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<p>(54) Title: DEVICES WITH COATINGS CONTAINING CHLORHEXIDINE GLUCONATE, COMPOSITIONS AND METHODS</p>		
<p>(57) Abstract</p> <p>Devices, coating compositions and methods for making such compositions are provided, wherein the coatings deliver chlorhexidine gluconate from a stable non-aqueous system.</p>		

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**DEVICES WITH COATINGS CONTAINING CHLORHEXIDINE  
GLUCONATE, COMPOSITIONS AND METHODS**

**Field of the Invention**

5           The present invention relates to stable coatings for delivering chlorhexidine gluconate.

**Background**

10           Chlorhexidine digluconate (commonly known as “chlorhexidine gluconate”) is an antimicrobial that is useful for various applications, particularly in the oral environment. Specifically, chlorhexidine gluconate in dental rinses has been clinically proven to reduce gingival inflammation and bleeding. The disadvantages to delivering chlorhexidine gluconate in a rinse are bad taste and staining. Chlorhexidine gluconate is known to decompose to form para-  
15   chloroaniline, which is highly toxic.

          Hill (U.S. 5,098,711; WO 95/30404; U.S. 5,165,913; U.S. 4,911,927) describes floss coating compositions with chlorhexidine gluconate. The compositions of Hill contain a surfactant and a coating substance that is insoluble in the surfactant. Optionally, the compositions may contain a humectant like  
20   glycerin or polyethylene glycol. In Hill’s examples, chlorhexidine gluconate is formed *in situ* by heating gluconic acid and chlorhexidine free base at high temperature.

          Simionato et al (AU 9,464,534) describes putting chemotherapeutic agents in a floss coating composition that contains an emulsifiable wax.

25           Bowen (U.S. 5,603,921) describes dental floss coating compositions that contain chlorhexidine gluconate and a 2/1 ratio of polyethylene glycol (PEG) 3350/PEG 1000, which are solids at room temperature.

30   **Summary of the Invention**

          Devices, coating compositions and methods for preparing coating compositions are provided whereby stable chlorhexidine gluconate may be

delivered to the oral environment from an essentially non-aqueous system. The coating comprises chlorhexidine gluconate and a Solubilizing Glycol. The coating additionally comprises a modulus-enhancing component to give proper handling properties. The coating does not contain more than 200 ppm of para-chloroaniline  
5 after four weeks at 45° C.

### **Detailed Description of the Invention**

As noted above, it is desirable to deliver chlorhexidine gluconate (“CHG”) to the oral environment. To date, however, systems have not been adequate to  
10 deliver CHG in a format other than in an aqueous rinse in a manner that would also provide stability. CHG degrades to toxic byproducts in a non-aqueous environment, including para-chloroaniline (“PCA”) a suspected carcinogen. It is therefore surprising to find that a non-aqueous composition (i.e. having less than about 2% water by weight) may be formulated for stable delivery of CHG to the  
15 oral environment.

Non-aqueous coatings of the present invention provide significant advantages in the delivery of CHG. Because the coating does not contain water, it is more shelf-stable for longer term storage since there is no water loss or requirement for special packaging to retain water in the coating.

20 Coated CHG delivery devices of the present invention, as compared to aqueous rinses, are useful particularly for delivering chlorhexidine gluconate interproximally and subgingivally, where it is needed to treat gingivitis. Site specific delivery of chlorhexidine gluconate from a device, as in the present invention, minimizes the discomfort associated with the bad taste of chlorhexidine  
25 gluconate and reduces tooth staining by reducing contact of the chlorhexidine gluconate with the facial tooth surfaces.

The device of the present invention is any device suitable for physical delivery of CHG to the oral environment, and most preferably a device suitable for delivery to interproximal and subgingival surfaces of the oral environment. Such  
30 devices include dental floss, dental picks, and dental tape. Additionally, the device

may be a dental packing material, such as a fiber. Other embodiments include periodontal membranes.

Dental floss coated with the compositions of the present invention is highly advantageous, because it slips easily between the teeth and yet is easy to hold in  
5 the user's hands.

The coating of the present invention comprises chlorhexidine gluconate. CHG may be commercially obtained from many manufacturers, but typically only in an aqueous format. It is important to properly handle aqueous CHG, particularly as to exposure to high temperatures, to retain stability when formulating the non-  
10 aqueous compositions of the present invention, as will be described in more detail below.

Preferably, the coating of the present invention comprises between about 0.1% and 15% of CHG by weight. More preferably, the coating comprises 0.5-10%, and most preferably, the coating comprises 1-5% of CHG by weight.

15 For purposes of the present invention, a "Solubilizing Glycol" is a glycol that provides a clear solution when mixed with CHG in the glycol/CHG ratio to be used in the ultimate coating composition. This evaluation of solution clarity is made to a mixture containing only CHG, glycol and any residual water, after water has been removed to a level less than about 10% and the solution is at room  
20 temperature (about 21° C). It is understood that mechanical mixing under heat as high as 100° C may be employed to mix the CHG with the glycol, but that the evaluation will be made after the solution has cooled and allowed to stand for 60 minutes.

Examples of glycols capable of dissolving and stabilizing chlorhexidine gluconate are glycerin, sorbitol, polyethylene glycol (preferably of molecular  
25 weight between about 200 and 600), polyglycerols (e.g. triglycerol, hexaglycerol and decaglycerol), and propylene glycol. These glycols may be used separately or in combination. It will be recognized that while individual glycols may not provide the desired clear liquid, mixtures of glycols may be suitable to be  
30 collectively used as the Solubilizing Glycol.

Solubilizing Glycol is preferably present in the coating in an amount such that the ratio of Solubilizing Glycol to chlorhexidine gluconate by weight is 0.2-200. More preferably the ratio of Solubilizing Glycol to chlorhexidine gluconate by weight is 0.5-7, and most preferably, the ratio is 1-5.

5           The modulus-enhancing component is any material that provides the desired final modulus properties for the coating, such that it will have the proper tackiness and material delivery properties of a coating. Thus, the coefficient of dynamic friction (ASTM D3247) is preferably less than 2.0 and more preferably less than 1.0. The elastic modulus,  $G'$ , should be greater than 10,000 and  
10           preferably greater than 100,000 dynes/cm<sup>2</sup> at a frequency of 1 rad/sec and at room temperature. The ratio of the viscous modulus,  $G''$ , to  $G'$  (or tan delta) should be less than 0.8 and preferably less than 0.5 at a frequency of 1 rad/sec and at room temperature.

