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(54) Title: STRIATAL NEURAL PROGENITORS IN TREATMENT OF HYPOXIC-ISCHEMIC ENCEPHALOPATHY

(57) Abstract: An use of Striatal Neural Progenitors for the preparation of a composition or formulation is provided, the composition or formulation is used for the prevention and/or treatment of hypoxic-ischemic encephalopathy (HIE). The hypoxic-ischemic encephalopathy can be effectively treated by Striatal Neural Progenitors.

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**Striatal Neural Progenitors in treatment of hypoxic-ischemic
encephalopathy**

Technical field

The invention relates to the field of stem cell therapy, in particular to Striatal
5 Neural Progenitors in treatment of hypoxic-ischemic encephalopathy.

Background

Hypoxic-ischemic encephalopathy (HIE) occurs in 1 to 8 per 1000 live births
in developed countries which is the leading cause of neonatal death and permanent
10 neurological deficits. The basal ganglia is one of the major nuclei that is greatly
affected in the brain and strongly associated with the severity of motor impairment
of HIE patients, especially in severe cases. Human embryonic stem cell-derived
neurons have shown great potential in different types of brain disorders in adults.
However, it remains unknown whether and how grafted human embryonic stem
15 cell-derived neurons can repair immature brains with hypoxic-ischaemic
encephalopathy. Here, by administrating genetically labelled human embryonic
stem cell-derived striatal neural progenitors into the ipsilateral striatum of
hypoxic-ischaemic encephalopathy injured mice, we found that the grafted cells
gradually matured into GABA spiny projection neurons morphologically and
20 electrophysiologically and significantly rescued the area loss of hypoxic-ischaemic
encephalopathy-injured brains. Intriguingly, using immunohistochemical staining
combined with enhanced ascorbate peroxidases-based immunoelectron microscopy,
and rabies virus-mediated transsynaptic tracing, we show that the grafts start to
extend axonal projections to the endogenous target areas (globus pallidus externa,
25 globus pallidus internus, substantia nigra), form synapses with host striatal, globus
pallidus and nigra neurons, and receive extensive and stable synaptic inputs as early
as 2 months posttransplantation. Importantly, we further demonstrated functional
neural circuits re-established between the grafted neurons and host cortical, striatal
and substantial nigra neurons at 3-6 months posttransplantation in the
30 hypoxic-ischaemic encephalopathy injured brain by optogenetics combined with
electrophysiological recording. Finally, the transplanted striatal spiny projection
neurons but not spinal GABA neurons restored the motor defects of

hypoxic-ischaemic encephalopathy, which were reversed by clozapine-N-oxide-based inhibition of graft function. These findings demonstrate anatomical and functional reconstruction of the basal ganglia neural circuit including multiple loops by striatal spiny projection neurons in hypoxic-ischaemic encephalopathy-injured immature brains, which raises the possibility that such a cell replacement therapeutic strategy for hypoxic-ischaemic encephalopathy in neonates.

Therefore, there is an urgent need to develop a new drug with this specific type of human neurons (striatal GABA projection neuron, also named GABA medium spiny neuron, MSN) for the treatment of hypoxic-ischemic encephalopathy.

Summary of the Invention

The object of the present invention is to provide new drug derived from human pluripotent stem cells for the treatment of hypoxic-ischemic encephalopathy (HIE).

In a first aspect of the present invention, it provides a use of Striatal Neural Progenitors for the preparation of a composition or formulation, said composition or formulation being used for the prevention and/or treatment of hypoxic-ischemic encephalopathy (HIE).

In a further embodiment, the Striatal Neural Progenitors are fate-committed Striatal Neural Progenitors.

In a further embodiment, the hypoxic-ischemic encephalopathy (HIE) is a disease with severe basal ganglia-thalamic (BGT) lesions, central gray matter damage, white matter and posterior limb of the internal capsule (PLIC) abnormality which are detected by magnetic resonance imaging (MRI), or with severe motor impairment tested by Gross Motor Function Classification System.

In a further preferred embodiment, the hypoxic-ischemic encephalopathy (HIE) comprises a brain disease consequent to HIE-injury.

In a further preferred embodiment, the Striatal Neural Progenitors have one or more of the characteristics selected from the group consisting of:

- a. high expression of neural progenitor marker SOX2, FOXG1, Ctip-2, Meis-2, but no expression of embryonic stem cells markers NANOG, OCT3/4;
- b. when matured, capable of expression GABA, DARPP32, Ctip2 and Meis-2 dynamic and successful extension of axons to endogenous striatal neuron projection targets SNc, SNr, GPe, GPi with high specificity;
- c. when transplanted into striatum of HIE animal model, capable of precisely re-establishing striatum-globus pallidum, striatum-nigra neural circuits of basal ganglia pathway anatomically;
- d. capable of improving motor deficits of HIE model mice;
- e. capable of decrease brain area loss induced by HIE injury in model mice.

In a further preferred embodiment, the embryonic stem cells markers comprise OCT4, NANOG and SSEA-4.

In a further preferred embodiment, the Striatal Neural Progenitors are differentiated and matured into GABAergic spiny projection neurons.

In a further preferred embodiment, the GABAergic spiny projection neurons are from striatum.

In a further preferred embodiment, said composition or formulation is further used for one or more purposes selected from the group consisting of:

- a. Structurally and functionally reconstructing and repairing damaged basal ganglia circuits in the HIE brain;
- b. Improving motor dysfunction;
- c. Repair of damaged basal ganglia circuits, particularly the striatum-pallidum and striatum-nigrostriatal pathways;
- d. Reducing brain area loss due to HIE injury.

In a further preferred embodiment, said composition is a pharmaceutical composition.

In a further preferred embodiment, said pharmaceutical composition comprises a pharmaceutically acceptable carrier and (a) Striatal Neural Progenitor(s).

In a further preferred embodiment, said component (a) comprises 60-99%, preferably 80-99%, more preferably 90-99% of the total cell number of said composition.

In a further preferred example, said composition is in liquid or semi-solid form.

In a further preferred embodiment, said composition is in unit dosage form and said unit dosage form has a volume of 0.1-100 μl , preferably 0.1-80 μl , more preferably 1-50 μl .

In a further preferred embodiment, said composition is an injectable formulation.

In a further preferred example, said composition is a liquid composition.

In another preferred example, said composition has a concentration of 1.0×10^7 - 1.0×10^9 cells/ml, preferably 5.0×10^7 - 5.0×10^8 cells/ml, more preferably 1.0×10^8 - 2.0×10^8 cells/ml of said Striatal Neural Progenitors.

In a further preferred example, said carrier is selected from the group consisting of: an infusion carrier and/or an injection carrier, preferably, said carrier is one or more carriers selected from the group consisting of: saline, glucose saline, buffered saline, and a combination thereof.

In a further preferred embodiment, said Striatal Neural Progenitors are derived from a mammal, preferably from a human, mouse, or rat.

In a further preferred embodiment, said Striatal Neural Progenitors are derived from human embryonic stem cells or human induced pluripotent stem cells or human pluripotent stem cells.

In a further preferred embodiment, said composition or formulation may be used alone, or in combination, in applications for the prevention and/or treatment of hypoxic-ischemic encephalopathy (HIE).

In a further preferred embodiment, said combined use comprises: use in combination with other substances for the prevention and/or treatment of hypoxic-ischemic encephalopathy (HIE).

In a second aspect of the present invention, it provides a cell reagent comprising:

(i) a first pharmaceutical composition, said first pharmaceutical composition comprising (a) a first active ingredient, said first active ingredient being Striatal

Neural Progenitors, and a pharmaceutically acceptable carrier.

(ii) optionally a second pharmaceutical composition, said second pharmaceutical composition comprising (b) a second active ingredient, said second active ingredient being other substances for the prevention and/or treatment of hypoxic-ischemic encephalopathy (HIE); and a pharmaceutically acceptable carrier;

wherein said first pharmaceutical composition and said second pharmaceutical composition are different pharmaceutical compositions, or the same pharmaceutical composition.

In a further preferred example, said cell reagent is a liquid reagent.

In a further preferred embodiment, said cells in said cell reagent comprise substantially ($\geq 90\%$, 95% , 96% , 97% , 98% , 99% , 99.5% , 99.9%) or entirely (a) Striatal Neural Progenitors and (b) other substances for the prevention and/or treatment of hypoxic-ischemic encephalopathy (HIE).

In a further preferred example, said composition has a concentration of said Striatal Neural Progenitors of 1.0×10^7 - 1.0×10^9 cells/ml, preferably 5.0×10^7 - 5.0×10^8 cells/ml, more preferably 1.0×10^8 - 2.0×10^8 cells/ml.

In a further preferred example, said component (i) represents 60-99%, preferably 80-99%, more preferably 90-99% of the total cell number of said cell reagent.

In another preferred example, said carrier is selected from the group consisting of: an infusion carrier and/or an injection carrier, preferably, said carrier is one or more carriers selected from the group consisting of: saline, glucose saline, or a combination thereof.

In a further preferred embodiment, said Striatal Neural Progenitors are derived from a mammal, preferably from a human, mouse, or rat.

In a further preferred embodiment, said Striatal Neural Progenitors are derived from human embryonic stem cells or human induced pluripotent stem cells or human pluripotent stem cells.

In a third aspect of the present invention, it provides a kit comprising:

(i) a first container, and an active ingredient (a) Striatal Neural Progenitors, or

a drug comprising active ingredient (a), contained in the first container;

(ii) optionally a second container, and an active ingredient (b) other substances for the prevention and/or treatment of hypoxic-ischemic encephalopathy (HIE), or a drug containing active ingredient (b) contained in the second container;

5 and

(iii) an instructions, said instructions containing instructions for the combined administration of active ingredient (a) and active ingredient (b) thereby preventing and/or treating hypoxic-ischemic encephalopathy (HIE).

In a further preferred example, said first container and said second container
10 may be the same and may be different.

In a fourth aspect of the present invention, it provides a method of preventing and/or treating hypoxic-ischemic encephalopathy (HIE), comprising:

administering to a subject in need thereof a safe and effective amount of Striatal Neural Progenitors or a cell reagent as described in a second aspect of the
15 present invention or a kit as described in a third aspect of the present invention.

In a further preferred embodiment, said subject comprises a mammal (e.g. a human).

It should be understood that, within the scope of the present invention, each
20 technical feature of the present invention described above and in the following (as examples) may be combined with each other to form a new or preferred technical solution, which is not listed here due to space limitations.

Description of Figures

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Figure 1. Transplanted hESC-derived SNPs mature into spiny projection neurons and rescue brain area loss in HIE-injured brains.

(A) The timeline of the experimental design in this study. (B) Whole-mount view of mouse brain at 7 days after hypoxic-ischaemia for 30 min, Scale bars=2 mm. (C, F)

Representative images of CV staining and the quantification data show obvious area loss of ipsilateral striatum and cortex in contrast to the contralateral in HIE injured brain. Scale bars, 500 μ m. (D-E) Immunohistochemical staining and quantification of NeuN shows significant neuronal loss in the ipsilateral striatum compared with the contralateral striatum in mice with HIE injury. Scale bars = 500 μ m. The boxed areas are magnified in a and b, Scale bars=100 μ m.)G-H) Immunofluorescent staining and quantification of hESC-derived striatal neurons stained by GABA⁺/Meis2⁺ (I), DARPP32⁺ (II), and GABA⁺/CTIP2⁺ (III) at day 45 after neural differentiation and maturation. Scale bar=50 μ m. (I, K) Immunohistochemical images show transplanted neurons costained by hN with GABA (I) or DARPP32 (II), GABA/CTIP2 (III), or DARPP32/CTIP2 (IV) in the grafts at 2 or 6 months after transplantation. Scale bar= 25 μ m. (J) Quantification of cellular differentiation presented in (I) and (K). (L) Immunostaining for mCherry⁺ graft 6 MPT in HIE-injured mice transplanted with ACSF or human SNPs. Scale bar=500 μ m. (M-N) Quantification of ipsilateral brain area loss grafted with ACSF or SNPs in HIE-injured mice at 6 MPT. $n=3$ independent experiments or $n=4-7$ mice in each group. Data are presented as the mean $\pm$ SEM. Student's t test, * $P<0.05$, ** $P<0.01$, *** $P<0.001$. Abbreviation: Ipsi-: ipsilateral; Contra-: contralateral.

