ ,  $f$ , and  $C$  are resistance, **please check definitions and define f**, and capacitance, respectively, implying that the CNT electrode transmits signals through both capacitive and resistive conduction. This differs from the previous reports which suggested that only capacitive conduction dominated.<sup>[25,28]</sup> More interestingly, both  $Z_C$  and  $Z_R$  of the 40-min UV-ozone-modified CNTs were reduced to about 1/50 of their individual values of as-grown CNTs, i.e.,  $Z_C$  was reduced from 1340 to  $22 \Omega \text{ mm}^{-2}$  and  $Z_R$  from 25800 to  $468 \Omega \text{ mm}^{-2}$  at 1 kHz. The resistive characteristic is very

crucial to record equilibrium membrane potentials and to deliver direct-current stimuli in intracellular recording.

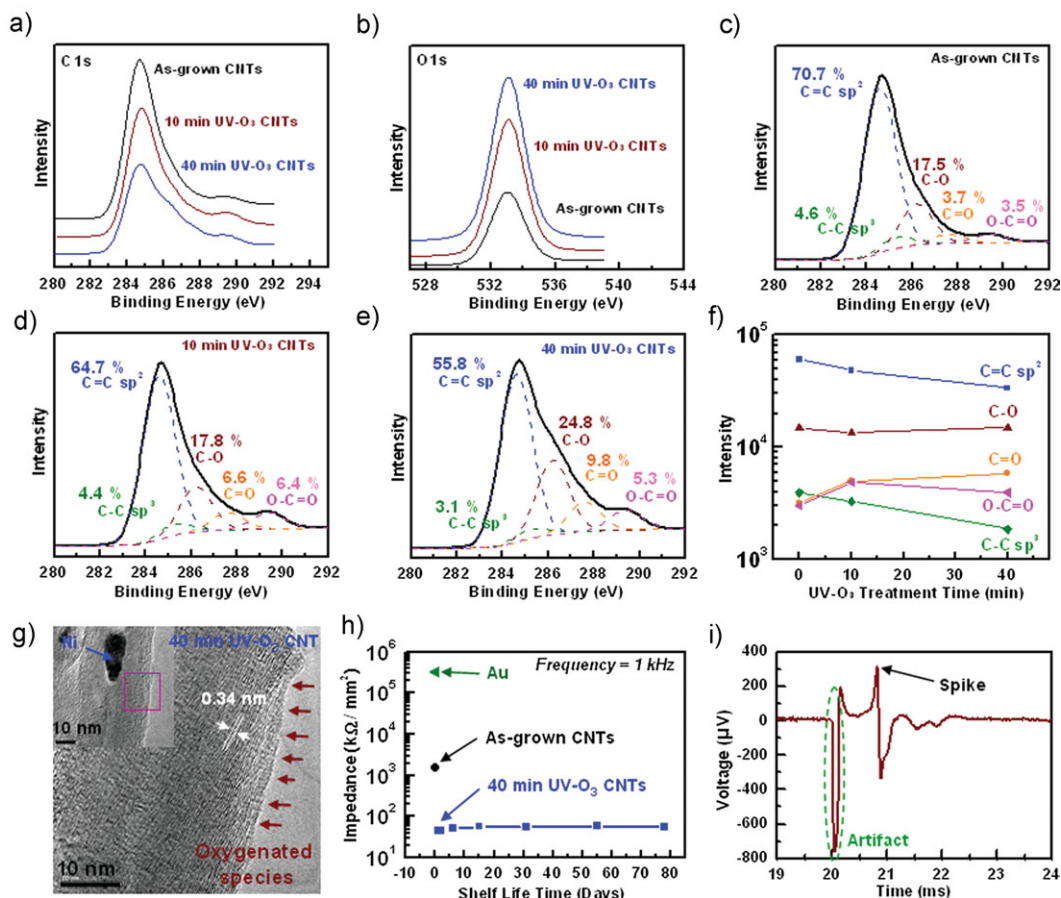
To further investigate chemical concentration changes qualitatively on CNTs, X-ray photoelectron spectroscopy (XPS) analyses were performed. Figure 3a shows that the C1s peak intensity is reduced and a high binding energy shoulder appears for the UV-ozone modified CNTs, while the O1s spectra in Figure 3b show that intensities from oxygen-related bonds increase with UV-ozone exposure time, suggesting the reduction of carbon-related bonds and the formation between carbon-oxygen bonds.