          Examples of modulus enhancing components include surfactants that  
15           contain both (a) hydrophilic group(s) capable of dispersing chlorhexidine gluconate and a glycol, and (b) an alkyl group(s). Preferably the alkyl group makes up 3 to 75% by weight of the modulus-enhancing component, and more preferably 5 to 60 wt.%. Examples of such preferred surfactants include polyglyceryl alkyl esters and ethers, ethoxylated polyhydric alcohol alkyl esters, and polyoxyethylene alkyl  
20           ethers or esters. These surfactants may act to bind individual fibers of a dental floss together, or may help in the formulation process to assist in making certain ingredients compatible in the overall coating formulation. Surfactants may be particularly beneficial in assisting wax to be compatible with the rest of the coating composition.

25           Alternative modulus enhancing components include waxes, poly-n-vinyl pyrrolidone, crystalline fatty alcohols, paraffins, polyethylene oxides having molecular weight greater than about 900, hydroxypropyl cellulose and cellulose derivatives. Preferably, these materials are soluble in or emulsifiable with glycerin.

30           Wax is particularly preferred in the tooth floss embodiment when it may be desirable to help bind the floss fibers together and to improve the floss handling

characteristics. Examples of waxes are microcrystalline wax and beeswax.

Alternatively, floss coatings may be formulated such that the fibers are not bound together.

Compositions of the present invention may additionally comprise  
5 appropriate adjuvants such as colorants, stabilizers, preservatives, flavorants, sweeteners, additional medicaments (such as fluoride and desensitizers), cleansers and the like.

Salts, acids, and bases that are not to be present in the compositions of the present invention are limited in amount such that they cannot interact with more  
10 than 50% of the CHG in the device. In other words, the coating has less than 0.50 molar equivalents of deleterious quantities of salts, acids, and bases that would react with chlorhexidine gluconate based on the amount of chlorhexidine gluconate in the composition. Preferably no more than 0.10 molar equivalents of salts, acids, or bases based on the amount of CHG are in the formulation. More preferably no  
15 more than 0.01 molar equivalents, and most preferably no more than 0.001 molar equivalents of salts, acids, or bases based on the amount of CHG are in the formulation.

Examples of salts, acids, and bases that are not to be present in the compositions of the present invention include water soluble or emulsifiable species  
20 of the following: carboxylic acids and polycarboxylic acids and their salts (with the exception of gluconic acid and its salts), sulfates, sulfonates, phosphates, phosphonates, acetates, sulfosuccinates, including anionic surfactants utilizing these as hydrophilic groups. Halides, nitrates, hydroxides, carbonates, oxalates, thiocyanates, sulfides, chromates, arsenates, cyanides, chlorates, and iodate salts  
25 are also a potential concern. As a general principle, it is desirable to avoid strong acids and strong bases and anionic surfactants, because each of these species tends to adversely react with chlorhexidine gluconate.

It is also desirable that the pH of the composition be maintained between 5 and 8 to provide a more stable system. Due to the anhydrous nature of the material  
30 of this invention a convenient method for assessing the relevant pH of the

compositions is to dissolve or suspend the material at a 5 to 10% weight basis in pH neutral water and measure the resulting pH.

The stable coating composition of the present invention is made by first mixing aqueous chlorhexidine gluconate with a glycol and optionally with the modulus-enhancing component to form a mixture that is substantially free of deleterious quantities of salts, acids, and bases that would react with the chlorhexidine gluconate. Water is then removed at a temperature less than 100° C, more preferably less than 80° C and most preferably less than 60° C. Preferably, the water removal operation is conducted under vacuum. The composition is then ready for final formulation (if not all materials in the final formulation have not already been added) and coating on the device. Alternatively, the removal of water may be undertaken after coating a water-containing formulation on the device. While brief periods of exposure of the composition to temperatures above 100° C may be allowed, extended exposure to high temperature may be seriously deleterious to the stability of the coating composition. It has therefore been surprisingly found that temperature control of the water removal process is extremely important in the production of stable coatings of the present invention.

In an alternative preparation technique, the aqueous chlorhexidine gluconate may be freeze-dried, thereby removing substantially all water from chlorhexidine gluconate in a rapid manner. The thus freeze-dried chlorhexidine gluconate may then be mixed with glycol. The modulus-enhancing component and/or other desired ingredients of the final formulation may be mixed at the same time as the glycol, or as a subsequent formulation operation. The composition is then ready for final formulation (if necessary) and coating on the device.

It particularly desirable to conduct the water removal step under vacuum. This condition allows for use of lower temperatures than would otherwise be required, shorter times at elevated temperatures, and further may facilitate removal of undesirable volatile degradation products or impurities.

The compositions may be coated onto the intended device using appropriate coating techniques, such as dip, melt, extrusion or spray techniques. To facilitate this coating process, it is preferred to formulate the composition such that the melt

point of the total composition is about 40-60° C, and more preferably about 40-50° C.

The following examples are provided for purposes of illustrating the present invention, and are not intended to limit to broadest concepts of the present invention. Unless otherwise specified, all parts and percentages are by weight, and molecular weights are number average.

## **EXAMPLES**

### 10 **Example 1**

A stock solution of 2/1 glycerin/ chlorhexidine gluconate (CHG) was prepared by dissolving 2 parts of glycerin (Aldrich Chemical Company, Milwaukee, Wisconsin) in 5 parts of 20 wt.% CHG in water (Medichem S.A., Barcelona, Spain). The water from this solution was removed under vacuum and at 15 60° C using a Rotavapor R110 (Buchi, Germany).

A stock solution of 2/1 polyethylene glycol ("PEG-400", molecular weight 400)/ chlorhexidine gluconate (CHG) was prepared by dissolving 2 parts of PEG-400 (Aldrich Chemical Company) in 5 parts of 20 wt.% CHG in water. The water from this solution was removed under vacuum and at 60° C using a Rotavapor 20 R110.

Floss coating compositions were prepared per Table 1. All Example 1 samples were made by melting 94 parts of surfactant at approximately 50° C, and then adding and dispersing 6 parts of the 2/1 stock solution of either glycerin/ CHG or PEG-400/ CHG. Uncoated dental floss (Hi-Tech floss, Ranir-DCP Corporation, 25 Grand Rapids, Michigan) was dip-coated into the molten CHG dispersions. The excess coating was removed with a tongue depressor while still molten.

The release rate of CHG from the coated floss samples was measured by high pressure liquid chromatography (HPLC). Samples were prepared by placing a 2-inch floss segment of known coating weight and into deionized water in a 30 dram vial. The vials were shaken for ten minutes on a paint shaker (Red Devil, Inc., Union, New Jersey). The floss segment was then removed from each vial,

and the concentration of CHG in the water was determined per the test method summarized below. The percentage of the CHG in the floss that was released into the water was calculated from the initial coating weight and the water CHG concentration.