Figure 2. Neuronal activity of grafted neurons in the ipsilateral striatum of the HIE-injured brain.

(A) The strategy for electrophysiological recording of grafted human neurons. (B-G) Typical traces of injection current- (B, E) or blue light- (C, F) induced AP and spontaneous AP (D, G) of grafted neurons 2 and 6 MPT. The numbers in the upper right corner represent the numbers of neurons showing AP among recorded cells. (H) The current (0-100 pA, step 10 pA, duration 400 ms) induced spike numbers of grafted neurons 2MPT ($n=12$) or 6MPT ($n=9$).)I) Quantification of the AP ratio showed a significantly increased response to blue light induction at 6 months ($n=11$) compared to 2 months ($n=11$) after cell transplantation. (J-L) Statistical data show increased membrane capacitance ($n=14$ for 2 mon, $n=7$ for 6 mon) (J), decreased membrane resistance, recorded cell number ($n=13$ for 2 mon, $n=6$ for 6 mon) (K), and increased resting membrane potentials ($n=12$ for 2 mon, $n=11$ for 6 mon) of grafted neurons at 6 MPT compared with 2 MPT. (L). $n=3$ independent experiments. Data are presented as the mean $\pm$ SEM. Student's t test, ** $P<0.01$, *** $P<0.001$. Abbreviation: CPu: caudate putamen, AP: action potential; Cm: membrane capacitance; Rm: membrane resistance; RMP: resting membrane potential.

Figure 3. Axonal outgrowth of grafted striatal neurons in the HIE-injured brain.

(A) The strategy for visualization of axon projection from grafted neurons in HIE-injured mice. (B) Immunohistochemical staining of hNCAM for human neurons with serial sections from HIE-injured mouse brains grafted with human SNPs 6 months after transplantation. Scale bar=500 μ m. (C) Representative images show axonal projections from the intrastriatal grafted neurons stained by mCherry in the ipsilateral and contralateral substantia nigra of HIE-injured mouse brains. Boxed areas are magnified in (a-d). Scale bar=50 μ m. (D-E) Immunostaining of hNCAM shows axons from grafted neurons to the GPe, GPi, SNc and SNr of HIE-injured brain at 1, 2 and 6 after cell transplantation. Scale bar=50 μ m. (F-I) Quantification of hNCAM⁺ fibers present in GPe, GPi, SNc and SNr. *n*=4 mice in each group. Data are represented as the mean $\pm$ SEM. One-way ANOVA, Tukey's multiple comparison test, **P*<0.05, ***P*<0.01.

Figure 4. Synapse formation between grafts and hosts in HIE-injured brains.

(A) The strategy for Cre-dependent visualization of synapses between host and graft. (B-E) Representative images show presynaptic human synaptophysin costained with host GABA⁺ neurons in the striatum (B), GPe (C), GPi (D) or with host TH⁺ neurons in the substantia nigra (E) of HIE-injured brains. Scale bar=10 μ m. (F-I) Representative images of immunoelectron microscopy show axon terminals (at) from grafted neurons (red asterisks) form synapses with dendrite spines (ds), soma, or axon terminals from host neurons in the striatum (F), GPe (G), GPi (H) and the substantia nigra (I). Scale bar=0.5 μ m.

Figure 5. Synaptic inputs from host to graft by rabies tracing in HIE-injured brain.

(A) Strategy for tracing synaptic inputs to grafted cells in the ipsilateral striatum of the HIE-injured brain. (B) Representative images show EGFP- and tdTomato-expressing neurons in the grafts. Scale bar=500 μ m. (C) Immunohistochemical staining show the starting cells (white arrowheads) coexpress tdTomato, EGFP, GABA and hN in the graft. Scale bar=50 μ m. (D) Serial sections from HIE injured brain grafted with SNPs show traced host neurons (EGFP⁺/tdTomato⁻) distribute in extensive brain regions of the ipsilateral side 2 and 6 MPT. Scale bar=500 μ m. (E) Quantification of ipsilaterally

labelled inputs to grafted human SNPs at 2 and 6 MPT. $n=4-5$ mice in each group. Data are represented as the mean $\pm$ SEM. Student's t test, $*P < 0.05$. Abbreviations: AI: Agranular insular cortex; BA: Basal amygdaloid nucleus; Cg: Cingulate cortex; CM: Central medial thalamic nucleus; DR: Dorsal raphe; GP: Globus pallidus; FrA: Frontal association cortex; M1: Primary motor cortex; M2: Secondary motor cortex; MD: Mediodorsal thalamic nucleus; MO: Medial orbital cortex; PF: Parafascicular thalamic nucleus; PO: Posterior thalamic nucleus; S1: Primary somatosensory cortex; S2: Secondary somatosensory cortex; SNc: Substantia nigra reticular part; VPL/VPM: Ventral posterolateral/posteromedial thalamic nucleus.

Figure 6. Synaptic regulation of grafted striatal neurons in the HIE-injured brain.

(A) The strategy for whole-cell patch-clamp recording of synaptic regulation from the host striatum or cortex to intrastrially grafted striatal neurons. (B-C) Typical traces of sEPSCs and sIPSCs from grafted neurons at 2 and 6 MPT. The numbers in the upper right corner represent the numbers of neurons showing spikes of sIPSCs and sEPSCs among recorded cells. (D-G) The frequency (D, F) and amplitude (E, G) of sEPSCs and sIPSCs at 2($n=9$ for sEPSCs, $n=9$ for sIPSCs) and 6 MPT ($n=7$ for sIPSCs, $n=8$ for sEPSCs) are plotted. (H-K) Cumulative distributions of the interevent intervals (H, J) and amplitude (I, K) of sEPSCs and sIPSCs for (B) and (C), respectively. (L, M) Typical traces of single pulse-induced EPSCs in grafted cells responding to optogenetic activation of host cortical neurons from M1 and M2 brain regions 6 MPT (top panel), which are blocked by CNQX (bottom panel). The amplitude of light-induced EPSC is plotted in (M) ($n=10$). (N) Typical traces of paired pulse-induced EPSCs in grafted cells responding to optogenetic activation of host cortical neurons in M1 and M2 at 6 MPT (top panel), which are blocked by CNQX (bottom panel). (O) The paired pulse ratio (PPR = 2^{nd} EPSC/ 1^{st} EPSC) is plotted ($n=9$). Data are represented as the mean $\pm$ SEM, $*P < 0.05$, $**P < 0.01$.

Figure 7. Grafted striatal neurons regulate the activities of host neurons from the striatum and nigra of HIE-injured brains.

(A) Schematic diagram showing the whole-cell patch-clamp recording of host striatal neurons. (B-C) Typical traces of blue light-induced IPSC of striatal host cells responding to optogenetic activation of grafted cells at 2 months (B) and 6 months (C) after transplantation. The induced IPSC is blocked by PTX (bottom panel). (D) Schematic

diagram showing the whole-cell patch-clamp recording of host cells in the SNc. (E-F) Typical traces of blue light-induced IPSCs in nigral host cells responding to optogenetic activation of axonal terminals from grafted neurons at 2 months (E) and 6 months (F) after transplantation. (G-H) The amplitude of light-induced IPSC in the striatal (G) ($n=15$ for 2 mon, $n=13$ for 6 mon) or nigra (H) ($n=15$ for 2 mon, $n=8$ for 6 mon) host neurons are plotted. Data are presented as the mean $\pm$ SEM. Student's t test, $*P < 0.05$, $**P < 0.01$.

Figure 8. Intrastrially grafted SNPs correct long-term and graft-dependent motor defects in HIE-injured mice.

(A) Experimental design for animal behavioral tests. (B) The cylinder test shows the preferential ipsilateral touches in Sham control, HIE-injured mice grafted with SNPs or spinal GABAergic neural progenitors (SGNPs) or ACSF at 2, 4 and 6 MPT. (C) The open field test shows distance covered by animals in each group at 2, 4 and 6 MPT. (D) The rotarod test shows the time of latency to fall over 6 MPT. In above behavioural tests, $n=12-17$ for the Sham group, $n=10-15$ for the HI+SNPs group, $n=10-15$ for the HI+ACSF group and $n=7-11$ for the HI+SGNPs group. Data are presented as the mean $\pm$ SEM. Two-way ANOVA followed by Tukey's multiple comparison test, $*P < 0.05$, $**P < 0.01$, $***P < 0.001$. (E) The strategy for the regulation of DREADD-expressing grafted neurons in HIE-injured mice. (F) The cylinder test shows changes in preferential ipsilateral touches of HIE-injured mice grafted with SNPs derived from hM4Di- or mCherry-hESC lines, and treated with saline or CNO or 48 h after withdrawal of CNO, respectively. (G) The open field test shows changes in the distance covered by HIE-injured mice treated with saline, CNO or 48 h after CNO withdrawal, respectively. $n=9-13$ mice in each group. Data are presented as the mean $\pm$ SEM. One-way ANOVA followed by Tukey's multiple comparison test, $*P < 0.05$, $**P < 0.01$.

Detailed Description

After extensive and intensive research, the inventors have unexpectedly discovered that hypoxic-ischemic encephalopathy can be effectively treated by Striatal Neural Progenitors. On the basis of this, the inventors completed the present invention.

Terms

Despite recent improvements in perinatal and neonatal intensive care medicine, hypoxic-ischaemic encephalopathy (HIE) remains the leading cause of mortality and long-term neurological sequelae, such as mental retardation, cerebral palsy and life-long cognitive and motor disabilities in neonates. Stem cell-based therapies hold great promise as potential novel treatments to restore brain function after HIE.

5 Transplantation of different types of multipotent stem cells, such as mesenchymal stem cells and umbilical cord blood stem cells, have been shown to have preliminary positive effects in animal models. However, the therapeutic effects of these donor cells are thought to stem from the bystander effects with possible mechanisms, including neuroprotection and immunomodulation. Evidence of cell replacement therapy by human pluripotent stem cell (hPSC)-derived neurons, especially neural circuit repair by grafted neurons, which is probably the most promising strategy to restore functionality efficiently and long-termly in the injured immature brain, is virtually lacking.

15 During neonatal hypoxic-ischaemic injury, an insufficient supply of oxygen (hypoxia) and/or poor blood flow (ischaemia) reaching a particular area of the newborn brain leads to a large number of neuronal deaths triggered by the activation of various neurotoxic molecules and death pathways. Previous MRI and postmortem studies have demonstrated selective vulnerability and neuronal loss in the sensorimotor cortex, basal ganglia, thalamus and brain stem in infants with severe HIE. The lesion severity of the basal ganglia, where the striatum is the major nucleus, was found to be strongly associated with the severity of motor impairment in full-term infants with HIE. On the other hand, in HIE animal models, striatal GABA spiny projection neurons, which make up 95% of all striatal neurons and project to both the globus pallidus (GP) and the substantia nigra (SN), but not GABA interneurons, appear to be severely affected. This evidence strongly indicates the great potential of striatal GABA spiny projection neurons as therapeutic target cells to restore the functionality of neonates with HIE.