**changes to the previous two sentences OK?** The Gaussian decompositions of Figure 3a are shown in Figure 3c–e for more detailed analyses, all exhibiting five peaks at 284.6, 285.3, 286.2, 287.6, and 289.4 eV, which are attributed to  $\text{sp}^2$ -hybridized C=C (graphite),  $\text{sp}^3$ -hybridized C–C (diamond-like), C–O, C=O, and O–C=O bonds,<sup>[29–32]</sup> respectively. Besides, the relative percentages of C–O, C=O, and O–C=O bonds increase with the increment of UV-ozone exposure



**Figure 2.** Interfacial impedance (a) and capacitance (b) of CNT electrodes per unit area as a function of UV-ozone exposure time. c)  $Z_C$  and d)  $Z_R$  of as-grown and 40-min UV-ozone-modified CNTs.





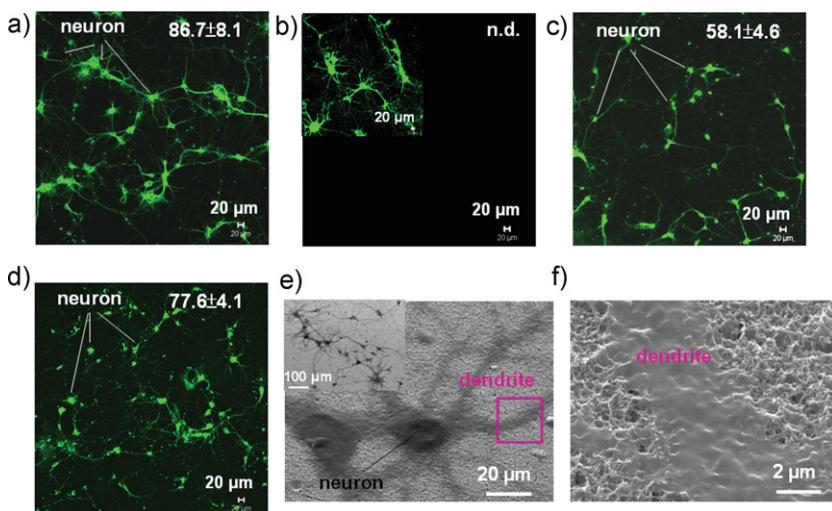
**Figure 3.** a) C1s and b) O1s spectra of as-grown, and 10- and 40-min UV-ozone-modified CNTs. Gaussian decompositions of as-grown CNTs (c) and CNTs after UV-ozone exposure for 10 min (d) and 40 min (e). f) Trend charts of C=C, C–C, C–O, C=O, and O–C=O bond intensities on CNTs as a function of UV-ozone exposure time. g) HRTEM image of a 40-min UV-ozone-modified CNT. h) Impedance per unit area of UV-ozone-modified CNT electrodes versus shelf life time in comparisons with Au and as-grown CNT electrodes. i) Detection of neuronal cellular activities using UV-ozone modified flexible CNT electrodes; spikes evoked by electrical stimulation (artifact) are observed. ■ change OK? ■

time, and the major bonding form between C and O is the C–O bond. The trend charts (Fig. 3f) show that the total intensity of C–O, C=O, and O–C=O bonds for UV-ozone-modified CNTs is higher than that of as-grown CNTs and increases with exposure time. This is consistent with the O1s spectra (Fig. 3b), although some slight deviation is observed in the trends of individual changes of C–O, C=O, and O–C=O bonds, possibly due to the scattering of physically absorptive O-contained species. The HRTEM image of the 40-min UV-ozone-modified CNT (Fig. 3g and its inset) show that the diameter and morphology are not varied significantly compared to that of as-grown CNTs (Fig. 1d). However, the graphitization structure of the outermost graphene shells is disrupted and discontinuous, suggesting the formation of C–O, C=O, and O–C=O bonds by UV-ozone exposure. Above results suggest that the improvement of interfacial resistive and capacitance characteristics (Fig. 2) is primarily contributed by the incremental C–O, C=O, and O–C=O bonds, which chemically anchor H<sub>2</sub>O molecules via intermolecular bonding<sup>[33,34]</sup> and enhance the CNT/electrolyte interfacial contact and reaction.

The durability and adhesion tests of UV-ozone-modified flexible CNT electrodes were conducted. The interfacial

impedance between as-grown CNTs and 3 M KCl solution was lower than that between Au and 3 M KCl solution by more than two orders of magnitude, and it was further reduced by more than one order of magnitude as the CNTs were treated by 40-min UV-ozone exposure for surface functionalization (Fig. 3h). It also shows negligible impedance change for flexible UV-ozone-modified CNT electrodes stored in air at ambient conditions during three months tracking (Fig. 3h). ■ OK? ■ Furthermore, adhesion tests only show a negligible ■ OK? ■ impedance change of CNT electrodes after ultrasonication in 3 M KCl solution for up to 120 s or inserting into quasi-neuron tissue (Agar gel) for 50 times. It can be inferred that the adhesion between the CNTs and the Ti layers is good. Above results on durability and adhesion tests imply the feasibility of using flexible UV-ozone-modified CNT electrodes fabricated in this work for long-term neuronal recording applications.