5

#### HPLC Test Method for Determining CHG Concentration

##### Equipment:

1. A Hewlett Packard 1090 HPLC.
2. Detector: Diode Array at 205 nm.
- 10 3. Column: Prodigy 5 ODS 3, 100 Å pore size, 5 mm particle size, silica-based C18 column, 4.6 X 150 mm (Phenomenex, Inc., Torrance, California).
4. HPLC grade Acetonitrile (J. T. Baker Inc., Phillipsburg, New Jersey)
5. Deionized water.
6. Triethylamine (99%, Aldrich Chemical Company).
- 15 7. 85% Phosphoric Acid (J. T. Baker Inc.).
8. Buffer Filter: Empore filter (3M Company, St. Paul, Minnesota).
9. Automatic pipette and pipette tips: 0.1-1 mL.
10. HPLC vials with caps (Fisher Scientific, Pittsburgh, Pennsylvania).

##### 20 Procedure:

1. The following CHG standards were prepared in deionized water: 0.005%, 0.003%, 0.001%, 0.0007%, and 0.0005% (w/v).
2. HPLC vials were filled with the prepared samples and CHG standards. The vials were loaded into the HPLC.
- 25 3. The mobile phase was prepared using the following procedure:
  - a) Deionized water (1000 mL) was placed in a beaker.
  - b) Stirring was initiated, and a pH meter was placed in the beaker for continuous measurement.
  - c) Triethylamine (10 mL) was allocated into the beaker.
  - 30 d) Phosphoric acid was added dropwise until the pH was 2.5.
  - e) The mobile phase was filtered through a 3M Empore filter.

4. HPLC test parameters:
  - a) Flow Rate: 1.0 mL/min.
  - b) Mobile Phase: 75% 1.0% Triethylamine/phosphate at pH 2.5 and 25% acetonitrile.
  - 5 c) Temperature: room temperature (21° C).
  - d) Injection volume: 24 µL.
  - e) Draw speed: 83 µL/min.
  - f) Injections/vial: 2-3.
  - g) Diode Array Detector: sample at 205 nm with a bandwidth of 4 nm,  
10 reference at 500 nm with a bandwidth of 50 nm.
5. Samples and standards were run through the HPLC.
6. A calibration curve of CHG concentration versus peak area was generated from the results of the standard solutions.
7. The concentration of CHG in the water of each sample was determined  
15 from the calibration curve.

The release rate of CHG from the coated floss samples are listed in Table 1. The results show that the floss compositions of the present invention give excellent release of CHG in an aqueous environment.

20

**Table 1:** Floss Coating Compositions and CHG release rate in water.

Example	Surfactant	Glycol	Coating Weight (mg)	Water for Release Test (ml)	Percent of CHG in floss released
1A	PEG-150 Distearate ("CDS-6000P", Nikkol Chemical Company, Japan)	Glycerin	13.9	10	60.0
1B	CDS-6000	PEG-400	15.6	10	43.3
1C	Polyglyceryl-10 Tristearate ("Decaglyn 3-S" Nikkol)	Glycerin	15.1	10	17.9
1D	Decaglyn 3-S	PEG-400	11.8	10	28.5
1E	PEG-40 Stearate ("Emerest 2715", Henkel Corporation, Hoboken, New Jersey)	Glycerin	12.7	10	31.9
1F	Emerest 2715	PEG-400	5.6	5	69.2
1G	"Unithox 380" (an ethoxylate alcohol; 80% PEG, 20% C24; Baker Petrolite Corporation, LaGrange, IL)	Glycerin	8.6	5	12.8
1H	Unithox 380	PEG-400	7.1	5	16.3

**Example 2**

Floss coatings were prepared per the compositions listed in Table 2 using the following procedure. Each surfactant was melted at approximately 50° C, and then the required quantity of either the 2/1 glycerin/CHG stock solution of Example 1 or the 2/1 PEG-400/ CHG stock solution of Example 1 was added and dispersed with stirring. Uncoated Hi-Tech dental floss was dip-coated into the molten coating dispersions. The excess coating was removed with a tongue depressor while still molten.

The release rate of CHG from the coated floss samples was measured using the following procedure. One inch floss segments of known coating weight were placed in individual ½ dram vials with 1 mL of deionized water. The vials were shaken for ten minutes on a paint shaker. The floss segment was then removed from each vial, and the concentration of CHG in the water was determined per the

HPLC test method of Example 1. The percentage of the CHG in the floss that was released into the water was calculated from the initial coating weight and the water CHG concentration. The test results summarized in Table 2 represent the average of three replicate measurements. The results in Table 2 show that the floss compositions of the present invention give excellent release of CHG in an aqueous environment.

**Table 2:** Compositions of Examples 2A-2F and CHG release rate in water.

Example	Surfactant	Glycol	Glycol (wt.%)	CHG in Coating (wt.%)	Percent of CHG in floss released
2A	Polyglyceryl-2 Stearate ("DGMS", Nikkol)	PEG-400	4.04	2.02	65.57
2B	DGMS	Glycerin	4.16	2.08	70.03
2C	Polyglyceryl-10 Distearate ("Decaglyn 2-S", Nikkol)	PEG-400	3.94	1.97	52.43
2D	Decaglyn 2-S	Glycerin	4.22	2.11	33.32
2E	Polyglyceryl-4 Stearate ("Tetraglyn 1-S", Nikkol)	PEG-400	3.98	1.99	40.10
2F	Tetraglyn 1-S	Glycerin	4.40	2.20	32.53

### 10 **Example 3**

Stock solutions of glycerin/ CHG were prepared in the following ratios using the procedure described in Example 1: 1.5/1 and 0.5/1.

Floss coatings with the surfactant Unithox 380 were prepared per the compositions listed in Table 3. The required quantity of Unithox 380 was melted at approximately 50° C, and then the required quantity of one of the two glycerin/CHG stock solutions above was added and dispersed with stirring. The floss coatings were aged for four weeks at 45° C and then the concentration of para-chloroaniline (PCA), a by-product of CHG decomposition, was determined using the HPLC method described below. Water was used as the sample solvent in the test method to effect dissolution. The PCA concentration results are listed in

Table 3. The results show the compositions of the present invention have good stability (PCA < 200 PPM).