Currently, brain region-specific human neural progenitor cells (hNPCs), such as cortical or striatal neural progenitors (SNPs), have been successfully differentiated from hPSCs. These hNPCs have been proven to differentiate into

functional neurons and incorporate into adult host cortical neural circuitry to regulate motor behaviour in stroke mice or restore target tissue activity in Huntington' s disease animals. We have recently reported that transplanted hPSC-derived dopaminergic neurons anatomically and functionally repaired the nigra-striatal circuit of Parkinson' s disease animals. These studies indicate the neural circuit repairing capacity of hPSC-derived neural progenitors in the adult diseased brain. Nevertheless, the high plasticity of the immature brain and massive neuronal loss accompanied by extensive astrocyte activation causing enhanced production of axonal regeneration inhibition molecules such as chondroitin sulfate proteoglycans and late onset of apoptosis entangled with microglial activation and macrophage invasion lasting for several weeks in the HIE-injured immature brain provide a more complicated microenvironment for the survival and integration of grafted human cells in the host brain in comparison with others.

Given the striatum is the main input nucleus which receives excitatory afferents from cortex and forms the origin of indirect (striatum to GPe) and direct (striatum to GPi and SN) pathways, two major pathways of basal ganglia circuit involved in motor control, repairment of this circuit probably the best way to rescue motor defects in HIE patient. Here, we found obvious ipsilateral striatal neuron loss accompanied by motor function impairment in HIE injured mouse. Transplantation of striatal neural progenitors derived from hESCs into the striatum of HIE-injured mouse brains, we found that the grafted cells largely differentiated into striatal GABA spiny projection neurons and significantly rescued the area loss of HIE-injured brains. More importantly, these grafted spiny projection neurons projected to the striatal endogenous target regions GP (GPe, GPi) and SN (SNr and SNc), formed synaptic connections with host neurons, and receive extensive synaptic inputs from host neurons, thereby reconstructing the indirect and direct pathways of basal ganglia anatomically. Furthermore, the grafted neurons functionally incorporated into the host basal ganglia neural circuit and rescued the motor deficits of HIE-injured animals in the long term. Our data demonstrate for the first time that the anatomy and function of damaged basal ganglia neural circuits in HIE-injured brain can be reconstructed by transplantation of striatal spiny

projection neurons, which provides strong evidence of stem cell replacement therapy for the treatment of hypoxic-ischaemic immature brain injury.

Pharmaceutical compositions (cell reagents or cell preparation)

5 The invention also provides a pharmaceutical composition comprising an effective amount of Striatal Neural Progenitors; other substances for the prevention and/or treatment of hypoxic-ischemic encephalopathy, and a pharmaceutically acceptable carrier.

10 Typically, the Striatal Neural Progenitors and other substances for the prevention and/or treatment of hypoxic-ischemic encephalopathy can be formulated in a non-toxic, inert and pharmaceutically acceptable aqueous carrier medium, such as saline, where the pH is typically about 5-8, preferably about 7-8.

As used herein, the term "effective amount" or "effective dose" refers to an amount that is functional or active in humans and/or animals and is acceptable to humans and/or
15 animals. In preferred embodiments of the present invention, said effective amount is: 1.0×10^6 - 1.0×10^8 cells/ml, preferably 5.0×10^6 - 1.0×10^8 cells/ml, better 1.0×10^7 - 1.0×10^8 cells/ml. preferably, said effective amount of cells is injected in a single dose.

The Striatal Neural Progenitors of the present invention can be used for the preparation of a medication. The Striatal Neural Progenitor of the invention may be
20 administered to a mammal, such as a human, and may be administered orally, rectally, parenterally (intravenously, intramuscularly or subcutaneously), topically, and the like. The Striatal Neural Progenitor can be administered alone or in combination with other pharmaceutically acceptable substances.

Solid dosage forms for oral administration include capsules, tablets, pills, powders,
25 and granules. In these solid dosage forms, the active compound is mixed with at least one conventional inert excipient (or carrier), such as sodium citrate or dicalcium phosphate, or mixed with the following components: (a) a filler or compatibilizer, for example, a starch, lactose, sucrose, glucose, mannitol and silicic acid; (b) binders such as hydroxymethylcellulose, alginates, gelatin, polyvinylpyrrolidone, sucrose and gum
30 arabic; (c) humectants, for example, glycerin; (d) a disintegrant such as an agar, calcium carbonate, potato starch or tapioca starch, alginic acid, certain complex silicates, and sodium carbonate; (e) a slow solvent such as paraffin; (f) absorbing accelerators, for example, quaternary amine compounds; (g) wetting agents, such as cetyl alcohol and glyceryl monostearate; (h) adsorbents, for example, kaolin; and (i) lubricants, for
35 example, talc, calcium stearate, magnesium stearate, solid polyethylene glycol, sodium lauryl sulfate, or a mixture thereof. In capsules, tablets and pills, the dosage form may

also contain a buffer.

Solid dosage forms such as tablets, sugar pills, capsules, pills, and granules can be prepared with coatings and shells such as enteric coatings and other materials known in the art. They may contain opacifying agents and the release of the active compound or
5 compound in such compositions may be released in a portion of the digestive tract in a delayed manner. Examples of embedding components that can be employed are polymeric and waxy materials. If necessary, the active compound may also be in microencapsulated form with one or more of the above-mentioned excipients.

Liquid dosage forms for oral administration include pharmaceutically acceptable
10 emulsions, solutions, suspensions, syrups or elixirs. In addition to the active compound, the liquid dosage form may contain inert diluents conventionally employed in the art, such as water or other solvents, solubilizers and emulsifiers, for example, ethanol, isopropanol, ethyl carbonate, ethyl acetate, propylene glycol, 1,3-butanediol, dimethylformamide and oils, especially cottonseed oil, peanut oil, corn germ oil, olive
15 oil, castor oil and sesame oil or a mixture of these substances.

In addition to these inert diluents, the compositions may contain adjuvants such as wetting agents, emulsifying and suspending agents, sweetening agents and perfumes.

In addition to the active compound, the suspension may contain suspending agents, for example, ethoxylated isostearyl alcohol, polyoxyethylene sorbitol and isosorbide
20 dinitrate, microcrystalline cellulose, aluminum methoxide and agar or mixtures of these and the like.

Compositions for parenteral injection may comprise a physiologically acceptable sterile aqueous or nonaqueous solution, dispersion, suspension or emulsion, and a sterile powder for reconstitution into a sterile injectable solution or dispersion. Suitable
25 aqueous and nonaqueous vehicles, diluents, solvents or excipients include water, ethanol, polyols and suitable mixtures thereof.

Dosage forms for the Striatal Neural Progenitor of the present invention for topical administration include ointments, powders, patches, propellants and inhalants. The active ingredient is admixed under sterile conditions with a physiologically
30 acceptable carrier and any preservatives, buffers, or, if necessary, propellants.

When a pharmaceutical composition is used, a safe and effective amount of a compound of the present invention is administered to a mammal (e.g., a human) in need of treatment wherein the dosage is a pharmaceutically effective dosage, for an individual of 60 kg body weight, the daily dose to be administered is usually from 1 to 1000 mg,
35 preferably from 20 to 500 mg. Of course, the specific dose should also consider the route of administration, the health of the individual and other factors, which are within the skill of the skilled physician.

In the present invention, said pharmaceutical composition is preferably an intravenous formulation.

The main advantages of the invention include:

- 5 (1) The inventors have discovered for the first time that hypoxic-ischemic encephalopathy can be effectively treated by Striatal Neural Progenitors.

Materials and methods

Cell culture

10 hESCs (line WA09 [WiCell], passages 20-40) and gene editing cell lines from hESCs were maintained on a feeder layer of irradiated mouse embryonic fibroblasts (MEFs) in hESCs medium consisting of Dulbecco's Modified Eagle's Medium/Nutrient Mixture F-12 (DMEM/F-12), 1×Glutamax, 1×Nonessential Amino Acids (NEAA) and 0.1 mM β-mercaptoethanol (Reagents information in Table S1).

15

Cell line construction

H9 hESCs were pretreated with Rho-kinase (ROCK) inhibitor (0.5 μM), digested into single cells by TrypLE™ Express Enzyme, and then electroporated with the appropriate combination of Cas9 plasmids, sgRNA and donor plasmids in 500 μL of
20 electroporation buffer (5 mM KCl, 5 mM MgCl₂, 15 mM HEPES, 102.94 mM Na₂HPO₄, and 47.06 mM NaH₂PO₄, pH = 7.2) using the Gene Pulser Xcell System (Bio-Rad) at 250 V and 500 mF in a 0.4 cm cuvette (Phenix Research Products). Cells were then seeded onto MEFs in 6-well plates in MEF-conditioned ESC culture medium (CM). Seventy-two hours later, puromycin (0.5 mg/ml) or G418 (50-100 mg/ml) was added to the CM for
25 selection for 2 weeks. Individual clones were picked up after drug selection, and the integration of the transgene was identified by genomic PCR. For the generation of iCre, mCherry, Chr2-EYFP and hM4Di-mCherry knock-in hESCs, the iCre, mCherry, Chr2-EYFP or hM4Di-mCherry expression cassette was inserted into the *AAVS1* locus of H9 hESCs.

30

Generation of striatal GABA projection neurons and spinal GABA neurons

Striatal neural progenitors were differentiated from hESCs with a modified protocol following a previous report (Ma L, Hu B, Liu Y, et al. Human embryonic stem

cell-derived GABA neurons correct locomotion deficits in quinolinic acid lesioned mice. *Cell Stem Cell*. 2012;10:455-464.) . Briefly, hESCs on MEFs (5-6 days after passaging) were digested into small clumps with dispase, and cultured with ESC medium without bFGF in T25 flask for 3 days to form embryonic bodies (EBs). The cultured medium was changed every day. From day 4 to day 6, EBs were induced to neuroepithelium with SB431542 (2 μ M) and DMH-1 (2 μ M) in neural induction medium (NIM) including DMEM/F-12, 1 $\times$ N2 supplement and 1 $\times$ NEAA. On day 7, neural spheres were attached to 6-well plates in NIM containing 5% foetal bovine serum for 20 h, then the medium was changed with NIM every other day until day 10. From day 10 to day 15, SAG (0.2 μ M), which is an agonist of the sonic hedgehog pathway, was added to the NIM medium. On day 16, the neural rosettes on 6 well plates were blown off slightly with 1 ml tips and cultured with ROCK inhibitor (0.5 μ M), SAG (0.2 μ M) and 1 $\times$ B27 in a T25 flask. From day 17 to day 26, cells were kept in 25ml flask feeding with NIM (0.2 μ M SAG) which was changed every other day till day 32. To generate spinal GABA neurons, all the procedures are the same as the differentiation of striatal neural progenitors except 0.1 μ M retinoic acid (RA) was added into the NIM from day 10 to day 23. For neuron maturation in vitro, neurospheres were dissociated with Accutase at day 27 and then placed onto Polyornithine- and Matrigel-coated coverslips in neural differentiation medium (NDM), including NeurobasalTM Medium, 1 $\times$ N2 supplement, 1 $\times$ B27, supplemented with brain-derived neurotrophic factor (BDNF, 20 ng/ml), glial-derived neurotrophic factor (GDNF, 10 ng/ml), insulin-like growth Factor 1 (IGF1, 10 ng/ml), cAMP (1 μ M), AA (200 μ M) and Compound E (0.2 μ M). The coverslips are fixed for immunostaining after maturation for 2 weeks.

