

Nicotinic $\alpha 7$ receptors enhance NMDA cognitive circuits in dorsolateral prefrontal cortex

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The cognitive function of the highly evolved dorsolateral prefrontal cortex (dlPFC) is greatly influenced by arousal state, and is gravely afflicted in disorders such as schizophrenia, where there are genetic insults in $\alpha 7$ nicotinic acetylcholine receptors ($\alpha 7$ -nAChRs). A recent behavioral study indicates that ACh depletion from dlPFC markedly impairs working memory [Croxson PL, Kyriazis DA, Baxter MG (2011) *Nat Neurosci* 14(12):1510–1512]; however, little is known about how $\alpha 7$ -nAChRs influence dlPFC cognitive circuits. Goldman-Rakic [Goldman-Rakic (1995) *Neuron* 14(3):477–485] discovered the circuit basis for working memory, whereby dlPFC pyramidal cells excite each other through glutamatergic NMDA receptor synapses to generate persistent network firing in the absence of sensory stimulation. Here we explore $\alpha 7$ -nAChR localization and actions in primate dlPFC and find that they are enriched in glutamate network synapses, where they are essential for dlPFC persistent firing, with permissive effects on NMDA receptor actions. Blockade of $\alpha 7$ -nAChRs markedly reduced, whereas low-dose stimulation selectively enhanced, neuronal representations of visual space. These findings in dlPFC contrast with the primary visual cortex, where nAChR blockade had no effect on neuronal firing [Herrero JL, et al. (2008) *Nature* 454(7208):1110–1114]. We additionally show that $\alpha 7$ -nAChR stimulation is needed for NMDA actions, suggesting that it is key for the engagement of dlPFC circuits. As ACh is released in cortex during waking but not during deep sleep, these findings may explain how ACh shapes differing mental states during wakefulness vs. sleep. The results also explain why genetic insults to $\alpha 7$ -nAChR would profoundly disrupt cognitive experience in patients with schizophrenia.

Acetylcholine (ACh) acts through a variety of nicotinic and muscarinic receptors to modulate wakefulness (1–3) and orchestrate attention-related circuits in the brain (4). It is released during wakefulness and rapid eye movement (REM) sleep (1, 3), exciting the thalamus and cortex (2, 3, 5) and allowing conscious experience (6). Despite the established importance of ACh in cortical function, there is very little known about its effects at the cellular level in cognitively engaged circuits. One study of the primate primary visual cortex [V1 (7)] showed attentional modulation by muscarinic but not nicotinic receptors. However, there have been no physiological studies of cholinergic actions in higher association cortices in primates, even though behavioral data indicate that ACh is essential for the working memory (WM) functions of the dorsolateral prefrontal cortex (dlPFC) (8), a highly evolved brain region that subserves mental representation and executive function as well as the reactivation of long-term memories onto the “mental sketch pad” (9, 10).

Goldman-Rakic and colleagues discovered the cellular basis of the spatial WM functions of primate dlPFC (9). Lesions to the principal sulcal dlPFC in monkeys permanently impair spatial WM performance, whereas physiological recordings from this area have revealed “delay cells” that generate mental representations of visual space even when stimuli were no longer present in the environment (9). These delay cells can maintain information in temporary storage to guide prospective motor acts, thus integrating perception and action (11). These neurons maintain persistent firing throughout the delay period when

information is held in WM, firing selectively for a “preferred direction” to create visuospatial representations (Fig. 1 A–C). Goldman-Rakic uncovered the cellular basis of these spatial WM functions and the circuitry underlying visuospatial representation (Fig. S1) (9): Neurons in dlPFC receive highly processed visuospatial information from the parietal association cortex, and layer III dlPFC pyramidal cell microcircuits excite each other to maintain persistent firing across the delay. Persistent firing also may involve reciprocal excitation with longer-range cortical–cortical circuits, for example, with the parietal association cortex (12). The spatial tuning of dlPFC delay cells is refined by GABAergic lateral inhibition from local basket and chandelier cells (Fig. S1). Recent studies have shown that the persistent firing of delay cells relies on glutamate NMDA receptors (NMDARs), including those with NR2B subunits, which are localized in the postsynaptic densities of glutamatergic synapses on spines in deep layer III (13). These pyramidal cells expand greatly in primate evolution (14), and are especially afflicted in schizophrenia (15, 16) and Alzheimer’s disease [AD (17)].