**Table 3:** Compositions of Examples 3A-3B, and Concentration of PCA after 4 weeks at 45° C.

Example	Initial Coating Composition				PCA after 4 weeks at 45° C (ppm)
	Glycerin/CHG	Glycerin (wt.%)	CHG (wt.%)	Unithox 380 (wt.%)	
3A	1.5	3.06	2.04	94.90	43
3B	0.5	1.03	2.05	96.93	15

HPLC Test Method for Determining both PCA and CHG Concentration in Floss Coating

Equipment:

- 10 1. A Hewlett Packard 1090 HPLC.
2. Detector: Diode Array at 205 nm.
3. Column: Supelcosil ABZ+Plus silica-based alkyl amide chain column, 5 micron, 4.6 X 150 mm (Supelco, Inc., Bellefonte, Pennsylvania).
4. Column Prefilter: 2 cm Supelguard Cartridge and stand-alone holder
- 15 designed for 5 micron Supelcosil column (Supelco, Inc.).
5. Para-chloroaniline (Aldrich Chemical Company).
6. HPLC grade Acetonitrile.
7. Deionized water.
8. Triethylamine.
- 20 9. 85% Phosphoric Acid.
10. Buffer Filter: 3M Empore filter.
11. Automatic pipette and pipette tips: 0.1-1 mL.
12. HPLC vials with caps.
13. Ultrasonic bath with temperature control: Branson 2210 (Branson
- 25 Ultrasonics Corp., Danbury, Connecticut).
14. Glacial acetic acid (Aldrich Chemical Company).

15. Sample Filter: Anotop Plus syringe filter, 25 mm diameter, 0.2 micron pore size plus integral prefilter (Whatman International Ltd., Maidstone, England).
16. Chlorhexidine free base (Aldrich Chemical Company).

5 Procedure:

1. The following chlorhexidine free base (CHFB) standards were prepared in deionized water using acetic acid to aid in dissolution: 0.01%, 0.007%, 0.005%, 0.003%, 0.001%, 0.0007 and 0.0005% (w/v).
2. The following para-chloroaniline standards were prepared in HPLC grade acetoneitrile: 0.01%, 0.008%, 0.004%, 0.001%, 0.0001%, 0.00007% (w/v).
- 10 3. The samples for PCA and CHG concentration determination were prepared as follows:
  - a) Coating samples were melted at 50° C in an ultrasonic bath and stirred to ensure homogeneity.
  - 15 b) The coating samples were resolidified at room temperature, and then 0.5 gms was placed in a 10 mL volumetric flask.
  - c) An effective solvent for each sample was charged to the volumetric flask to the 10 mL graduation mark.
  - d) The volumetric flask was sonicated in the ultrasonic bath for ten  
20 minutes to effect dissolution of the floss coating in the solvent.
  - e) The sonicated solutions were filtered with an Anotop 25 Plus syringe filter.
4. HPLC vials were filled with the prepared samples and standards. The vials were loaded into the HPLC.
- 25 5. The mobile phase was prepared using the following procedure:
  - a) Deionized water (1000 mL) was placed in a beaker.
  - b) Stirring was initiated, and a pH meter was placed in the beaker for continuous measurement.
  - c) Triethylamine (10 mL) was allocated into the beaker.
  - 30 d) Phosphoric acid was added dropwise until the pH was 3.0.
  - e) The mobile phase was filtered through a 3M Empore filter.

6. HPLC test parameters:
  - a) Flow Rate: 1.0 mL/min.
  - b) Mobile Phase: 67% 1.0% Triethylamine/phosphate at pH 3.0 and 33% acetonitrile.
  - 5 d) Temperature: room temperature (21° C).
  - e) Injection volume: 24 µL.
  - f) raw speed: 83 µL/min.
  - g) Injections/vial: 2.
  - h) Diode Array Detector: sample at 205 nm with a bandwidth of 4
- 10 nm, reference at 500 nm with a bandwidth of 50 nm.
7. Samples and standards were run though the HPLC.
8. A calibration curve of CHFb concentration versus peak area was generated from the results of the CHFb standard solutions.
9. The CHFb concentration in each sample solution was determined from the
- 15 calibration curve. The CHFb solution concentration was converted to a CHG solution concentration.
10. The CHG concentration in the floss coating was determined from the CHG solution concentration.
11. A calibration curve of PCA concentration versus peak area was generated
- 20 from the results of the PCA standard solutions.
12. The PCA concentration in each sample solution was determined from the calibration curve.
13. The PCA concentration in the floss coating was determined from the PCA solution concentration.

25

**Example 4**

Floss coatings were prepared per the compositions listed in Table 4. Approximately 94 parts of surfactant was melted at approximately 50° C. Approximately 6 parts of either the 2/1 glycerin/CHG stock solutions of Example 1

30 or the 2/1 PEG-400/CHG stock solution of Example 1 was added and dispersed with stirring. The floss coating samples were aged for twelve weeks at 37° C and

45° C, after which the concentration of PCA was determined using the HPLC method of Example 3. The PCA concentration results are listed in Table 4.

**Table 4:** Compositions of Examples 4A-4O, and Concentration of PCA after  
5 Aging for 12 weeks at 37° C and 45° C.

Example	Surfactant	Glycol	Initial Coating Composition		PCA Concentration in Coating (ppm)	
			Glycol (wt.%)	CHG (wt.%)	After 12 weeks at 37C	After 12 weeks at 45C
4A	DGMS	Glycerin	4.04	2.02	16	93
4B	DGMS	PEG 400	4.20	2.10	38	180
4C	Decaglyn 3-S	Glycerin	4.00	2.00	110	170
4D	Decaglyn 3-S	PEG 400	4.06	2.03	251	729
4E	Tetraglyn 1-S	Glycerin	4.04	2.02	38	94
4F	Tetraglyn 1-S	PEG 400	3.98	1.99	104	120
4G	Decaglyn 2-S	Glycerin	4.00	2.00	13	553
4H	Decaglyn 2-S	PEG 400	3.98	1.99	94	395
4I	Decaglyn 1-S	Glycerin	4.00	2.00	1993	1262
4J	Unithox 380	Glycerin	4.00	2.00	1783	982
4K	Unithox 380	PEG 400	4.06	2.03	54	83
4L	Emerest 2715	Glycerin	4.00	2.00	317	31
4M	Emerest 2715	PEG 400	4.22	2.11	40	26
4N	CDS-6000P	Glycerin	4.06	2.03	1099	1164
4O	CDS-6000P	PEG 400	4.00	2.00	1056	1605

#### **Example 5 and Comparative Example 1**

Comparison of Example 5 and Comparative Example 1 shows that the  
10 compositions of the present invention are more stable to CHG decomposition than  
the compositions of Bowen (U.S. 5,603,921). The compositions of Bowen contain  
CHG and 2/1 PEG-3350/PEG-1000. Comparative Example 1 of Bowen was made  
by melting 31.7 parts of PEG-1000 (Dow Chemical Company, Midland, Michigan)  
and adding 25 parts of aqueous CHG (20 wt.%). The water from this solution was  
15 removed under vacuum at 60° C using a Rotavapor R110. To this water-free  
solution was added 63.4 parts of melted PEG-3400 (Aldrich Chemical Company).  
The resultant composition of Comparative Example 1 was 5 wt.% CHG, 63.4 wt.%  
PEG-3350, and 31.7 wt.% PEG-1000, and was a solid at room temperature.