HIE mouse model and brain injury assessment

This study was conducted in accordance with the National Institute of Health Guide for the Care and Use of Laboratory Animals, and all protocols were approved by the Shanghai Committee on Ethics in the Care and Use of Laboratory Animals. Animals were maintained on a 12 h light/12 h dark cycle and had free access to food and water throughout the study. HIE model was induced in mouse at postnatal day 7, as described previously (Ziemka-Nalecz M, Jaworska J, Zalewska T. Insights into the neuroinflammatory responses after neonatal hypoxia - ischemia. *J Neuropathol Exp Neurol*. 2017;76:644-654) . Briefly, the left common carotid artery of SCID mice was isolated, double ligated with 5-0 surgical silk, and then occluded permanently under

isoflurane anaesthesia. The surgical procedure was performed in less than 5 min. After being returned to the dam to recover for 2 h, pups were exposed to hypoxia at 36.5 °C~37.0 °C thermostat which perfused with humidified gas mixture (8% oxygen in nitrogen) for 30 or 60 min. Sham-control animals underwent the same procedures without occlusion of the artery. To assess brain injury in SCID mice, mice were euthanized 7 days post-HIE surgery. Animals were perfused transcardially with 0.9% saline followed by 4% PFA for fixation. After sequential dehydration in 20% and 30% sucrose, 30-µm brain sections were obtained by a microtome and stored at -20 °C in cryoprotectant solution for further experiments. For Cresyl violet (CV) staining, brain slices (30 µm) were placed on gelatine-coated glass slides and baked for 2 h at 37 °C. Then, brain slices were dehydrated in 75%, 85%, 95% (twice) and 100% (twice) ethanol for 8 min each step, followed by immersion in 95%, 85%, 75%, 50% ethanol for 3 min each step. After a quick rinse in distilled water, the brain slices were immersed in CV staining solution for 10-15 min. Then, the stained slices were quickly rinsed in 75%, 85%, 95% (0.3% glacial acetic acid) and 100% (twice) ethanol. After the transparent process by soaking in ethanol/xylene (1:1) and xylene (twice) for 10 min each step, slices were sealed with neutral resin. To assess the brain area loss caused by HIE injury, CV-stained sections (every 6th section) were imaged by a 20× objective with an Olympus microscope (Olympus VS120). Brain area loss was measured by ImageJ and calculated as the (area of contralateral hemisphere – area of ipsilateral hemisphere) × 100%/area of contralateral hemisphere).

Cell transplantation and immunostaining

Striatal or spinal neural progenitors were digested into very small clusters at day 32 and kept in NIM medium for another two days, and then small clusters of neural progenitors were transplanted at day 34. Briefly, animals were randomly grouped and placed into a stereotaxic apparatus 2 weeks after HIE surgery. 2 microlitres of cell suspension in artificial cerebrospinal fluid (ACSF) containing 1× B27, BDNF (20 ng/ml), and Rock inhibitor (0.5 µM) was stereotaxically injected into the ipsilateral dorsal striatum using a needle affixed to a syringe pump at the following coordinates (AP: +0.8 mm; ML: +1.7 mm; DV: -3.2 mm from dura). The injection procedure took 10 min. Age-matched mice that underwent the same HIE procedure but received ACSF only served as controls.

For immunohistochemical staining, brain slices were incubated in blocking solution (10% donkey serum and 0.3% Triton X-100 in DPBS) for 1h and then incubated with primary antibodies including hNCAM, GABA, DARPP32, CTIP2, GFAP, SST, CR, Ki67

and hN (antibodies information in Table S1) at 4 °C for 1-3 nights. The unbound primary antibodies were washed with DPBS. For fluorescent immunostaining, slices were incubated with corresponding fluorophore-conjugated secondary antibodies for 1h at room temperature. Nuclei were stained with Hoechst 33342, and slices were mounted in Fluoromount-G. Images were acquired using a Nikon TIE A1 plus confocal microscope. For DAB staining, slices were incubated with biotinylated secondary antibodies for 1h and then incubated with avidin-biotin peroxidase for 1h at room temperature. Immunoreactivity was observed with DAB-reaction product. For quantification of the human fiber density, we selected three representative coronal planes for each brain region, Bregma-0.34 mm, -0.46 mm, -0.58 mm for GPe; Bregma-1.22 mm, -1.34 mm, -1.46 mm for GPi; Bregma-2.92 mm, -3.08 mm, -3.16 mm for SNc and SNr according to the mouse brain Atlas. Brightfield images of the DAB staining were captured by a 20× objective with an Olympus microscope (Olympus VS120).

Whole-cell patch-clamp and brain slice recording

Coronal brain slices (300 μm) were prepared from animals at 2 and 6 MPT using a vibratome (Leica VT1200S). Slices were incubated in solution containing oxygenated (95% O₂ and 5% CO₂) ACSF containing (in mM): 124 NaCl, 4.4 KCl, 2 CaCl₂, 1 MgSO₄, 25 NaHCO₃, 1 NaH₂PO₄, and 10 glucose at room temperature for 60 min. Current and voltage signals were recorded by an Axon 700B amplifier (Axon). Current and optogenetic stimulation-induced action potentials (APs) of grafted cells were recorded in current clamp mode. Electrodes were filled with a solution containing (in mM): 120 K-gluconate, 5 NaCl, 1 MgCl₂, 0.2 EGTA, 10 HEPES, 2 Mg-ATP, 0.1 Na₃-GTP and 10 phosphocreatine disodium, adjusted to pH 7.2 with HCl. APs were detected in response to depolarizing currents (0-100 pA, step 10 pA, duration 400 ms) or blue light illumination (470 nm, 2 ms, 5 Hz, duration 1000 ms 1.5 mW/mm²) in current clamp mode. The spontaneous excitatory postsynaptic currents (sEPSCs), spontaneous inhibitory postsynaptic currents (sIPSCs) and optogenetic stimulation of ChR2-expressing inputs were recorded in voltage clamp mode. Electrodes were filled with a solution containing (in mM) 112 Cs-Gluconate, 5 TEA-Cl, 3.7 NaCl, 0.2 EGTA, 10 HEPES, 2 Mg ATP, 0.3 Na₃GTP and 5 QX-314 (adjusted to pH 7.2 with CsOH). Optogenetic stimulation of Channelrhodopsin 2 (ChR2)-expressing inputs was achieved with wide-field illumination using a blue LED (470 nm, 2 ms, 1.5 mW/mm²). Data were analysed offline with Clamfit and MiniAnalysis. In all cases, biocytin (0.4%) was added to the internal solution to identify the

morphological properties of the recorded cells.

Viral injection and rabies-mediated tracing

For rabies-mediated tracing experiments, 200 nl AAV expressing Cre-dependent
 5 TVA with a nuclear location signal (NLS-tdTomato) (AAV-DIO-TVA-2A-NLS-tdTomato, titer 1.29×10^{12} genome copies (gc)/ml, and 200 nl AAV expressing the rabies helper (Cre-dependent rabies glycoprotein, AAV-DIO-G, titer 1.29×10^{12} gc/ml) were coinjected into the grafted site (AP: + 0.8 mm; ML: + 1.7 mm; DV: -3.2 mm from dura) of HIE mice at 1 and 5 post transplantation (MPT). Three weeks later, EnvA-pseudotyped and
 10 G-deleted rabies virus-tagged EGFP (RVdG-EGFP, 400nl, titer 2×10^8 pfu/ml) was injected into the same site. One week later, the mice were perfused and sliced coronally. To quantify presynaptic inputs to graft from different brain regions of the ipsilateral, serial slices (30 μ m, every 4th) of total brain without staining were captured directly by a 20 $\times$ objective with a fluorescence microscope (Olympus VS120). The outline of brain areas
 15 and the distribution of the traced neurons were manually labelled using Photoshop software according to the mouse brain Atlas. Quantification and comparison of the percentage of ipsilateral inputs were done by a blinded counter. Some brain slices were performed immunohistochemistry staining to elucidate the cell identity.

Immunoelectron microscopy

A total of 400 nl AAV expressing Cre-dependent (DIO) enhanced ascorbate
 peroxidases 2 (APEX2) with a nuclear export signal (AAV-DIO-APEX2-NES, titer 9.86×10^{12} g/ml) was injected into the grafted site (AP: + 0.8 mm; ML: + 1.7 mm; DV: -3.2 mm from dura) of HIE-injured mouse brains at 5 MPT. Three weeks later, the mice
 25 were prepared for immunoelectron microscopy (EM). Briefly, animals were perfused transcardially with 0.9% saline and then fixed with 4% PFA combined with 0.8% glutaraldehyde. Brain slices (100 μ m) were sectioned by a vibratome, fixed in the abovementioned fixative for 4 h, and then reacted with DAB solution to reveal sites of peroxidase activity. The slices were rinsed with 0.1 M ice-cold Tris-HCl (pH=7.40) and
 30 fixed with 1% OsO₄ for 1 h. Then, the slices were rinsed in 0.1 M PB, dehydrated in 50%, 70%, 80%, 90% and 3 steps of 100% ethanol followed by propylene oxide and embedded in Epon. To identify the APEX2-labelled synapses, ultrathin sections were cut and counterstained with lead citrate and uranyl acetate. Ultrathin sections were mounted on grids, examined and photographed using a transmission electron microscope JEM-100CX

(JEOL, Japan). Synapses were defined by the presence of synaptic vesicles in a presynaptic terminal, a postsynaptic density in postsynaptic structure, and synaptic cleft.

Imaging and cellular quantification

5 For neural differentiation in vitro, to quantify the population of GABA/Meis2, DARPP32 and GABA/CTIP2-immunopositive cells, at least four randomly chosen images from coverslips were manually counted by a blinded counter using Image J software. Neural differentiation experiment was replicated for three times and data. For in vivo graft characterization, serial sections (30 μ m, every 6th section between 1.20 mm and -0.20 mm
10 from the Bregma) from the graft were used to stain by GABA, DARPP32, CTIP2, GFAP, SST, CR, Ki67, hN for stereological quantification. The graft was outlined and captured by a 20 $\times$ objective with Nikon TIE A1 plus confocal microscope (Nikon, Tokyo, Japan). Single or double stained cells were counted manually by a blinded counter with Image J. For quantification of the human fiber optical density, images of hNCAM⁺ fibers were
15 acquired by a Nikon TIE A1 plus confocal microscope. The optical density of hNCAM⁺ fibers in the GP and SN of the mouse brain was measured by a blinder counter using Image J following the automated threshold. All data are presented as mean $\pm$ SEM.

Behavioural tests

20 Three behavioural tests were chosen to evaluate the motor recovery of HIE mice at 2, 4 and 6 MPT. For the chemical-control behavioral test, animals were recorded 20 min after intraperitoneal injection of CNO (4 mg/kg, Biomol International) or saline. All animals needed to adapt in the behaviour room for 30 min before recording. All behavioural tests were conducted by investigators blind to the mouse treatments.

25 **Cylinder test:** An individual mouse was placed in a transparent glass and recorded by a camera for 5 min. The ipsilateral and contralateral paw touching the wall of the cylinder was counted. The minimum touch number is 20 in total 5 min video were collected. Videos were analysed by the investigators blind to the groups. The data were expressed as the percentage of ipsilateral touches to total touches.

30 **Open field test:** Individual mice were placed in a plastic open-field chamber (40 cm $\times$ 40 cm $\times$ 40 cm), and the distance covered were tracked and analyzed using the Ethovision video tracking system (from Noldus Information Technology). Activities were recorded for 10 min under normal conditions of lighting. Quantitative analysis was done on total distance.