A variety of higher cognitive disorders are associated with impaired dlPFC function and genetic insults to nicotinic $\alpha 7$ receptors ($\alpha 7$ -nAChRs) and/or NMDAR signaling. There is extensive evidence linking genetic alterations of $\alpha 7$ -nAChR to schizophrenia and attentional deficits (18, 19), including alterations at the transcription level (20). Recent data have also shown that $\alpha 7$ -nAChR expression depends on neuregulin, another molecule linked to schizophrenia (21), and that smoking in schizophrenia may be a form of self-medication, normalizing expression of $\alpha 7$ -nAChRs (22). More recent studies have linked $\alpha 7$ -nAChRs to autism (23), attention deficit hyperactivity disorder [ADHD (24)], and AD (25), suggesting that a variety of dlPFC disorders are linked to alterations in $\alpha 7$ -nAChR signaling. $\alpha 7$ -nAChR agonists are currently under development as potential therapeutic treatments for these disorders, based in part on animal studies showing that systemic administration of $\alpha 7$ -nAChR agonists can rescue WM deficits induced by NMDAR blockade (26, 27). However, the location and physiological roles of $\alpha 7$ -nAChR in dlPFC circuits had not been known. The current study used electron microscopy and recordings from cognitively engaged monkeys to reveal $\alpha 7$ -nAChR localization and actions in primate dlPFC. We report that $\alpha 7$ -nAChRs are situated in the postsynaptic density of glutamatergic synapses in deep layer III of dlPFC, and that $\alpha 7$ -nAChR stimulation is essential for the excitation of NMDAR-mediated WM circuits.

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cells (11). Finally, there were delay cells with a combined phenotype that fired throughout the delay period but ramped up in anticipation of the response, so-called ramp-up delay cells (25% of delay cells). The combined firing of these neurons provides the temporal integration needed to guide response in the absence of sensory stimulation (11). All three subtypes of delay cells were influenced by drug in a similar fashion, and thus were combined for these analyses.

Effect of blocking endogenous cholinergic actions at $\alpha 7$ -nAChRs. The effect of blocking endogenous cholinergic actions at $\alpha 7$ -nAChRs was assessed through iontophoretic application of two antagonists: a general nAChR antagonist, mecamylamine (Mec), and a selective $\alpha 7$ -nAChR antagonist, methyllycaconitine (MLA). Both antagonists markedly decreased delay-related firing. Iontophoretic application of Mec (15–50 nA) produced a large reduction in neuronal firing for all task epochs in all directions ($n = 10$; Fig. S2; control vs. Mec, $P < 0.05$ for all task epochs, and for both preferred and nonpreferred directions). In contrast, iontophoretic application of MLA had more specific effects, reducing delay-related firing for the neurons' preferred direction without altering baseline firing or firing for the nonpreferred direction [$n = 17$; Fig. 3A; delay-related firing (spikes per s): control 19 ± 2 , MLA 13 ± 2 , $F_{1,16} = 31.218$, $P < 0.0005$; d' : control 2.053 ± 0.273 , MLA 0.980 ± 0.219 , $F_{1,16} = 42.786$, $P < 0.0005$]. An example is shown in Fig. 3B, where application of MLA produced a marked, dose-related reduction in the spatially tuned delay-related firing ($F_{3,22} = 13.343$, $P < 0.0005$). Neuronal firing recovered to control levels once drug delivery stopped (control vs. recovery, $P = 0.972$). Importantly, MLA had differential effects on task epoch, with little effect on firing during cue presentation but greatly reduced firing during the delay period