The floss coating of Example 5 was made using the following procedure. A stock solution of 1/1 PEG-400/ CHG was prepared by dissolving 1 part of PEG-400 in 5 parts of 20 wt.% CHG in water. The water from this solution was removed under vacuum at 60° C using a Rotavapor R110. Ten parts of this stock solution was dispersed in 90 parts of melted Unithox 380 at approximately 50° C. The resultant composition of Example 5 was 5 wt.% CHG, 5 wt.% PEG-400, and 90 wt.% Unithox 380.

The floss coating samples of Example 5 and Comparative Example 1 were aged at 45° C for four weeks, and then the coatings were analyzed for PCA concentration per the test method of Example 3. The results are listed in Table 5. The results show that the PCA concentration of Example 5 is lower than that Comparative Example 1. These results show that the compositions of the present invention are better at stabilizing CHG than those of Bowen.

**Table 5:** Stability Studies of Example 5 and Comparative Example 1: PCA after Aging at 4 weeks at 45° C.

	Concentration of PCA (ppm) after 4 weeks at 45°C
Comparative Example 1	283
Example 5	30

### **Comparative Example 2**

Comparison of the floss coatings of Comparative Example 2 and Example 6 shows that the compositions of the present invention give better release of CHG and are more stable to CHG decomposition than the compositions of Hill (U.S. 5,098,711).

The chlorhexidine gluconate-containing examples of Hill are described in Example 61 and Table XI of U.S. 5,098,711. These three compositions were reproduced to the best of our ability, but our efforts were hampered by our inability to trace the flavor "IFF 101". IFF is the acronym for International Flavors and Fragrances, Inc. of Dayton, NJ, but they do not presently have a product named IFF 101. The authors reproduced the three Hill examples both with a substitute flavor (PFC 9894 peppermint flavor, Foote & Jenks, Inc., Camden, NJ)

(Comparative Examples 2A-2C), and without a flavor (Comparative Examples 2D-2F). The compositions of Comparative Examples 2A-2F are described in Table 6 below. Table 6 is organized in a manner similar to Table XI of Hill U.S. 5,098,711 to facilitate comparison. Comparative Examples 2A-2F were prepared per the procedure described by Hill in Example 61, and that procedure is described below.

**Table 6:** Compositions of Comparative Example 2 Floss Coatings (from Hill, U.S. 5,098,711, Example 61, Table XI).

	Compara- tive Example	Pluronic F-127	Silicone	Saccharin	Flavor	Caragee- nan	Silica	Sorbitol	Chlorhexidine		Total
									as free base CHFB	as CHG	
Parts	2A	65	15	2	5	7	6	0	0.4	0.710	100.71
	2B	55	15	1	7	0	7	15	0.2	0.355	100.36
	2C	57.5	12.5	2	10	2	5	11	0.4	0.710	100.71
	2D	65	15	2	0	7	6	0	0.4	0.710	95.71
	2E	55	15	1	0	0	7	15	0.2	0.355	93.36
	2F	57.5	12.5	2	0	2	5	11	0.4	0.710	90.71
Wt. %	2A	64.541	14.894	1.986	4.965	6.951	5.958	0.000	0.397	0.705	100.00
	2B	54.805	14.947	0.996	6.975	0.000	6.975	14.947	0.199	0.354	100.00
	2C	57.094	12.412	1.986	9.929	1.986	4.965	10.922	0.397	0.705	100.00
	2D	67.913	15.672	2.090	0.000	7.314	6.269	0.000	0.418	0.742	100.00
	2E	58.915	16.068	1.071	0.000	0.000	7.498	16.068	0.214	0.381	100.00
	2F	63.388	13.780	2.205	0.000	2.205	5.512	12.126	0.441	0.783	100.00
Wt. (g)	2A	32.271	7.447	0.993	2.482	3.475	2.979	0.000	0.199	0.353	50.00
	2B	27.403	7.473	0.498	3.488	0.000	3.488	7.473	0.100	0.177	50.00
	2C	28.547	6.206	0.993	4.965	0.993	2.482	5.461	0.199	0.353	50.00
	2D	33.957	7.836	1.045	0.000	3.657	3.134	0.000	0.209	0.371	50.00
	2E	29.457	8.034	0.536	0.000	0.000	3.749	8.034	0.107	0.190	50.00
	2F	31.694	6.890	1.102	0.000	1.102	2.756	6.063	0.220	0.392	50.00

10

In the Hill examples chlorhexidine gluconate is formed *in situ* by preparing gluconic acid and reacting it with chlorhexidine free base. D-glucono-d-lactone (Aldrich Chemical Company) (1.09 g) was moistened with an excess of water (0.65 g) and heated to 75° C for 15 minutes in a closed vessel to convert it to gluconic acid. To this gluconic acid, surfactant Pluronic F-127 (BASF Corp., Parsippany, NJ) (120 g) was added to make a 1% gluconic acid mixture if all the lactone was converted. This mixture was heated to 150° C to melt the Pluronic F-127 and effect mixing.

20

Table 7 describes the quantities of chlorhexidine free base, gluconic acid and Pluronic F-127 that were combined for each Comparative Example 2A-2F. Pluronic F-127 was melted at 150° C, and then mixed with chlorhexidine free base (Aldrich). To this chlorhexidine free base solution was added the gluconic acid/

Pluronic F-127 mixture such that the molar ratio of gluconic acid to chlorhexidine free base was 2.25 to 1 (same as in Hill). This mixture was stirred at 150° C to effect the reaction to chlorhexidine gluconate. Hill does not specify how long to carry-out this reaction. For Comparative Example 2A this reaction was carried out for 30 minutes after which time the color of the mixture changed from white to light brown which would indicate some decomposition of CHG. For Comparative Examples 2B-2F this reaction of chlorhexidine free base and gluconic acid was carried out for 10 minutes which resulted in only a slight color change.