Rotarod test: An accelerating Rotarod (Med Associates Instruments) was used to test motor coordination. All animals were pre-trained for 3 consecutive days in order to reach a stable performance. On day 1, mice were trained on the rotating rod at speed of 5 rpm in a period of 300 seconds (s) for three times. On day 2 and day 3, mice were trained on rod accelerating from 5 rpm to 40 rpm within 60s in a period of 300s for three times. A formal test was performed from the fourth day. The time each mouse stayed on the rotating rod was recorded, and the average duration from three repeated tests of each animal was used for data analysis.

Statistical analyses

SPSS version 20.0 was used for statistical analysis. The results were analysed using Student's t test, one-way ANOVA or two-way ANOVA followed by Tukey's multiple comparison test. $*P<0.05$, $**P<0.01$, $***P<0.001$ were considered to be significant.

Example 1 hESC-derived SNPs mature into striatal GABA spiny projection neurons and rescue brain area loss in HIE-injured brains

To test hESC-based cell therapy for HIE-injured immature brains, we designed an experimental procedure, as shown in Fig. 1A. To generate an HIE model using severe combined immunodeficiency (SCID) mice, we investigated 30 min and 1 h durations of hypoxic exposure, which will affect animal survival and the severity of brain injury after ligation of the left common artery at postnatal day 7. The results showed that 1 h of hypoxic exposure caused high mortality ($66 \pm 9.0\%$) with massive brain tissue loss (Fig. 1A-C), while 30 min of hypoxic exposure resulted in moderate mortality ($28.27 \pm 2.85\%$) (Fig. 1A) with relatively intact brain structures but obvious shrinkage of the ipsilateral brain tissue (Fig. 1B-C). Statistical data of Cresyl Violet (CV) staining displayed $60.23 \pm 2.71\%$ ipsilateral brain area loss in 1 h hypoxic exposure animals in contrast to $39.47 \pm 8.29\%$ in 30 min animals (Fig. 1F). Thus, we chose 30 min of hypoxic exposure to generate an HIE model in SCID mice in the following studies. Interestingly, further assessment of CV staining slices indicated that HIE brain injury induced a significantly larger area loss in the ipsilateral striatum ($39.04 \pm 3.23\%$) than in the cortex ($21.19 \pm 4.37\%$) (Fig. 1F). The neuronal staining by NeuN and statistical analysis revealed obvious loss of neurons in the ipsilateral striatum (Ipsi-white dotted lines and magnified rectangles

in a) (777.08 ± 90.01) compared to the contralateral (Contra-white dotted lines and magnified rectangles in b) (2316.58 ± 412.09) in the HIE-injured brain (Fig. 1D-E). In addition, we observed dramatic astrogliosis (GFAP) (Ipsi-: 139.26 ± 32.80 , Contra-: 39.07 ± 10.40 ; $P < 0.05$) and microglial/macrophage activation (Iba-1) (Ipsi-: 196.86 ± 45.70 , Contra-: 51.81 ± 14.51 ; $P < 0.05$) in the ipsilateral brain (Fig. 1D, E, G, H), indicating characteristics of HIE injured brain. Overall, we successfully generated an HIE model with SCID mice, which showed obvious area and neuronal loss in the ipsilateral striatum.

We then differentiated hESCs into SNPs with a modified protocol based on a previous paper. Immunohistochemical staining and statistical data showed that $91.24 \pm 1.03\%$ of cells costained for GABA and Meis2 6-7 weeks after neural differentiation and maturation in vitro, suggesting striatal GABAergic neurons. A total of $90 \pm 0.87\%$ of cells were stained with DARPP32, a striatal GABA spiny projection neuron marker (Fig. 1G-H). In addition, we found that $60.62 \pm 3.99\%$ of cells were colabelled by GABA and CTIP2, which is an essential transcription factor for striatal GABA neurons (Fig. 1G-H). Very few ChAT⁺ neurons ($0.87\% \pm 0.14\%$) and GFAP⁺ cells ($0.54\% \pm 0.10\%$), no neural progenitors (SOX2⁺) or oligodendrocytes (O4⁺) were detected at this stage in this neural differentiation system (Fig. 2E-F). Further qPCR analysis revealed ASCL1, DLX2, and GSX2, specific genes for lateral ganglionic eminence (LGE) neural progenitors, were highly expressed in SNPs and then gradually decreased in mature neurons (Fig. 2B). We also observed gradually increased genes for GABAergic neurons (GABRA1 and GAD67), striatum GABA neuron-specific transcription factors (CTIP2) and characteristic genes for spiny projection neurons (DRD1 and TAC1 for the D1 subtype, DRD2 and PENK for the D2 subtype) during neural differentiation and maturation (Fig. 2C-D). These results confirmed successful acquisition of striatal spiny projection neurons from hESCs with high purity.

To explore whether hESC-derived SNPs could survive and mature in the HIE-injured brain, we transplanted these neural progenitor cells which show high expression of neural progenitor marker SOX2, but not any embryonic stem cells markers such as OCT4, NANOG and SSEA-4 into the ipsilateral striatum 2 weeks after HIE surgery (Fig. 2A). Grafts were identified by immunofluorescent staining

of GABA or DARPP32 with human nuclei hN or hN/CTIP2 at 2 and 6MPT, respectively (Fig. 1I, K). Data quantification and analysis revealed that $34.48 \pm 3.03\%$ of transplanted cells were GABA positive and $27.88 \pm 1.85\%$ were DARPP32 positive at 2 MPT, and this ratio increased to $78.94 \pm 1.65\%$ for GABA and $70.81 \pm 2.58\%$ for DARPP32 at 6 MPT (Fig. 1J). Of note, most of the grafted GABA or DARPP32 immunopositive neurons coexpressed CTIP2 at 6 MPT (Fig. 1K, right panel). Only a small population of grafted neurons expressed SST ($4.54\% \pm 0.59\%$) and CR ($5.03 \pm 0.43\%$) for GABA interneuron, GFAP ($5.98 \pm 0.75\%$) for astrocyte, and $<1\%$ of grafted cells stained with Ki67, suggesting very few proliferated cells in the grafts at 6 MPT (Supplementary Fig. 2G-H). These data strongly support that grafted SNPs survive, differentiate and mature into striatal GABA spiny projection neurons successfully in the HIE-injured brain. More importantly, the grafted cells repopulated the injured striatum and significantly reduced the area loss of the total ipsilateral brain ($17.61 \pm 2.95\%$), ipsilateral striatum ($31.87 \pm 3.90\%$) and ipsilateral cortex ($13.94 \pm 1.94\%$) compared to the ACSF control (total ipsilateral area loss: $30.36 \pm 5.33\%$, striatum: $54.70 \pm 3.49\%$, cortex: $29.58 \pm 5.31\%$) at 6 MPT (Fig. 1L, M, and N), supporting hESC-derived SNPs as a potential cell source with great therapeutic effects for HIE-injured brains.

Example 2 Grafted striatal neurons show functional activity in the HIE-injured striatum

To further explore the functional maturation of the grafted human SNPs, mCherry or ChR2-EYFP was knocked into the *AAVS1* locus of hESC (Fig. 2A) to specifically manipulate grafted cells after transplantation. The electrophysiological properties of transplanted cells were recorded at different time points (2, 6 MPT) by whole-cell patch-clamp recordings. Both current- or blue light-induced action potentials (APs) (Fig. 2B and C) and spontaneous action potentials (sAPs) (Fig. 2D) showed few spikes by 2 MPT, suggesting functional immaturity of grafted cells. However, the grafted cells displayed sustained responses to current or blue light stimulation and intensive sAP with higher peak firing rates (Fig. 2E-G), which was revealed by statistically significant ($P<0.01$) increases in spike numbers (Fig. 2H) and the light-induced AP ratio (Fig. 2I) at 6 MPT (100%) in contrast to 2 MPT

(56% $\pm$ 14%). Moreover, grafted cells showed higher membrane capacitance (C_m) (2 MPT: 47.92 ± 3.34 pF, 6 MPT: 70.46 ± 8.29 pF; $P < 0.01$) and lower membrane resistance (R_m) (2 MPT: 2392.04 ± 376.40 M Ω , 6 MPT: 457.10 ± 96.22 M Ω ; $P < 0.001$) and higher resting membrane potential (RMP) (2 MPT: -46.65 ± 3.62 mV, 6 MPT: -58.57 ± 1.37 mV; $P < 0.01$) at 6 MPT than at 2 MPT (Fig. 2J-L). These data suggest that grafted cells become functionally active and mature in the HIE-injured striatum. Interestingly, the repetitive and nonequidistant spikes with small afterhyperpolarization displayed by light- or current-induced APs (Fig. 3A-D) closely resemble those of mature endogenous striatal spiny projection neurons in mice, indicating identity of the grafted cells. No significant differences in amplitude, threshold or half-width suggested similar properties of current-induced single APs between 2 and 6 MPT (Fig. 3E-G).

Example 3 Grafted striatal neurons project to their endogenous targets in HIE-injured brains

Targeted axonal outgrowth is essential for the reconstruction of damaged neural circuits. Thus, we tested the axonal projection of the grafted SNPs derived from the hESCs-mCherry line (Fig. 3A). Compared to the contralateral, we found that many human fibers stained by hNCAM or mCherry appeared in endogenous striatal targets GPe, GPi and substantia nigra, including SNc (substantia nigra compacta) and SNr (substantia nigra reticulate), in the ipsilateral HIE-injured brain at 2 MPT (Fig. 3B-C). Very few fibers appeared in nontarget areas, such as the cortex and contralateral brain, suggesting high specificity of axon projection from the grafted SNPs in HIE-injured brains (Fig. 3B-C). To investigate the dynamic process of graft-derived neurite extension, we examined axonal outgrowth from the graft in GP (GPe and GPi) and SN (SNr and SNc) 1, 2 and 6 MPT. The immunostaining results (Fig. 3D-E) showed that the hNCAM⁺ fibers presented in the ipsilateral GP and SN of HIE-injured brain as early as 1 MPT, and then the human fibers gradually increased 2 MPT and peaked by 6 MPT. The quantification of the area covered by hNCAM⁺ fibers revealed a similar optical density of human fibers at 1 and 2 MPT, then significantly increased at 6 MPT ($P < 0.01$) in the ipsilateral GPe and GPi (Fig. 3F-G). However, for SN including SNc and SNr, the

brain region far away from the graft, very few hNCAM⁺ fibers appeared at 1 MPT, and they were dramatically elevated from 2 MPT ($P<0.05$) until 6 MPT ($P<0.05$ for SNc, $P<0.01$ for SNr), compared with the earlier time points (Fig. 3H-I). These data display dynamic and successful projection of axons from grafted human SNPs to endogenous striatal targets with high specificity, suggesting anatomical reconstruction of the basal ganglia neural circuit by human SNPs in HIE-injured brains.

Example 4 Grafted striatal neurons reform synapses with host neurons in the axon targeted regions of HIE-injured brains.