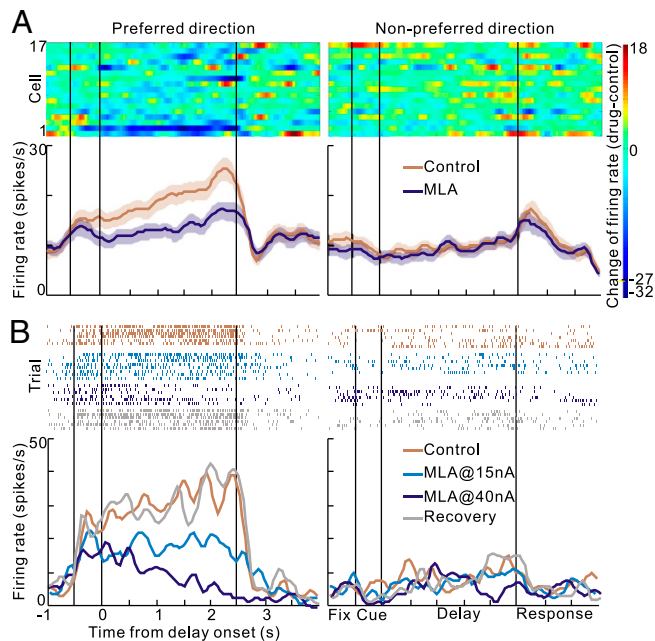


Fig. 3. Effects of $\alpha 7$ -nAChR blockade on WM-related firing of dIPFC neurons. (A) The $\alpha 7$ -nAChR antagonist MLA reduced WM-related firing of dIPFC neurons ($n = 17$). (Upper) The change in firing rate following MLA application for every neuron. Reduced firing is shown in blue (see scale bar on right). (Lower) The mean \pm SEM firing rate for all neurons for the control (brown) vs. the MLA condition (blue; 5–50 nA; lowest dose that significantly decreased firing for each neuron). (B) Example of an individual neuron. Iontophoresis of MLA (15 or 40 nA; blue) decreased the neuron's delay-related firing in a dose-dependent manner. The neuron recovered firing once the drug was removed (gray).

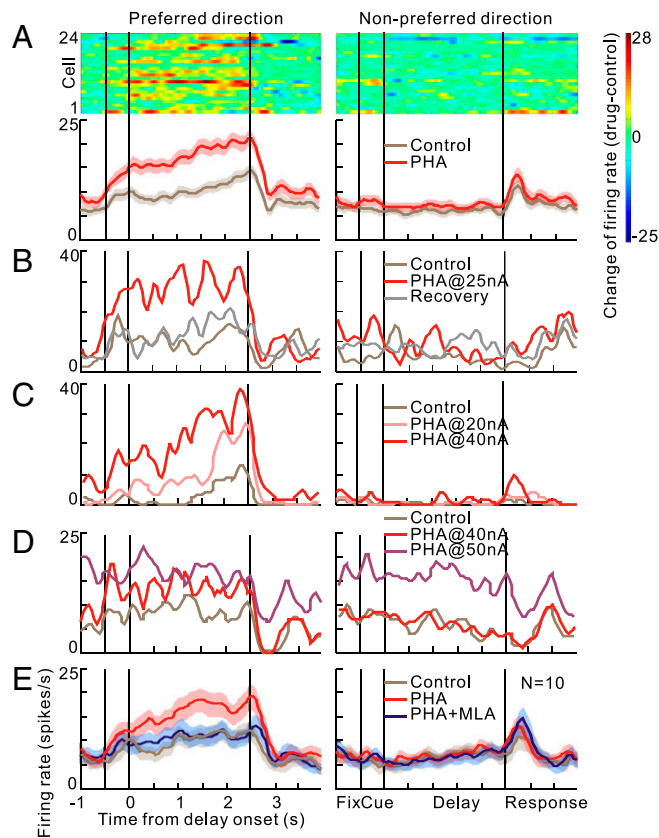


Fig. 4. Effects of $\alpha 7$ -nAChR stimulation on WM-related firing of dIPFC neurons. (A) The $\alpha 7$ -nAChR agonist PHA enhanced WM-related firing of dIPFC neurons ($n = 24$). (Upper) The change in firing rate following PHA application for every single neuron. Increased firing is shown in red (see scale bar on right). (Lower) The mean \pm SEM firing rate for all neurons for the control (brown) vs. the PHA condition (red; 5–40 nA; highest dose that significantly increased firing and tuning for each neuron). (B) Example of an individual neuron. Iontophoresis of PHA (25 nA; red) significantly increased the neuron's delay-related firing; firing reduced to control levels following cessation of drug delivery (gray). (C) Example of a single neuron showing the dose-dependent effects of PHA (20–40 nA) on delay-related firing. (D) Inverted-U-shaped dose effects of PHA on a single neuron. Whereas PHA at 40 nA selectively increased firing for the neuron's preferred direction, application of PHA at 50 nA (purple) produced nonselective increases in firing for all directions. (E) The increase in delay-related firing induced by PHA (red) was reversed by coiontophoresis of the $\alpha 7$ -nAChR antagonist MLA (blue; $n = 10$).