After the above reaction time, each mixture was cooled to 120° C, which was determined to be the lowest temperature possible to produce a smooth melt. The remaining floss coating components were added per the quantities in Table 6. The silicone ("Dow Corning Silicone 1500", Dow Corning Corp., Midland, Michigan) was added until a thick cream was formed, after which the sorbitol and saccharin (both from Aldrich Chemical Company) were added. Next the carageenan (Aldrich Chemical Company) and silica ("Sil-So-Sil 45", U.S. Silica, Ottawa, IL) were charged and mixed. Lastly, the flavor was added and mixed to reduce volatilization of the oil. Uncoated Hi-Tech floss was dip-coated into the molten floss coatings. The excess coating was removed by passing the floss through a 0.006 inch slit die while the coating was still molten.

20

**Table 7:** Quantities of chlorhexidine free base, gluconic acid and Pluronic F-127 that were combined for Comparative Examples 2A-2F.

Comparative Example	Weights (gm)					
	CHG Desired	CHFB Needed	Gluconic Acid Needed	Gluconic Acid + F-127 Mixture Added	Pluronic F-127 Used to dissolve CHFB	Total Pluronic F-127
2A	0.353	0.199	0.173	17.500	14.944	32.271
2B	0.177	0.100	0.087	8.781	18.709	27.403
2C	0.353	0.199	0.173	17.500	11.220	28.547
2D	0.371	0.209	0.182	18.414	15.725	33.957
2E	0.190	0.107	0.093	9.439	20.111	29.457
2F	0.392	0.220	0.192	19.429	12.457	31.694

25

**Example 6**

Floss coating compositions with the same concentrations of CHG as those of Comparative Example 2 were prepared per Table 8. The compositions were prepared by melting the surfactant at approximately 50° C, and then adding and dispersing the required amount of the 2/1 glycerin/ CHG stock solution of Example 1. Uncoated Hi-Tech floss was dip-coated into the molten floss coatings. The excess coating was removed by passing the floss through a 0.006 inch slit die while the coating was still molten.

10 **Table 8:** Compositions of Examples 6A-6J

Example	Surfactant	Weight Percent			Weight (gm)		
		Surfactant	Glycerin	CHG	Surfactant	Glycerin	CHG
6A	Unithox 380	97.885	1.410	0.705	19.577	0.282	0.141
6B	Unithox 380	98.938	0.708	0.354	19.788	0.142	0.071
6C	Unithox 380	97.774	1.484	0.742	19.555	0.297	0.148
6D	Unithox 380	98.857	0.762	0.381	19.771	0.152	0.076
6E	Unithox 380	97.651	1.566	0.783	19.530	0.313	0.157
6F	Decaglyn 3-S	97.885	1.410	0.705	19.577	0.282	0.141
6G	Decaglyn 3-S	98.938	0.708	0.354	19.788	0.142	0.071
6H	Decaglyn 3-S	97.774	1.484	0.742	19.555	0.297	0.148
6I	Decaglyn 3-S	98.857	0.762	0.381	19.771	0.152	0.076
6J	Decaglyn 3-S	97.651	1.566	0.783	19.530	0.313	0.157

The release rate of CHG from the coated floss samples of Example 6 and Comparative Example 2 was measured using the following procedure. Samples were prepared by placing 3 to 10 inches of floss of known coating weight and 1 mL of deionized water into a ½ dram vial. The floss length used for each composition was such that if all of the initial chlorhexidine (calculated as CHFB) charged to the coating were released, the concentration in solution would be equivalent to the most concentrated CHFB standard (0.01 (w/v) %). The vials were shaken for ten minutes on a paint shaker. The floss was then removed from each vial, the remaining sample was filtered with an Anotop 25 Plus syringe filter, and the concentration of CHG in the water was determined per the HPLC test method of Example 3. The percentage of the CHG in the floss that was released into the water was calculated from the initial coating weight and the water CHG

concentration. Each composition was tested in triplicate. The test results summarized in Table 9 represent the average of the three measurements. The compositions in Table 9 are grouped by the CHG concentration in the floss coating to facilitate comparison. The results show that the floss compositions of the present invention give better release of CHG in an aqueous environment than those of Hill.

**Table 9:** CHG release rate in water for Example 6 and Comparative Example 2.

Example	CHG in Floss Coating (wt.%)	Percent of CHG in floss released
Comparative Example 2A	0.705	< 5.9
Comparative Example 2C	0.705	< 5.3
Example 6A	0.705	66.3
Example 6F	0.705	7.1
Comparative Example 2B	0.354	< 4.8
Example 6B	0.354	39.2
Example 6G	0.354	6.7
Comparative Example 2D	0.742	< 4.7
Example 6C	0.742	90.4
Example 6H	0.742	6.1
Comparative Example 2E	0.381	< 4.9
Example 6D	0.381	23.6
Example 6I	0.381	6.6
Comparative Example 2F	0.783	< 4.7
Example 6E	0.783	88.3
Example 6J	0.783	9.0

The floss coating samples of Example 6 and Comparative Example 2 were aged at 45° C for four weeks, and then the coatings were analyzed for PCA concentration per the test method of Example 3. The results are listed in Table 10. The compositions in Table 10 are grouped by the initial CHG concentration in the floss coating to facilitate comparison. For every initial CHG concentration, the PCA concentration in the floss coatings of Comparative Example 2 was

significantly higher than that of the floss coatings of Example 6. These results show that the compositions of the present invention are better at stabilizing CHG than those of Hill.

- 5 **Table 10:** Stability Studies of Example 6 and Comparative Example 2: PCA Concentration after 4 weeks at 45° C.

Example	Initial CHG in Floss Coating (wt.%)	Concentration of PCA in Coating after 4 weeks at 45° C(ppm)
Comparative Example 2A	0.705	22399
Comparative Example 2C	0.705	16986
Example 6A	0.705	41
Example 6F	0.705	74
Comparative Example 2B	0.354	7928
Example 6B	0.354	22
Example 6G	0.354	21
Comparative Example 2D	0.742	19636
Example 6C	0.742	37
Example 6H	0.742	21
Comparative Example 2E	0.381	10165
Example 6D	0.381	23
Example 6I	0.381	22
Comparative Example 2F	0.783	15947
Example 6E	0.783	73
Example 6J	0.783	22

### **Example 7**

Floss coatings were prepared per the compositions listed in Table 11.

- 10 Appropriate amounts (depending on compositions described in Table 11) of the surfactant Decaglyn 2-S were melted at approximately 50° C.

- 1/1 stock solutions of glycerin/CHG and PEG400/CHG were prepared using the procedures described in Example 1. Additional glycerin or PEG400 was added to each composition to obtain the appropriate ratios of glycol to CHG described in Table 11.
- 15

The glycol/CHG solutions were added to the melted surfactants and dispersed with stirring. The floss coating samples were aged for four weeks at 45°

C, after which the concentration of PCA was determined using the HPLC method of Example 3. The PCA concentration results are listed in Table 11. The results show the compositions of the present invention have good stability (PCA < 200 ppm).