To further investigate whether the grafted neurons could integrate into the host neural circuit, we performed double immunostaining of the human-specific presynaptic marker synaptophysin (hSYN) with host neuronal markers. The representative images show obvious GABA⁺ synaptic puncta in the striatum, GP (GPe and GPi) and TH⁺ synaptic puncta in the nigra, indicating the formation of synapses between grafted and host neurons (Fig. 4B-E). To specifically observe synaptic connectivity between grafts and hosts with high resolution, we transplanted SNPs differentiated from hESC lines that genetically express Cre recombinase (iCre) in the *AAVS1* site (Fig. 4A). Five months after transplantation, the grafted cells were infected with Cre-dependent adeno-associated virus (AAV) expressing a peroxidase derivative, ascorbate peroxidases (APEX2), which label the cytoplasm of the grafted cells with high electron density while retaining a high-quality of ultrastructure, thus, the synaptic vesicles of grafted neurons could be clearly detected in presynaptic terminals. One month later, DAB immunostaining combined with electron microscope data showed axon terminals (at) from the grafted neuron with multiple presynaptic vesicles form typical synapses with host dendritic spines (ds), soma and axon terminals (at) in the ipsilateral striatum and GP (GPe and GPi) of HIE-injured brain (Fig.4F-H). Importantly, we observed axon terminals projecting from striatal grafts form synapses with host dendrite spines and axon terminals in the ipsilateral nigra of HIE-injured brains (Fig.4I). Taken together, grafted hESC-derived striatal neurons establish synaptic connections with host neurons including proximal and distal striatal targeting brain regions, suggesting

reconstruction of the host basal ganglia neural circuit anatomically in HIE-injured brains.

Example 5 Grafted striatal neurons receive extensive synaptic inputs from different regions of the HIE-injured brain

To further explore whether the grafted neurons form host-to-graft synaptic connections and their upstream origins, we used monosynaptic tracing based on “modified” EnvA-pseudotyped glycoprotein-deleted rabies virus combined with the Cre-loxP gene expression system to map direct inputs to grafted neurons (Fig. 5A). We transplanted SNPs derived from the hESC-iCre line into the ipsilateral striatum of HIE mice. One month or five months after cell transplantation, AAV expressing the Cre-dependent TVA (the receptor of engineered surface protein EnvA which originates from the avian leukosis virus) with a nuclear location signal (NLS-tdTomato) (AAV-DIO-TVA-2A-NLS-tdTomato) and AAV expressing a Cre-dependent rabies glycoprotein (G) (AAV-DIO-G) were co-injected into the graft site to express TVA and G specifically in the transplanted cells. Then, EnvA-pseudotyped and G-deleted rabies virus tagged EGFP (RVdG-EGFP) was injected into the same area 3 weeks later to infects TVA-expressing grafted neurons (tdTomato⁺). Thus, the grafted cells co-express EGFP and tdTomato are the starter cells, and expression of G in these cells enable RVdG-EGFP to spread transsynaptically to their upstream presynaptic input cells which will express EGFP only.

Representative images showed that tdTomato was expressed only in transplants of HIE-injured brains at 2 MPT or 6 MPT, suggesting the specificity of the rabies tracing system (Fig. 5B). The starter cells were identified by coexpression of TVA-tdTomato and EnvA-GFP (tdTomato⁺/GFP⁺), and they were also positive for GABA and hN (Fig. 5C). The starter cells were only found in the injected site and could be easily distinguished from traced neurons in intratransplants or brain regions away from the graft (tdTomato⁻/EGFP⁺). Serial section immunostaining revealed monosynaptic traced EGFP⁺ host neurons distributed in multiple areas of the HIE-injured brain as early as 2 MPT (Fig. 5D), suggesting early host-to-graft synaptic inputs in the HIE-injured brain.

Immunofluorescent staining showed that grafted striatal neurons receive synaptic inputs mostly from the cortex (M2, M1, S1), which expresses CTIP2, SATB2, BRN2 and TBR1, suggesting synaptic connectivity between graft and host excitatory neurons from different cortical layers (Fig. 4A and B). The host-to-graft synaptic inputs also come from GPe neurons expressing PV, midbrain SNc neurons expressing TH, thalamus including ventral posterolateral/posteromedial thalamic nucleus (VPL /VPM), parafascicular thalamic nucleus (PF), mediodorsal thalamic nucleus (MD) and hindbrain including dorsal raphe (DR) (Fig. 5D-E, Fig. 4A-B), indicating extensive synaptic inputs from these brain regions to grafted spiny projection neurons, which are strikingly similar to the circuits of their endogenous counterpart. To investigate how the map of host-to-graft synaptic inputs would change at a longer time after cell transplantation, we further detected synaptic inputs from host to graft 6MPT. Interestingly, we found that the distribution and proportion of GFP-labelled neurons in most brain regions were similar except in the VPL/VPM and DR between 2 MPT and 6 MPT (Fig. 5E), suggesting extensive and stable host-to-graft synaptic connections as a normal pattern at very early times after human SNP transplantation in HIE-injured brains. Together, these data strongly suggest precise re-establishment of anatomical basal ganglia neural circuits by hESC-derived SNPs in HIE-injured brains.

Example 6 Grafted neurons receive synaptic regulation from the striatal and cortical neurons of the HIE-injured brain.

To investigate whether the grafted neurons could functionally integrate into the host neural circuitry, SNPs derived from hESC-mCherry were transplanted into the ipsilateral striatum of the HIE-injured brain, and spontaneous inhibitory or excitatory postsynaptic currents (sIPSCs or sEPSCs) of the transplanted cells were recorded by patch clamp electrophysiology at 2 and 6 MPT, respectively (Fig. 6A). A total of 100% (8/8) of grafted neurons showed abundant sIPSCs or sEPSCs with high density by 6 MPT (Fig. 6C), while only 50% (9/18) were recorded with few sIPSCs or sEPSCs by 2 MPT (Fig. 6B), suggesting gradual integration of grafted cells into neural networks in the HIE-injured brain. The statistical data showed dramatically increased frequencies of sEPSCs ($P<0.05$) (Fig. 6D) and sIPSCs (Fig.

6F) at 6 MPT (1.99 ± 0.58 Hz for sEPSCs; 4.85 ± 1.47 Hz for sIPSCs) compared to 2 MPT (0.51 ± 0.29 Hz for sEPSCs; 0.62 ± 0.43 Hz for sIPSCs). Plotting of a cumulative distribution of sEPSCs and sIPSC intervals is shown in Fig. 6H and J. Interestingly, the amplitude of sIPSCs significantly increased ($P < 0.01$) at 6 MPT (19.36 $\pm$ 1.70 pA) in contrast to 2 MPT (12.43 $\pm$ 0.93 pA) (Fig. 6G), while the sEPSCs showed no changes between these two groups (Fig. 6E). However, the cumulative fraction of sIPSCs and sEPSCs showed an obviously higher amplitude at 6 MPT than at 2 MPT (Fig. 6I and K). The recorded human neurons were confirmed by biocytin, which was colabelled with mCherry (Fig. 5A). No significant differences in the half-width, rise time or decay time of sEPSCs or sIPSCs were observed at 2 and 6 MPT (Fig. 5C-H).

To further explore whether the activities of transplanted cells could be regulated by host cortical neurons, we injected an AAV virus expressing ChR2 fused with EYFP under the control of the human synapsin promoter into the motor cortex (M1 and M2) at 5 MPT (Fig. 6A). One month later, many ChR2-EYFP-expressing axon terminals from the cortical M1 and M2 regions were observed around the intrastriatal grafted cells (Fig. 5B). After blue light stimulus, approximately 83% of transplanted cells (10/12) were recorded with induced EPSC, which was completely blocked by the AMPA receptor antagonist CNQX, indicating glutamatergic presynaptic inputs from host-to-graft (Fig. 6L). The amplitude of EPSC is shown in Fig. 6M. The electrophysiological recorded cell was costained by biocytin and mCherry surrounded by many EGFP⁺ axons, confirming grafted human neurons in the striatum and axon projections from cortical ChR2-expressing host neurons (Fig. 5B). Furthermore, the paired pulse ratio (PPR), which is the ratio of the amplitude of the second response to that of the first, was also tested in grafted neurons upon blue light stimulation. By giving a paired pulse of two consecutive stimulations, 75% of the grafted cells (9/12) were recorded with PPR (Fig. 6N, upper panel). The second peak amplitude is smaller than that of the first (0.67 ± 0.07) (Fig. 6O upper panel), suggesting established plasticity of grafted neurons in the HIE-injured brain. The paired pulse disappeared after CNQX treatment, suggesting an AMPA receptor-dependent postsynaptic response of grafted neurons (Fig. 6N, bottom panel).

Together, these results indicate functional integration of intrastriatal grafted neurons into striatal and corticostriatal neural circuits in the HIE-injured brain.

Example 7 Intrastriatal grafted neurons activate host striatal- and long-range targeted nigra neurons in HIE-injured brains.

To test whether the grafted neurons could regulate the activity of host neurons, we transplanted SNPs derived from the hESC-ChR2-EYFP line into the ipsilateral striatum of HIE mice and recorded the response of the host neurons to blue light stimulus on the grafted neurons at 2 and 6 MPT. First, we performed whole-cell patch-clamp recordings on host striatal neurons at 2 and 6 MPT (Fig. 7A-C). The statistical data showed that approximately 83% of host neurons (15/18) showed light-induced IPSC with 64.35 ± 17.11 pA amplitude at 2 MPT (Fig. 7B and G), which then significantly increased to 135.30 ± 24.80 pA with 100% (13/13) responses of host neurons to graft cells by 6 MPT (Fig. 7C and G), indicating progressive establishment of intrastriatal neural networks and successful graft-to-host synaptic regulation in the ipsilateral striatum of the HIE-injured brain. The recorded host cells were stained by biocytin but not EGFP, suggesting host neurons of the striatum (Fig. 6E). In addition, the blue light-induced IPSC was completely blocked by the GABAR antagonist PTX, indicating GABAergic presynaptic currents from the graft (Fig. 7B-C, bottom panel). Striatal GABA neurons derived from the hESC-mCherry line were used as the control for optogenetic activation of grafted cells in the striatum of HIE-injured mice (Fig. 6A), which showed properties of mature neurons but no APs evoked by blue light illumination at 6 MPT (Fig. 6B-D).

Notably, we also investigated evoked IPSCs of host dopaminergic neurons in the SNc, the long-range targeted host neurons of the intrastriatal transplanted spiny projection neurons. By blue light stimulation of ChR2-EYFP-expressing axon terminals (Fig. 7D), we found obvious light-induced IPSCs as early as 2 MPT, although the amplitude was relatively low (20.23 ± 3.69 pA) (Fig. 7E and H), suggesting early-formed axon projections and appropriate synaptic outputs from the striatal graft to their targeted host neurons. Then, the amplitude significantly increased to 81.16 ± 14.41 pA by 6 MPT ($P < 0.01$) (Fig. 7F and H), indicating

functional integration of grafted neurons into the striatal-nigra neural circuit of the HIE-injured brain. In the SNc, we can see obvious EGFP-positive fibers that projected from striatal grafted human neurons dispersed around the recorded dopaminergic neurons stained by biocytin and TH (Fig. 6F).

5 Taken together, these data strongly suggested that transplanted human striatal neurons establish functional intrastriatal and striatal-nigra neural circuits in HIE-injured brains.