when spatial information is held in WM (Fig. 3A and B and Fig. S3; change ratio of firing rate: delay $-33 \pm 5\%$ vs. cue $-21 \pm 6\%$, $F_{1,16} = 4.897$, $P = 0.042$; significant drug \times task epoch interaction: $F_{1,16} = 12.503$, $P = 0.003$). These data indicate that endogenous stimulation of nAChRs has essential excitatory influences on dIPFC neurons, and that nAChRs with $\alpha 7$ subunits are especially important for the spatially tuned, persistent firing underlying spatial WM.

Effect of stimulating $\alpha 7$ -nAChRs. Next, we examined the effects of stimulating $\alpha 7$ -nAChRs on primate dIPFC neurons using three highly selective $\alpha 7$ -nAChR agonists: PHA543613 (PHA), DMAB-A, and TC1698 (TC). All three agonists produced significant enhancement in delay-related firing, with low doses having the most specific effects on delay-related firing. PHA (5–40 nA) consistently enhanced spatially tuned delay-related activity in all delay cells [$n = 24$; Fig. 4A; delay-related firing (spikes per s): control 10 ± 1 , PHA 16 ± 2 , $F_{1,23} = 64.377$, $P < 0.0005$; d' : control 1.398 ± 0.152 , PHA 3.016 ± 0.194 , $F_{1,23} = 66.365$,

$P < 0.0005$]. Iontophoresis of PHA at 25 nA significantly increased the delay-related firing of a dIPFC delay cell for its preferred direction ($F_{2,25} = 32.061$, $P < 0.0005$; Fig. 4B), with firing recovering to baseline levels when drug was no longer applied (control vs. recovery: $P = 0.908$), and this was dose-dependent (Fig. 4C). Neurons with low delay-related firing under control conditions were most improved by PHA application, likely due to ceiling effects in neurons with more robust delay-related firing (Fig. S4; changes in delay-related firing followed an exponential regression: $y = 2.8301 e^{-0.6603x}$, $R = 0.629$). Similar enhancing effects were observed with the two other $\alpha 7$ -nAChR agonists, DMAB-A (Fig. S5A; $F_{1,3} = 8.067$, $P = 0.033$) and TC (Fig. S5B; $F_{1,6} = 33.214$, $P = 0.001$). In contrast to the specific enhancing effects of low-dose PHA, higher doses of PHA (30–50 nA, dependent on individual neuronal sensitivity) produced nonspecific increases in excitability for all spatial directions, eroding spatial tuning (Figs. 4D and 5A). The differences in drug sensitivity between neurons likely reflect variations in endogenous cholinergic stimulation. In summary, PHA had an inverted-U-shaped dose effect on the spatial tuning of dIPFC neurons, with lower doses enhancing tuning and higher doses eroding tuning (Fig. 5A). These physiological effects were replicated in the behavioral studies, where systemic administration of PHA produced an inverted-U dose–response on cognitive performance (Fig. 5B; $F_{4,33} = 6.381$, $P = 0.001$; post hoc comparisons: vehicle vs. 0.1 $\mu\text{g}/\text{kg}$: $P = 0.003$; vehicle vs. other doses: $P > 0.05$), and compare with previous behavioral studies of other $\alpha 7$ -nAChR agonists (26, 28). Furthermore, the ability of PHA to enhance delay-related firing was reversed by coiontophoresis of MLA, consistent with $\alpha 7$ -nAChR actions (Fig. 4E; PHA vs. PHA+MLA: $P < 0.0005$). This remarkable specificity of low-dose $\alpha 7$ -nAChR agonists on dIPFC delay-related firing encourages their use as cognitive enhancers for PFC disorders.

Interactions between $\alpha 7$ -nAChRs and NR2B-NMDAR neurotransmission. Finally, we examined interactions between $\alpha 7$ -nAChRs and NR2B-NMDAR signaling in dIPFC. Previous research has shown that NR2B-NMDAR blockade markedly reduces spatially tuned delay-related firing (13), and these data were replicated in the current study, where low-dose iontophoresis of the NR2B-NMDAR selective antagonist Ro 25–6981 (Ro) reduced delay-related firing (a single-neuron example is shown in Fig. 6A; average neuronal response, $n = 12$, is shown in Fig. 6B; control vs. Ro: $P < 0.0005$).