The capability of flexible UV-ozone-modified CNT electrodes in detecting neuronal activities extracellularly was demonstrated (Fig. 3i). Flexible CNT electrodes were employed to record the action potential of lateral giant (LG) neurons in the last abdominal ganglia of crayfish (*Procambarus clarkia*) in phosphate buffered



**Figure 4.** Fluorescent images of neuron cells cultured on control glass (a), as-grown CNTs (b), and UV-ozone-modified CNTs for 10 min (c) and 40 min (d). e, f) SEM images of Hippocampal neuron cells cultured on the same CNTs as (d).

1 saline (PBS). LG neurons received excitatory inputs from the  
2 nerves that innervated hairs on the tail fan. A bipolar electrode  
3 was placed onto the surface of the nerves; **OK? Or should "and"**  
4 **be inserted here?** two recording electrodes, a CNT electrode and  
5 a suction pipette, were attached tightly to the LG axon that was  
6 located on the dorsal surface of the nerve cord. A LG spike and  
7 several spikes following the LG spike were evoked by a 0.15 ms  
8 electrical stimulation (artifact in Fig. 3i) on the nerves. According  
9 to Figure 3i, the flexible UV-ozone-modified CNT electrodes were  
10 able to detect action potentials (APs) of lateral giant (LG) neurons  
11 and the recorded peak-to-peak magnitude of stimulated action  
12 potentials is 647 μV. The signal-to-noise ratio was about 150,  
13 which was obtained by dividing the peak-to-peak amplitude of the  
14 spike by the base line of the recording trace for  
15 UV-ozone-modified CNT electrodes with a pad area of  
16 3600 μm<sup>2</sup>. Comparison to the signal-to-noise ratios of about  
17 122 measured by traditional suction pipettes and about 36 by Au  
18 electrodes, which served as references under the same setup,  
19 suggests that the performance of UV-ozone modified CNT  
20 electrodes can be referred as good as traditional suction pipettes  
21 or better than Au electrodes in extracellular recording. However,  
22 as the amplitude of the signals in extracellular recordings is  
23 dependent on the distance between the neuron and the  
24 electrodes, further precise control on the distance is required  
25 for statistical sensitivity comparisons, although the distance has  
26 been kept as constant as possible **OK?** for the above neuron  
27 recordings.

28 Biocompatibility tests of CNT electrodes were also conducted  
29 (Fig. 4a–d). The neuron cells were aggregated severely on the  
30 certain region of as-grown CNTs (inset of Fig. 4b), while no  
31 neurons cells or neurite outgrowth branches were observed on  
32 the majority region (Fig. 4b). On the other hand, higher  
33 neuron-cell densities with homogeneous neuronal distribution  
34 can be observed at the increased duration of UV-ozone exposure,  
35 i.e., ( $58.1 \pm 4.6$ ) and ( $77.6 \pm 4.1$ ) mm<sup>-2</sup> on 10-min (Fig. 4c) and  
36 40-min (Fig. 4d) UV-ozone-modified CNTs, respectively, although

slightly less than that on control glass ( $86.7 \pm 8.1$  mm<sup>-2</sup>) (Fig. 4a). From scanning  
electron microscopy (SEM) images of neurons  
cultured on the 40-min UV-ozone-modified  
CNT substrates (Fig. 4e and f), a promising  
adhesion between the neuron cells or neurite  
outgrowth branches and the UV-ozone-  
modified CNTs can be derived. This indicates  
that UV-ozone exposure can enhance the  
poly-L-lysine **OK?** (PLL) attachment on  
CNTs and promote neurite growth in close contact with CNTs,  
suggesting good biocompatibility of  
UV-ozone-modified CNT electrodes. The  
enhancement of PLL attachments on  
UV-ozone modified CNTs is suspected to be  
attributed to the hydrophilic characteristics of  
CNTs after UV-ozone treatment according to  
contact-angle measurements, as PLL tends to  
attach to the hydrophilic surface, as  
reported.<sup>[35–37]</sup>

In summary, the feasibility of growing CNTs  
on polyimide substrates at low temperatures  
( $\leq 400$  °C) as electrodes for extracellularly neuronal recording has  
been demonstrated. Besides, the UV-ozone exposure proposed in  
this work provides an easy, simple, and low-cost route to  
functionalize CNTs by inducing the formation of C–O, C=O, and  
O–C=O moieties on the outermost surface of CNTs and  
changing them to hydrophilic. This can enhance the electrical  
charge-transfer characteristics and the electrochemical properties  
of CNT electrodes significantly, attributed to the 50-fold  
impedance reduction **OK?** over 10 times increase in interfacial-  
capacitance. Furthermore, the flexible CNT electrodes were  
found to exhibit not only capacitive but also resistive character-  
istics. Besides, results on cell-cultures indicate good biocompat-  
ibility of UV-ozone-modified CNTs substrates for neuronal  
growth. Furthermore, the good durability and good adhesion  
with polyimide substrates suggest that the flexible UV-ozone  
modified CNT electrodes fabricated in this work are promising  
candidates for long-term neuronal-recording applications.