10 **Example 8 Transplanted hESC-derived striatal neurons correct the motor deficits of HIE-injured mice in the long term**

In HIE-injured patients, the impairment of the basal ganglia neural circuit is mostly associated with motor deficits. To further investigate whether hESC-derived SNPs could rescue the motor behaviors of animals with HIE injury in the long term, we transplanted the ipsilateral striatum of HIE mice with hESC-derived SNPs or spinal GABA neural progenitors (SGNPs), which will differentiate into spinal GABA interneurons, as control cells. In addition, we also used HIE-injured mice transplanted with ACSF and Sham (surgery without artery ligation and hypoxia) animals as control of cell therapy and HIE mouse models, respectively. Then, animals were subjected to motor activity-related behavioral tests, including cylinder, open field and rotarod tests, at 2, 4, and 6 MPT to determine whether the motor behavioral defects were corrected in each group (Fig. 8A). In the cylinder test, which reflects forelimb akinesia, HIE mice grafted with SNPs ($P<0.001$) significantly reduced preferential ipsilateral touches to nearly 50% (the level in Sham animals) as early as 2 MPT until 6 MPT but not for animals that received SGNPs or ACSF (Fig. 8B). For the open field test, which reveals limb movements during locomotion, the total distance covered by HIE-injured mice was significantly increased over time by intrastriatal SNPs transplantation ($P<0.001$) but not by SGNPs or ACSF treatment (Fig. 8C). In addition, motor coordination and balance assessed by the rotarod test also exhibited obviously increased latency on the rotarod in HIE-injured animals grafted with SNPs but not SGNPs or ACSF (Fig. 8D). Representative images showed a large number of human cells (hN^+) stained by GABA but not DARPP32 distributed in the ipsilateral striatum of HIE-injured mice

at 6 MPT (Fig. 7A and B), indicating maturation of hESC-derived spinal GABA neurons in host striatum. Few cell bodies but not neuron fibers were present in the SNc and SNr of the SN, suggesting migration of the grafted spinal GABA neurons from the striatum (Fig. 7C and D).

5 To determine whether the improved motor function of HIE-injured mice was graft dependent, we transplanted SNPs derived from hESCs-hM4Di-mCherry, an engineering inhibitory DREADD or hESCs-mCherry as a control into the ipsilateral striatum of HIE-injured mice (Fig. 8E). The statistical data of the cylinder test showed that CNO but not saline treatment significantly increased the preferential
10 ipsilateral touches of mice grafted with hM4Di-SNPs ($P<0.01$), which then returned to the control level 48 h after CNO withdrawal ($P<0.05$), suggesting graft activity-dependent behavioral changes in HIE-injured mice. CNO treatment had no effect on ipsilateral touches in mice that received SNPs expressing mCherry (Fig. 8F). In the open field test, CNO treatment significantly decreased the total distance
15 covered by mice grafted with hM4Di-SNPs compared to saline treatment or CNO withdrawal ($P<0.05$), but not in animal grafted with Cherry-SNPs (Fig. 8G), indicating graft-dependent improvement of animal motor functions. Together, these data strongly indicated that motor deficits in HIE-injured mice could be rescued in the long term by intrastriatal transplantation of spiny projection neurons but not
20 spinal GABA neurons and graft dependent behavioral recovery in HIE-injured animals.

Discussion

Here, we showed hESC-derived SNPs survived and matured into striatal spiny
25 projection neurons in HIE-injured brains. And we first proved the high feasibility and long-term therapeutic efficiency of hESC-derived striatal neural progenitors in immature HIE-injured brains, including neuronal survival and differentiation, axon projections and synapse formation, neural circuit reconstruction and functional restoration.

30 Currently, hypothermia treatment is the only clinically established intervention following neonatal HIE. However, almost half of all cooled infants still die or suffer from long-lasting neurological impairments because of the short time window

(within 6h) and limited effects, particularly in some severe cases. Transplantation of neural progenitor cells or neural stem cell to treat HIE has been explored a lot for years, while most of them focused on the therapeutic effects of transplanted cells in short term in HIE mice, the underlying mechanisms are poorly investigated. Some studies showed that transplanted neural progenitors can secrete multiple factors, modify microglial response, or enhance axonal sprouting of host neurons. However, the causal roles of these effects in the functional recovery of HIE model animals have not been demonstrated. In the current study, we showed that transplanted striatal progenitor cells can specifically projected to their cognate brain regions including GPe, GPi, and SN (Fig. 3), and receive innervation from host neurons in multiple brain areas (Fig. 5) in a pattern similar to their endogenous counterparts. We further demonstrated that transplanted striatal neurons can form functional synaptic connection with host neurons both pre- and post-synaptically (Fig. 6 and 7). Finally, by modulating graft activity with chemogenetic tools, we demonstrated that the functional recovery of HIE model mice depends on the graft activity. These results explicitly suggest that transplanted striatal spiny projection neurons can reconstruct specific circuits which account for the functional recovery of HIE model animals.

On the other hand, kinds of donor cells with unclear regional identity or fate potentials were used previously, make the therapeutic outcomes varied among different studies. Some transplanted cells even containing undifferentiated ESCs or immature ectoderm which probably explain why model animals injected with these donor cells developed local tumors. In the current study, we used fate-committed striatal GABA neural progenitors without any embryonic stem cell markers (Fig. 2A), which can efficiently differentiate into DAPP32⁺ striatal GABA projection neurons (90%) in vitro or after transplantation in vivo (Fig. 1). We also showed that transplantation of striatal GABA neural progenitors, but not spinal GABA neural progenitors can specifically project and rescue the motor deficits of HIE injured mice long-termly (Fig. 8). These results suggest that the identity of transplanted neuronal cells determines their axonal projection specificity and functionality. We hypothesize that transplantation of fate-committed neural progenitor cells with proper identity is essential for reconstructing certain damaged circuits with

specificity.

Although stem cell-based replacement therapy which shows great potential by neural circuit reconstruction in adult disease models such as PD and HD, it has rarely been studied in immature brain with HIE injury before. Here, we found that striatal grafted SNPs send axons as early as 1 month to endogenous target areas after cell transplantation in HIE-injured brains, similar like the SNPs grafted in adult HD mouse brains, indicating cell intrinsic properties probably determine the targeted projection of grafted human neurons. After axon extension, grafted neuron should form synaptic connections with host neurons. In HIE-injured brains, the grafted SNPs receive synaptic inputs from extensive brain regions, similar to their endogenous counterparts, by 2 MPT. However, only cell transplantation sites where the synaptic inputs stem from to the grafted neurons were observed in HD model mice. Since similar human neural progenitors were transplanted, these results strongly suggest that cell extrinsic but not intrinsic determinants affect the formation of synaptic connections between grafted human neurons and host neurons. However, what exactly determines neural circuit restoration in the injured brain still needs to be explored next. Many previous studies have shown that the initial growth and guidance of axons are mostly regulated by genetically predetermined programs, while the late steps of synapse and neuronal connectivity formation and neural circuit integration are influenced by neurotrophin and neuron-glia activation during brain development, which indicates that different microenvironments of the host brain may affect formation of synaptic connection during neural circuit regeneration in diseased brains. Intriguingly, we found that brain regions of the afferent synaptic inputs to the graft did not differ between 2 MPT and 6 MPT, indicating that stable synaptic connections formed at 2 MPT. However, these newly formed synaptic connections do not functionally mature, as revealed by significantly lower host-to-graft sEPSCs and sIPSCs 2 MPT than at 6 MPT, suggesting sequential but not synchronous establishment of synaptic connections between transplanted human neurons and host cells in the HIE-injured brain.

In the current study, we mainly tested and proved proof-of-principle for the treatment of neonatal HIE by grafting hESC-derived striatal neurons in a HIE mouse model. From a clinical perspective, hESCs and its differentiated derivatives

express low level of HLA molecules, the major determinant of immunogenicity in stem cell therapy, suggesting probably minor immune response after cell transplantation in vivo. Besides, hESC-derived neural progenitors have been approved for clinical trials in the USA and China. These studies suggest
5 hESC-derived SNPs could be a proper cell type for stem cell therapy of HIE. However, the use of hESCs may confront potential ethical issues in some countries, and personalized iPSC-derived neural progenitors have been proved effective in the treatment of some neurological diseases without detectable immune rejection in clinical studies of human participants. Further investigation about therapeutic
10 effects of striatal neural progenitors derived from iPSCs in the treatment of HIE need to be done in the future.

All literatures mentioned in the present application are incorporated by reference herein, as though individually incorporated by reference. Additionally, it
15 should be understood that after reading the above teaching, many variations and modifications may be made by the skilled in the art, and these equivalents also fall within the scope as defined by the appended claims.

Claims

1. Use of Striatal Neural Progenitors for the preparation of a composition or formulation for the prevention and/or treatment of hypoxic-ischemic encephalopathy (HIE).

2. The use of claim 1, wherein the Striatal Neural Progenitors are fate-committed Striatal Neural Progenitors.

3. The use of claim 1, wherein the hypoxic-ischemic encephalopathy (HIE) is a disease with severe basal ganglia-thalamic (BGT) lesions, central gray matter damage, white matter and posterior limb of the internal capsule (PLIC) abnormality which detected by magnetic resonance imaging (MRI), or with severe motor impairment tested by Gross Motor Function Classification System.

4. The use of claim 1, wherein the hypoxic-ischemic encephalopathy (HIE) comprises a brain disease consequent to HIE-injury.

5. The use of claim 1, wherein said composition or formulation is further used for one or more purposes selected from the group consisting of:

a. high expression of neural progenitor marker SOX2, FOXG1, Ctip-2, Meis-2, but no expression of embryonic stem cells markers NANOG, OCT3/4;

b. when matured, capable of expression GABA, DARPP32, Ctip2 and Meis-2 dynamic and successful extension of axons to endogenous striatal neuron projection targets SNc, SNr, GPe, GPi with high specificity;

c. when transplanted into striatum of HIE animal model, capable of precisely re-establishing striatum-globus pallidum, striatum-nigra neural circuits of basal ganglia pathway anatomically;

d. capable of improving motor deficits of HIE model mice;

e. capable of decrease brain area loss induced by HIE injury in model mice.

6. The use of claim 1, wherein the Striatal Neural Progenitors are differentiated and matured into GABAergic spiny projection neurons.

7. The use of claim 6, wherein the GABAergic spiny projection neurons are from

striatum.

8. The use of claim 1, wherein said composition or formulation is further used for one or more purposes selected from the group consisting of:

- a. Structurally and functionally reconstructing and repairing damaged basal ganglia circuits in the HIE brain;
- b. Improving motor dysfunction;
- c. Repair of damaged basal ganglia circuits, particularly the striatum-pallidum and striatum-nigrostriatal pathways;
- d. Reducing brain area loss due to HIE injury.

9. A cell reagent comprising:

(i) a first pharmaceutical composition, said first pharmaceutical composition comprising (a) a first active ingredient, said first active ingredient being Striatal Neural Progenitors, and a pharmaceutically acceptable carrier.

(ii) optionally a second pharmaceutical composition, said second pharmaceutical composition comprising (b) a second active ingredient, said second active ingredient being other substances for the prevention and/or treatment of hypoxic-ischemic encephalopathy (HIE); and a pharmaceutically acceptable carrier;

wherein said first pharmaceutical composition and said second pharmaceutical composition are different pharmaceutical compositions, or the same pharmaceutical composition.

10. The cell reagent of claim 9, wherein said composition has a concentration of said Striatal Neural Progenitors of 1.0×10^7 - 1.0×10^9 cells/ml, preferably 5.0×10^7 - 5.0×10^8 cells/ml, more preferably 1.0×10^8 - 2.0×10^8 cells/ml.

11. The cell reagent of claim 9, wherein said Striatal Neural Progenitors are derived from human embryonic stem cells or human induced pluripotent stem cells or human pluripotent stem cell.