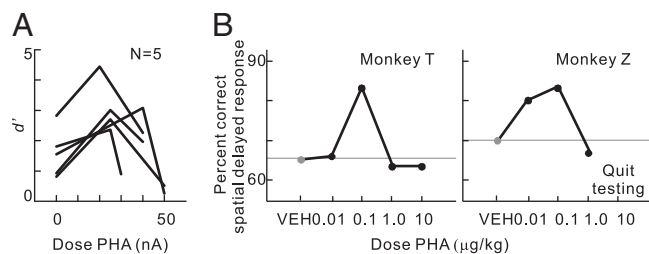


Fig. 5. Inverted-U dose-dependency curve of $\alpha 7$ -nAChR agonist PHA. (A) PHA produced an inverted-U dose effect on spatial tuning of delay neurons in dIPFC whereby low doses increased and high doses decreased spatial tuning as measured by d' . Please note that individual neurons ($n = 5$) present varying sensitivities to PHA (20–50 nA), due to differences in the level of endogenous ACh or to varying distances between the neuron and the iontophoretic pipette. However, all showed inverted-U dose–response curves. (B) Similar to the electrophysiology study, PHA produced an inverted-U dose–response curve on performance in the spatial WM task in monkeys, with low doses improving and higher doses having no effect or impairing performance. Examples of dose–response curves for two individual monkeys are shown. Overall, the 0.1 $\mu\text{g}/\text{kg}$ dose consistently improved performance, whereas other doses were not significantly different from vehicle control. A similar inverted-U dose–response has been seen in cognitive assessments of other $\alpha 7$ -nAChR agonists in monkeys.

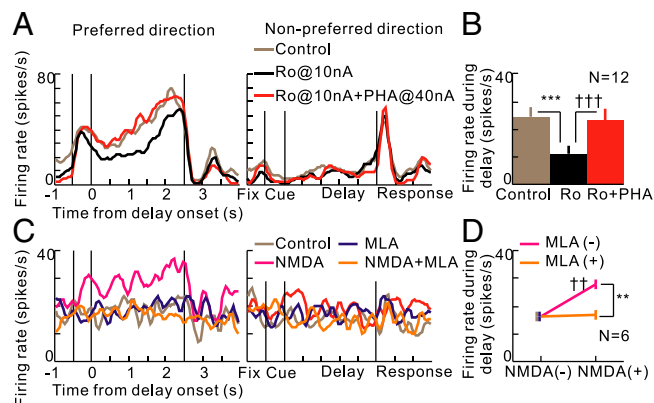


Fig. 6. Interaction between $\alpha 7$ -nAChRs and NMDARs mediates WM-related firing of dIPFC neurons. (A and B) Iontophoretic application of PHA (red) reversed the reduction in delay-related firing produced by application of the NR2B-NMDAR blocker Ro (black). (A) Single-neuron example. (B) Average response of all dIPFC neurons ($n = 12$, mean \pm SEM). $***P < 0.0005$; $+++P < 0.0005$. (C and D) Stimulation of $\alpha 7$ -nAChRs is required for NR2B-NMDAR-dependent neuronal-related firing. (C) An example of a single neuron showing that iontophoresis of NMDA by itself (magenta) increased delay-related firing in a neuron with weak delay-related firing under control conditions. In contrast, iontophoresis of NMDA following MLA blockade of $\alpha 7$ -nAChR (orange) was no longer effective in exciting dIPFC delay neurons. (D) Average firing rate of six dIPFC neurons during the delay period for the neurons' preferred direction (mean \pm SEM). Data analysis showed a significant interaction between NMDA and MLA, whereby NMDA increased firing when applied alone but had no effect during $\alpha 7$ -nAChR blockade. $**P < 0.005$; $++P < 0.005$.