5

**Table 11:** Compositions of Examples 7A-7N, and Concentration of PCA after Aging for 4 weeks at 45° C.

Example	Glycol	Surfactant (wt%)	Glycol (wt%)	CHG (wt%)	Concentration of PCA (ppm) 45° C, 4 weeks
7A	Glycerin	94	5	1	14.6
7B	Glycerin	89	10	1	11.2
7C	Glycerin	90	5	5	116.8
7D	Glycerin	85	10	5	127.4
7E	PEG400	94	5	1	4.2
7F	PEG400	89	10	1	7.0
7G	PEG400	90	5	5	86.1
7H	PEG400	85	10	5	73.3
7I	Glycerin	89.5	7.5	3	34.9
7J	PEG400	89.5	7.5	3	22.0
7K	Glycerin	89.5	7.5	3	55.7
7L	PEG400	89.5	7.5	3	25.8
7M	Glycerin	89.5	7.5	3	31.8
7N	PEG400	89.5	7.5	3	18.3

### Example 8

10            Examples 8A-8C were prepared by melting 89.5 parts of surfactant (per Table 12) at approximately 50° C, and then dispersing 4.5 parts of glycerin and 6 parts of a 1/1 stock solution of glycerin/ CHG (prepared per the procedure of Example 1). The surfactant "MYS-40" is PEG-40 stearate from Nikkol.

15            The elastic ( $G'$ ) and viscous ( $G''$ ) modulus of Examples 7I, and 8A-8C were determined using a controlled-strain rheometer ("RDA-2" from Rheometrics Scientific Inc., Piscataway, NY). Measurements were made at room temperature (25° C) with a parallel plate geometry (25 mm diameter, gap of 2 mm) with a strain of 0.01% and a frequency of 1 rad/sec. The results are shown in Table 12 including the ratio of  $G''$  to  $G'$  which is  $\tan \delta$ .

**Table 12:** Rheological Studies of Examples 7I, and 8A-8C at Room Temperature and a Frequency of 1 rad/sec.

Example	Surfactant	G' (dynes/cm <sup>2</sup> )	G'' (dynes/cm <sup>2</sup> )	tan $\delta$
7I	Decaglyn 2-S	1.30E+07	5.22E+06	0.402
8A	Emerest 2715	6.10E+06	1.57E+06	0.257
8B	Unithox 380	3.00E+05	3.47E+04	0.116
8C	MYS-40	1.13E+07	1.52E+06	0.135

5 **Example 9**

Floss coatings were prepared per the compositions listed in Table 13. For Example 9A, approximately 89.5 parts of the surfactant Emerest 2715 was melted at approximately 50° C. For Examples 9B-9G, approximately 84.5 parts of the surfactant Emerest 2715 was melted at approximately 50° C.

10 A 2.5/1 stock solution of glycerin/CHG was prepared using the procedure described in Example 1. Approximately 10.5 parts of this stock solution was added to each of the melted surfactants and dispersed with stirring.

Flavorants (5 parts) were added to Examples 9B-9G. The flavorants respectively used were SN026928 peppermint (International Flavors & Fragrances Inc., Dayton, NJ), SN026929 peppermint (International Flavors & Fragrances Inc.),  
 15 SN026930 wintergreen (International Flavors & Fragrances Inc.), SN026943 peppermint (International Flavors & Fragrances Inc.), SN026944 peppermint (International Flavors & Fragrances Inc.), and PFC 9831 peppermint (Foote & Jenks, Camden, NJ).

20 The floss coating samples were aged for 4 weeks at 37° C, after which the concentration of PCA was determined using the HPLC method described in Example 3. The PCA concentration results are listed in Table 13. The results show the compositions of the present invention have good stability.

25

**Table 13:** Compositions of Examples 9A-9G, and Concentration of PCA after Aging for 4 Weeks at 37° C.

Example	Flavorant	Surfactant (wt%)	Glycerin (wt%)	CHG (wt%)	Flavorant (wt%)	Concentration of PCA (ppm) 37C, 4 weeks
9A	None	89.57	7.45	2.98	0.00	2.0
9B	SN02692 8	84.52	7.46	2.98	5.04	1.9
9C	SN02692 9	84.32	7.55	3.02	5.10	1.6
9D	SN02693 0	84.50	7.51	3.00	4.99	1.8
9E	SN02694 3	84.35	7.61	3.04	5.00	1.5
9F	SN02694 4	84.43	7.55	3.02	4.99	1.7
9G	PFC 9831	84.45	7.56	3.02	4.97	1.5

**What is Claimed:**

1. A device for delivering chlorhexidine gluconate to the oral environment, said device comprising a coating comprising
- 5 a) chlorhexidine gluconate  
b) Solubilizing Glycol, and  
c) a modulus-enhancing component,
- said coating comprising no more than about 2% water by weight and having less than 0.5 molar equivalents of deleterious quantities of salts, acids, and bases that
- 10 would react with chlorhexidine gluconate based on the amount of chlorhexidine gluconate in the coating, and said coating containing no more than 200 ppm of PCA after four weeks at 45° C.
2. The device of claim 1, wherein said Solubilizing Glycol is glycerin.
- 15 3. The device of claim 1, wherein said Solubilizing Glycol is selected from the group consisting of glycerin, sorbitol, polyethylene glycol, polyglycerols, propylene glycol and mixtures thereof.
- 20 4. The device of claim 1, wherein chlorhexidine gluconate is present in the coating as at least 0.1% by weight, and Solubilizing Glycol is present in the coating in an amount such that the ratio of Solubilizing Glycol/chlorhexidine gluconate by weight is 0.2-200.
- 25 5. The device of claim 1, wherein said modulus-enhancing component is a surfactant that contains both (a) hydrophilic group(s) capable of dispersing chlorhexidine gluconate and a glycol, and (b) an alkyl group(s).
- 30 6. The device of claim 5, wherein said surfactant is selected from the group consisting of polyglyceryl alkyl esters and ethers, ethoxylated polyhydric alcohol alkyl esters, and polyoxyethylene alkyl ethers or esters.