## Experimental

**Flexible CNT Electrode Fabrication:** Kapton HPP-ST 125-μm polyimide  
films were adopted as flexible substrates, which were washed for 10 min  
with isopropyl alcohol and for further 10 min with deionized (DI) water  
sequentially using ultrasonication, followed by baking at 60 °C in air for  
10 min. A 20-nm Cr adhesion layer and a 150-nm Au interconnect layer  
were deposited by electron-beam (e-beam) evaporation via a shadow-mask  
patterning method in sequence. A 20-nm Ti adhesion and a Ni catalyst  
layers for CNT growth were then deposited sequentially using a second  
shadow mask. Various-size Ni/Ti square pads (3600, 10000, 22500, and  
40000 μm<sup>2</sup>) were used to quantify the electrical properties of CNTs. The  
CNTs were synthesized using Ni as a catalyst and C<sub>2</sub>H<sub>2</sub>/H<sub>2</sub> as process  
gases at 350–450 °C. The gas-flow rate, process pressure, growth  
temperature, and growth time were investigated to optimize the quality  
and density of the CNTs on the polyimide substrates. Following the CNT  
syntheses, a 1-μm biocompatible poly(*para*-xylylene) (parylene) insulator  
layer [38] was thermally deposited on the Au layer, leaving only CNT pads  
exposed. Finally, the CNT electrodes were subjected to UV-ozone exposure

1 using a UVO-Cleaner system (■ manufacturer? ■) at an intensity of  
2 25–35 mW cm<sup>-2</sup> and a wavelength of 254 nm.

3 **Instrumentation:** SEM (JEOL 6500) and HRTEM (JEOL JEM-2010) were  
4 employed to observe the morphology and structure of CNTs.  
5 Frequency-dependent changes in the impedance of flexible CNT electrodes  
6 were characterized by an Aligent 4284A system, where 10 mV sinusoidal  
7 signals at 20 Hz–10 kHz were applied to CNT electrodes in 3 M KCl  
8 solution using a Ag/AgCl coil as a reference electrode. Besides, CV  
9 measurements were conducted to determine the electrochemical properties  
10 of flexible CNTs electrodes. Each data point in this work was obtained  
11 from at least 3 samples ( $n=3$ ) and 3 measurements per sample. The  
12 surface wettability of CNTs was measured by a contact-angle measurement  
13 system. ■ If you refer to a specific one, please provide the manufacturer. ■  
14 Moreover, XPS was used to characterize the chemical functionalization of  
15 CNT surfaces.

16 **Neuronal Signal Detection:** Electrophysiological recording was per-  
17 formed according to procedures described previously [39–40]. A pair of  
18 bipolar electrodes fabricated from Teflon-coated silver wires (70 μm in  
19 diameter; A-M systems, Carlsborg Washington) was placed onto the  
20 sensory nerves, and electrical shocks (1.5–3 V, 0.15 ms duration) were  
21 delivered to evoke LG spikes. A suction pipette filled with crayfish saline, a  
22 Au electrode, and a CNT electrode were placed onto the LG axon for spike  
23 recording. Recorded voltages were digitized at 500 kHz by a PCI-6251 DA/  
24 AD converter card (National Instruments, Austin, TX, USA). Crayfish was  
25 anesthetized in a 4 °C water bath, and the nerve cord was dissected and  
26 pinned dorsal-side up on Sylgard 184 (Dow Corning, Midland, Michigan,  
27 USA) Petri dish. The preparation was carried out in crayfish saline  
28 ■ OK ■ (Van Harreveld, 1936) containing 210 mM NaCl, 15 mM CaCl<sub>2</sub>,  
29 5.4 mM KCl, 2.6 mM MgCl<sub>2</sub>, and 5 mM HEPES (all purchased from  
30 Sigma–Aldrich, St. Louis, MO, USA) at pH 7.4.

31 **Neuron-Cell Cultures:** Before culturing neuron cells, all materials were  
32 subjected to a sterilization process, where the substrates were immersed in  
33 alcohol for 30 min followed by rinsing in DI water 3 times. Morphologies of  
34 neurons and neurite outgrowth branches were observed after cell culturing  
35 for 16 days using confocal fluorescent microscopy with a 488-nm excitation  
36 wavelength and using β-III-tubulin as a cell marker. For each fluorescent  
37 image in the biocompatibility tests, at least three randomly selected areas  
38 (each with an area of 0.7 mm<sup>2</sup> ■ do you mean 0.7 mm × 0.7 mm ■) per  
39 sample (area 1 cm<sup>2</sup>) on three samples of each cell culture were monitored.

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