This reduction in firing was reversed by coiontophoresis of PHA (Fig. 6A and B; Ro vs. Ro+PHA: $P < 0.0005$). Similar protective effects were observed if PHA was coapplied with Ro from the beginning and then removed to reveal the loss of firing with Ro alone (Fig. S6; $n = 7$; control vs. PHA+Ro: $P = 0.619$; PHA+Ro vs. Ro: $P = 0.002$). These results, in conjunction with the ultrastructural data, are consistent with spatial and functional interaction between the two receptors. The observed localization of postsynaptic $\alpha 7$ -nAChRs in the axospinous synapse (summarized in Fig. 2F) suggests that $\alpha 7$ -nAChRs may provide a permissive depolarization to facilitate NMDAR transmission, similar to AMPARs. To test this hypothesis, we examined whether iontophoresis of NMDA becomes ineffective under conditions of $\alpha 7$ -nAChR blockade. Indeed, iontophoresis of NMDA alone significantly increased delay-related firing (a single-neuron example is shown in Fig. 6C; average neuronal response, $n = 6$, is shown in Fig. 6D; control vs. NMDA: $P < 0.005$) but failed to increase firing when coapplied following $\alpha 7$ -nAChR blockade with MLA (Fig. 6C and D; control vs. NMDA+MLA: $P > 0.6$; significant NMDA \times MLA interaction: $P < 0.005$).

Discussion

The current study reveals that $\alpha 7$ -nAChRs are positioned in the synapses of layer III dIPFC pyramidal cell circuits in primates, and that endogenous stimulation of these receptors has an essential role in the WM-related firing in NMDAR-mediated circuits. In particular, the data establish that endogenous ACh stimulation of $\alpha 7$ -nAChRs plays a remarkably specific role in enhancing persistent neuronal firing in the absence of sensory stimulation, and explain why depletion of ACh from primate dIPFC would have such devastating effects on spatial WM, producing deficits comparable to ablation of the cortex itself (8). Conversely, the data illuminate why acute cigarette inhalation can enhance WM performance and dIPFC the blood-oxygen-level-dependent activity in humans (29), and why $\alpha 7$ -nAChR

agonists can improve the performance of a variety of memory and attention tasks that depend on PFC circuits (30–33). The study identifies the cellular basis for these behavioral actions, showing that stimulation of $\alpha 7$ -nAChRs produces an inverted-U dose–response both for spatially tuned neuronal firing patterns and for behavioral performance, enhancing NMDAR-mediated neuronal representations of visual space.

Potential Cellular Actions in dlPFC. There are several possible subcellular sites for $\alpha 7$ -nAChR actions. The highly specific enhancement of delay-related firing for the neuron's preferred direction that follows low-dose agonist application likely involves stimulation of postsynaptic $\alpha 7$ -nAChRs in spines and direct facilitation of NMDAR glutamate transmission in the recurrent excitatory circuits that drive WM. Stimulation of presynaptic $\alpha 7$ -nAChRs may also contribute, for example, by magnifying endogenous glutamate release patterns, and nonspecific increases in glutamate release may account for generalized increase in neuronal firing with high doses of $\alpha 7$ -nAChR agonists. In rat PFC, nAChRs increase glutamate, ACh, and monoamine release, including glutamate from thalamic terminals, although some of these actions may involve other nAChR subtypes (34, 35). $\alpha 7$ -nAChRs are also found in rodent synapses (36), suggesting that the receptor could have similar actions across species. However, most physiological studies in rodent PFC have observed presynaptic nicotinic actions (35, 37–39). It may be that spine $\alpha 7$ -nAChRs are not prevalent or only have subtle effects on neuronal physiology in rodents, as $\alpha 7$ -nAChRs are much more prominent in primate than rodent brain (40). Thus, these important actions may be magnified in primate evolution. It should be noted that other nicotinic (38, 39, 41–43) and muscarinic (44) cholinergic receptors also have important influences on PFC function in rodents, and it is likely that these receptors also influence dlPFC function in primates.