7. The device of claim 1, wherein said modulus-enhancing component is selected from the group consisting of waxes, poly-n-vinyl pyrrolidone, crystalline fatty alcohols, paraffins, polyethylene oxides having a molecular weight greater than about 900, hydroxypropyl cellulose and cellulose derivatives.
- 5
8. The device of claim 1, wherein said coating has a coefficient of dynamic friction of less than 2.0.
9. The device of claim 1, wherein said coating has an elastic modulus,  $G'$ , greater than about 10,000 dynes/cm<sup>2</sup> at a frequency of 1 rad/sec and at room temperature, and the ratio of the viscous modulus,  $G''$ , to  $G'$  is less than about 0.8 at a frequency of 1 rad/sec and at room temperature.
- 10
10. The device of claim 1, wherein said device is a dental floss.
11. The device of claim 1, wherein said device is a dental pick.
12. The device of claim 1, wherein said device is dental tape.
13. The device of claim 1, wherein said device is a dental packing material.
14. The device of claim 13, wherein said dental packing material is a fiber.
- 15
15. The device of claim 1, wherein said device is a fiber, chip or membrane adapted for controlled-release of chlorhexidine gluconate in a periodontic pocket.
16. A coating composition comprising
- 30
- a) chlorhexidine gluconate
  - b) Solubilizing Glycol, and
  - c) a modulus-enhancing component,

said coating comprising no more than about 2% water by weight and having less than 0.50 molar equivalents of deleterious quantities of salts, acids, and bases that would react with chlorhexidine gluconate based on the amount of chlorhexidine gluconate in the coating, and said coating containing no more than 200 ppm of  
5 PCA after four weeks at 45° C.

17. A method for making a stable coating composition comprising
- a) mixing aqueous chlorhexidine gluconate with a Solubilizing Glycol to form a mixture having less than 0.5 molar equivalents of deleterious quantities of  
10 salts, acids, and bases that would react with the chlorhexidine gluconate based on the amount of chlorhexidine gluconate in the mixture,
  - b) removing water at a temperature less than about 100° C
18. The method of claim 17, wherein a modulus enhancing component is added  
15 before removal of water from the mixture.
19. The method of claim 17, wherein a modulus enhancing component is added after removal of water from the mixture.
20. 20. The method of claim 17, wherein water is removed at a temperature less than about 80° C.
21. The method of claim 17, wherein water is removed under vacuum.
- 25 22. A method for making a stable coating composition comprising
- a) freeze drying a composition of aqueous chlorhexidine gluconate, thereby removing substantially all water from chlorhexidine gluconate
  - b) mixing said freeze-dried chlorhexidine gluconate with Solubilizing  
Glycol to form a mixture having less than 0.5 molar equivalents of deleterious  
30 quantities of salts that would react with the chlorhexidine gluconate based on the amount of chlorhexidine gluconate in the mixture.

23. The method of claim 22, wherein a modulus enhancing component is added to the Solubilizing Glycol before mixing with chlorhexidine gluconate.
- 5 24. The method of claim 22, wherein a modulus enhancing component is added to the Solubilizing Glycol after the Solubilizing Glycol is mixed with chlorhexidine gluconate.

# INTERNATIONAL SEARCH REPORT

International Application No

PCT/US 99/10372

**A. CLASSIFICATION OF SUBJECT MATTER**  
 IPC 6 A61K7/16 A61K7/22

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)

IPC 6 A61K

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	DATABASE WPI Derwent Publications Ltd., London, GB; AN 92255644 XP002114136 LION: "Sustained-release oral and periodontal disease treating agent-has agent in laminated base prepared by laminating layer containing water soluble high polymer and metal salt and layer containing nonionic and anionic water soluble high polymers" & JP 04 173730 A (LION), 22 June 1992 (1992-06-22) abstract ---	1-4,7, 15,16
X	US 5 213 803 A (J.J. POLLOCK, J.J. DOCHERTY) 25 May 1993 (1993-05-25) claims 1,7,10,11,14-18,24 --- -/--	1-5

Further documents are listed in the continuation of box C.

Patent family members are listed in annex.

Special categories of cited documents:

- "A" document defining the general state of the art which is not considered to be of particular relevance
- "E" earlier document but published on or after the international filing date
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- "O" document referring to an oral disclosure, use, exhibition or other means
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- "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- "&" document member of the same patent family

Date of the actual completion of the international search

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# INTERNATIONAL SEARCH REPORT

International Application No

PCT/US 99/10372

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT		
Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	US 5 603 921 A (M.A. BOWEN) 18 February 1997 (1997-02-18) cited in the application claims 1-4 column 5, line 62 - column 6, line 3 -----	1,3,7, 10,15,16
X	US 4 911 927 A (I.D. HILL, R.D. WHITE) 27 March 1990 (1990-03-27) cited in the application claims 1,8,17 column 12, line 59-62 column 15, line 7-16 column 15, line 41-46 column 16, line 47-53 -----	1-3,5-7, 10,15,16

# INTERNATIONAL SEARCH REPORT

International application No.

PCT/US 99/ 10372

## Box I Observations where certain claims were found unsearchable (Continuation of item 1 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1.  Claims Nos.:  
because they relate to subject matter not required to be searched by this Authority, namely:
  
2.  Claims Nos.: 8, 9  
because they relate to parts of the international Application that do not comply with the prescribed requirements to such an extent that no meaningful International Search can be carried out, specifically:  
See FURTHER INFORMATION SHEET PCT/ISA/210
  
3.  Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

## Box II Observations where unity of invention is lacking (Continuation of item 2 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:

1.  As all required additional search fees were timely paid by the applicant, this International Search Report covers all searchable claims.
  
2.  As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
  
3.  As only some of the required additional search fees were timely paid by the applicant, this International Search Report covers only those claims for which fees were paid, specifically claims Nos.:
  
4.  No required additional search fees were timely paid by the applicant. Consequently, this International Search Report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

### Remark on Protest

- The additional search fees were accompanied by the applicant's protest.
- No protest accompanied the payment of additional search fees.

FURTHER INFORMATION CONTINUED FROM PCT/ISA/ 210

Continuation of Box I.2

Claims Nos.: 8,9

Present claim 1 relates to an extremely large number of possible compounds. In fact, the claims contain so many options, that a lack of clarity (and/or conciseness) within the meaning of Article 6 PCT arises to such an extent as to render a meaningful search of the claims impossible. Consequently, the search has been carried out for those parts of the application which do appear to be clear (and/or concise), namely in claims 6 and 7.

Claims 8 and 9 are dealing with physical parameters. As search on physical parameters is not possible, these parameters have not been taken into consideration during the search.

The applicant's attention is drawn to the fact that claims relating to inventions in respect of which no international search report has been established need not be the subject of an international preliminary examination (Rule 66.1(e) PCT). The applicant is advised that the EPO policy when acting as an International Preliminary Examining Authority is normally not to carry out a preliminary examination on matter which has not been searched. This is the case irrespective of whether or not the claims are amended following receipt of the search report or during any Chapter II procedure.

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US 99/10372

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