$\alpha 7$ -nAChR Interactions with NMDAR in dlPFC. The study reveals an important physiological interaction between $\alpha 7$ -nAChRs and NR2B-NMDARs in primate dlPFC, consistent with previous behavioral studies (26, 27), suggesting that $\alpha 7$ -nAChRs have a permissive role upon NMDAR actions in dlPFC circuits. These permissive actions could occur in concert with, or in place of, the traditional AMPAR role in depolarizing NMDARs (45), as suggested by Berg and colleagues (36), and by ultrastructural findings in rodent cortex (46). The cholinergic system provides essential excitatory input for activating thalamic and cortical neurons during alert waking and during REM sleep (1, 2, 5, 47, 48), and dlPFC is especially sensitive to changes in arousal state (49). As ACh is an important modulator of arousal state, $\alpha 7$ -nAChRs may provide an alerting mechanism by which ACh can bring NMDAR higher cortical circuits “online” to produce a conscious cognitive state, whereas the absence of its release, such as occurs in deep sleep, may render dlPFC NMDAR synapses “silent.” Such a permissive role for $\alpha 7$ -nAChRs on NR2B-NMDAR opening may be particularly important in dlPFC, where higher cognitive function is markedly influenced by the state of arousal (50). In contrast, $\alpha 7$ -nAChRs have little effect on neuronal firing in primate V1 (7), a cortical region that processes visual information even in the anesthetized state.

Relevance to the Etiology and Treatment of Cognitive Disorders. $\alpha 7$ -nAChR agonists are in development for the treatment of a variety of cognitive disorders, and the findings of this study support this approach. Selective $\alpha 7$ -nAChR agonists may provide a mechanism to improve cognition without the addictive properties of nicotine that may arise from $\beta 2$ -containing nAChRs (51). Our findings emphasize that appropriate dosage will be key to the success of developing cognitive enhancers for humans, given the

inverted-U dose–response curves in neuronal firing and behavioral performance (28). The loss of beneficial effects with increasing dose may not be due to receptor desensitization or side effects (as may occur with still-higher doses), but instead arises from non-specific effects on neuronal excitability. Thus, successful cognitive enhancement in humans will require subtle manipulations that enhance mental representations and respect the sensitivity and specificity of dlPFC circuitry.

A number of mental disorders involve deficits in dlPFC function. Schizophrenia is characterized by grave impairments in WM (52) that are associated with reduced dlPFC activity and thought disorder (53). Reductions in dlPFC activity are also associated with dysregulated behavior and attention in mania (54) and ADHD (55), especially in the right hemisphere, whereas dorsomedial PFC hypoactivity is associated with social deficits in both schizophrenia and autism (56). PFC deficits are also a component of dementias such as AD, where there is early accumulation of β -amyloid and phosphorylated tau early in the disease, including tangles in layer III pyramidal cells (17). All of these disorders involve genetic alterations (24, 57–60) or molecular interactions (25, 61) of/with $\alpha 7$ -nAChR signaling, including evidence of reduced receptor expression in PFC of patients with schizophrenia (22) or autism spectrum disorders (60). Genetic alterations of $\alpha 7$ -nAChRs in schizophrenia are particularly well established (18). High rates of smoking in schizophrenia may be an attempt to normalize the firing pattern of the dlPFC circuits most afflicted in schizophrenia, and recent data indicate that smoking may help to normalize $\alpha 7$ -nAChR expression in these patients (22). The current data suggest that smoking may help to bring PFC NMDAR-driven circuits online, and that selective $\alpha 7$ -nAChR agonists may ameliorate key deficits in schizophrenia. As PFC circuits also provide top-down regulation of emotion, stimulation of $\alpha 7$ -nAChRs in PFC may also contribute to the mood-stabilizing effects of nicotine in individuals with posttraumatic stress disorder (62) and depression (63). The current study provides a molecular and cellular basis for these therapeutic effects, demonstrating a key role for $\alpha 7$ -nAChRs in strengthening primate PFC cognitive function.

Materials and Methods

All experiments were performed in accordance with National Institutes of Health guidelines, and were approved by the Yale Institutional Animal Care and Use Committee. Further details can be found in *SI Materials and Methods*.

Physiology and Iontophoresis. Details of the recording and iontophoresis procedures have been described previously (13). Two-way ANOVA was used to examine the spatially tuned delay-related activity. One-way or two-way ANOVA was used to test drug effects.

Electron Microscopic Localization. Immunoelectron microscopy and α -bungarotoxin were used to label $\alpha 7$ -nAChRs and to colabel for vesicular ACh transporter (VACHT) in layers II/III of monkey dlPFC. All single- and double-labeling procedures, including controls, and electron microscopy processing have been described previously (64).

Behavioral Studies. The drug effects on spatial working memory performance were assessed using a manual delayed-response task in a Wisconsin General Testing Apparatus as described previously (65).

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