12. A kit comprising:

(i) a first container, and an active ingredient (a) Striatal Neural Progenitors, or a drug comprising active ingredient (a), contained in the first container;

(ii) optionally a second container, and an active ingredient (b) other substances for the prevention and/or treatment of hypoxic-ischemic encephalopathy

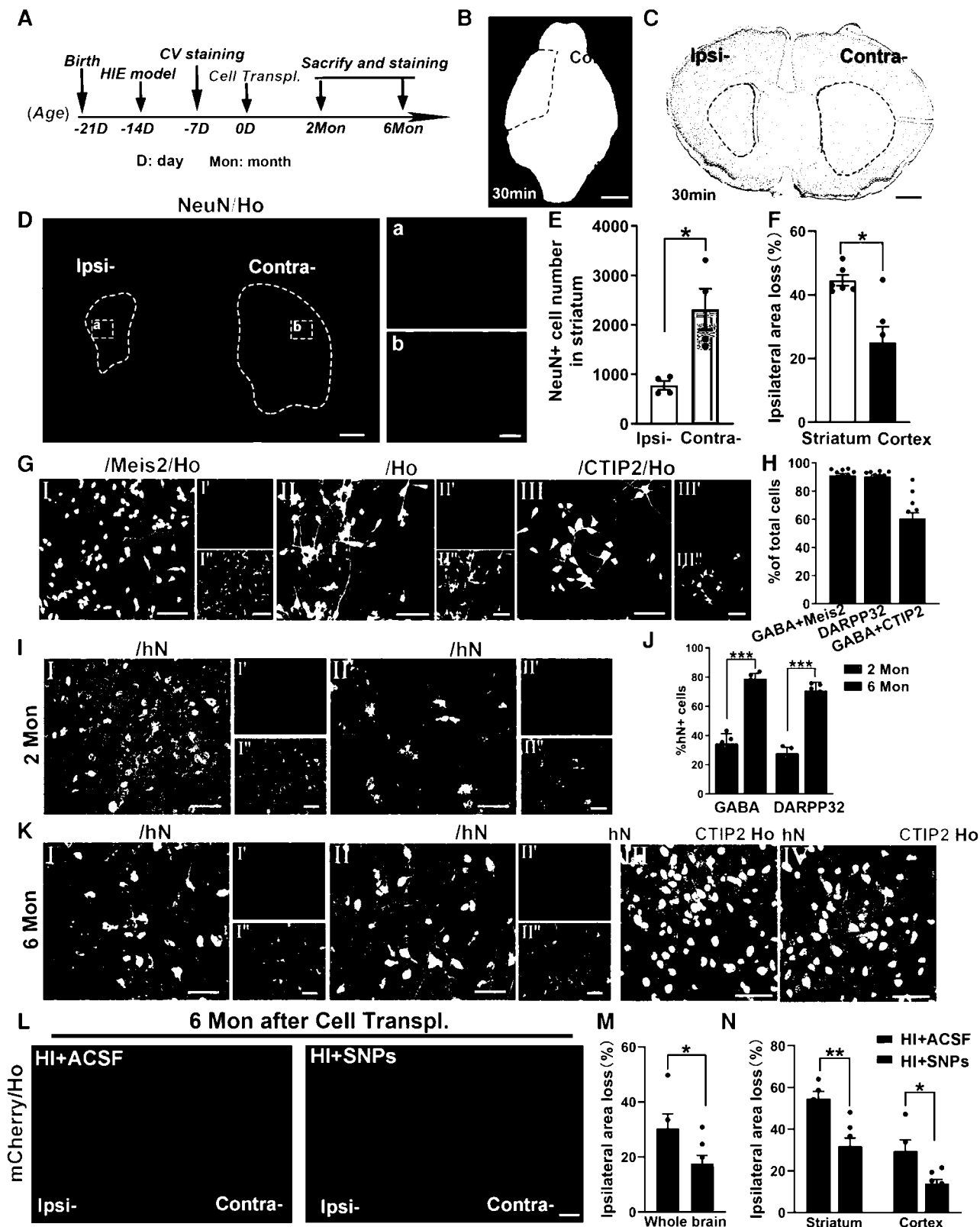
(HIE), or a drug containing active ingredient (b) contained in the second contain;
and

(iii) an instructions, said instructions containing instructions for the combined administration of active ingredient (a) and active ingredient (b) thereby
5 preventing and/or treating hypoxic-ischemic encephalopathy (HIE).

13. A method of preventing and/or treating hypoxic-ischemic encephalopathy (HIE), comprising:

administering to a subject in need thereof a safe and effective amount of Striatal Neural Progenitors or a cell reagent of claim 9 or a kit of claim 12.

10



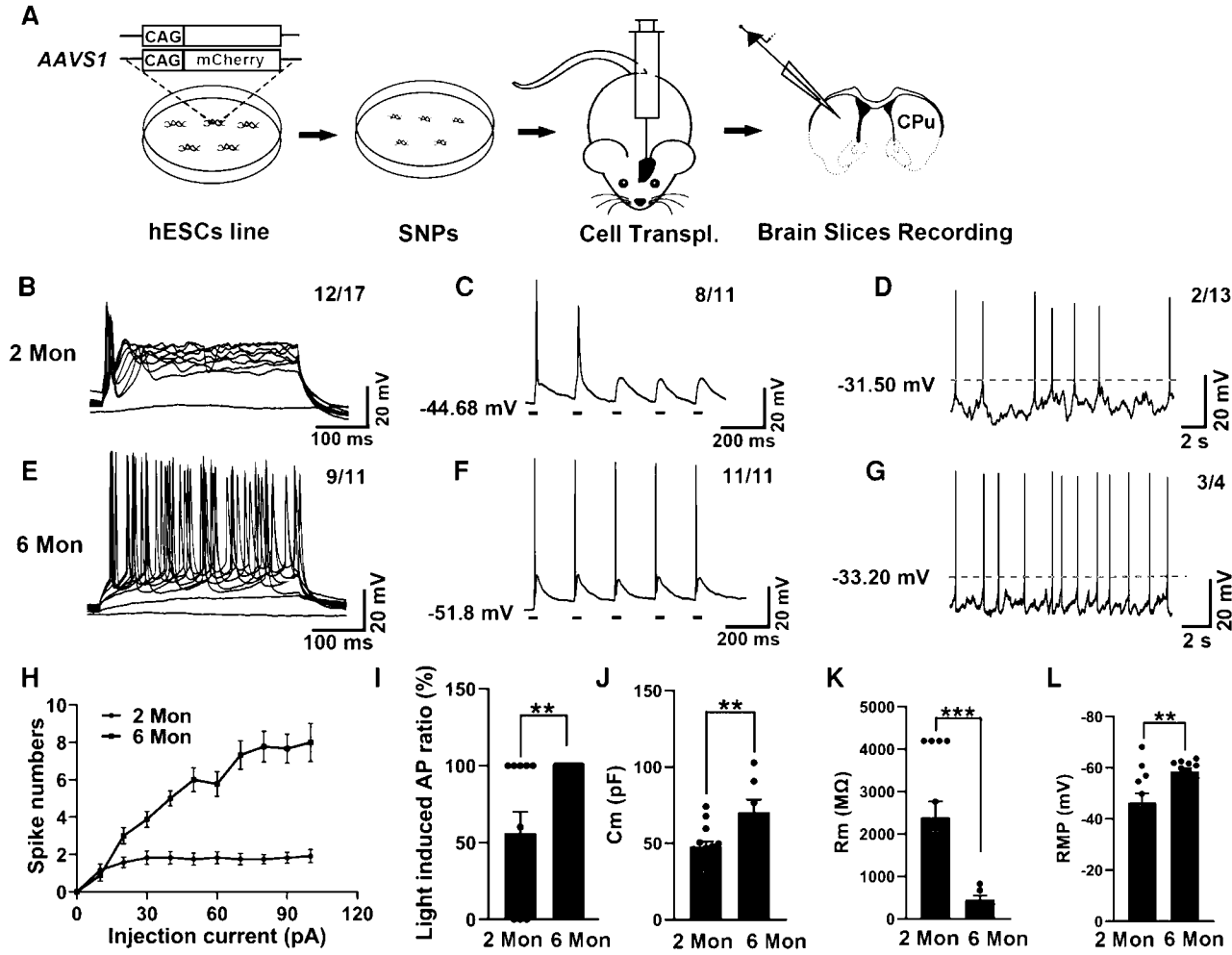


Figure 2

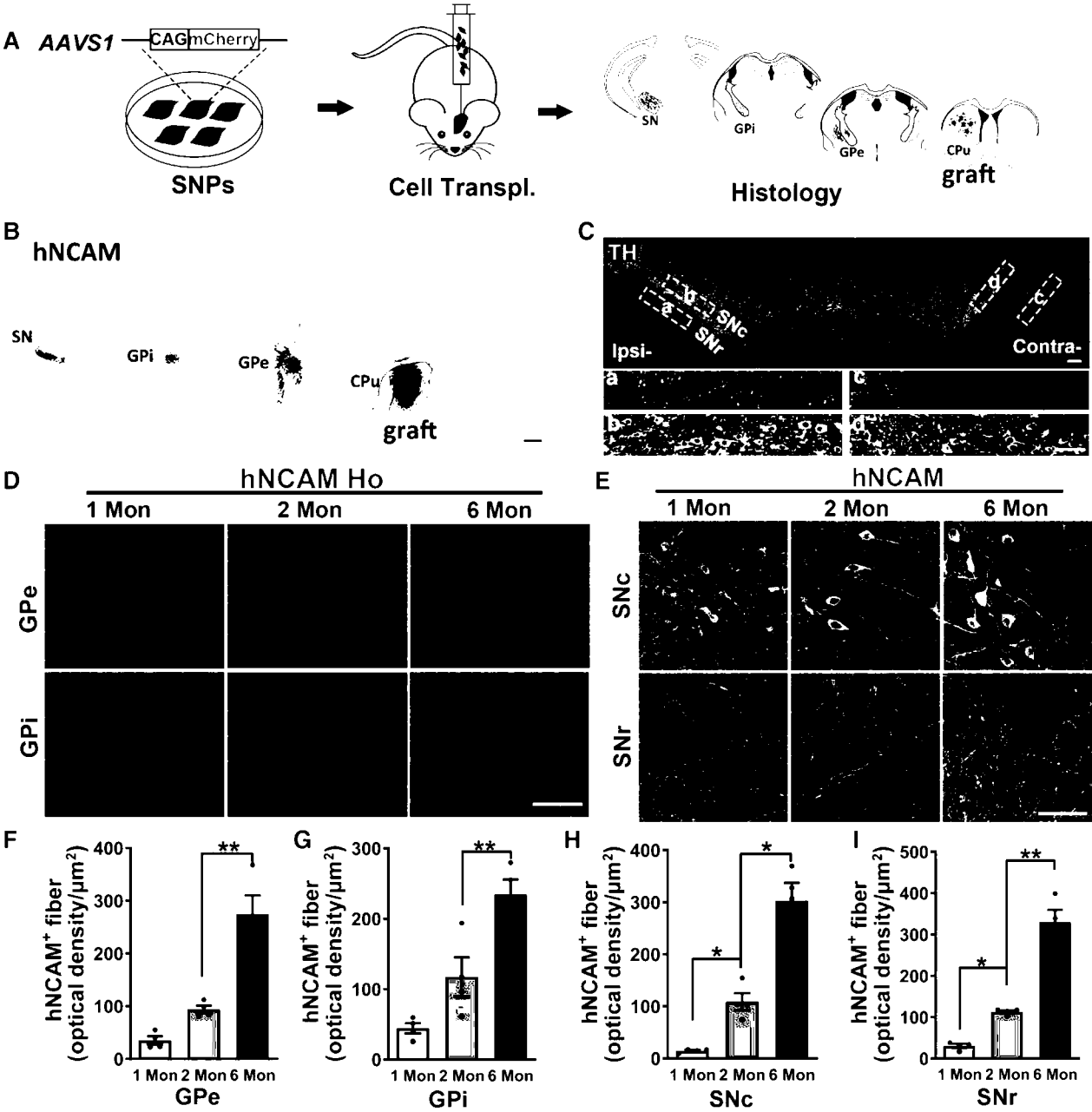


Figure 3

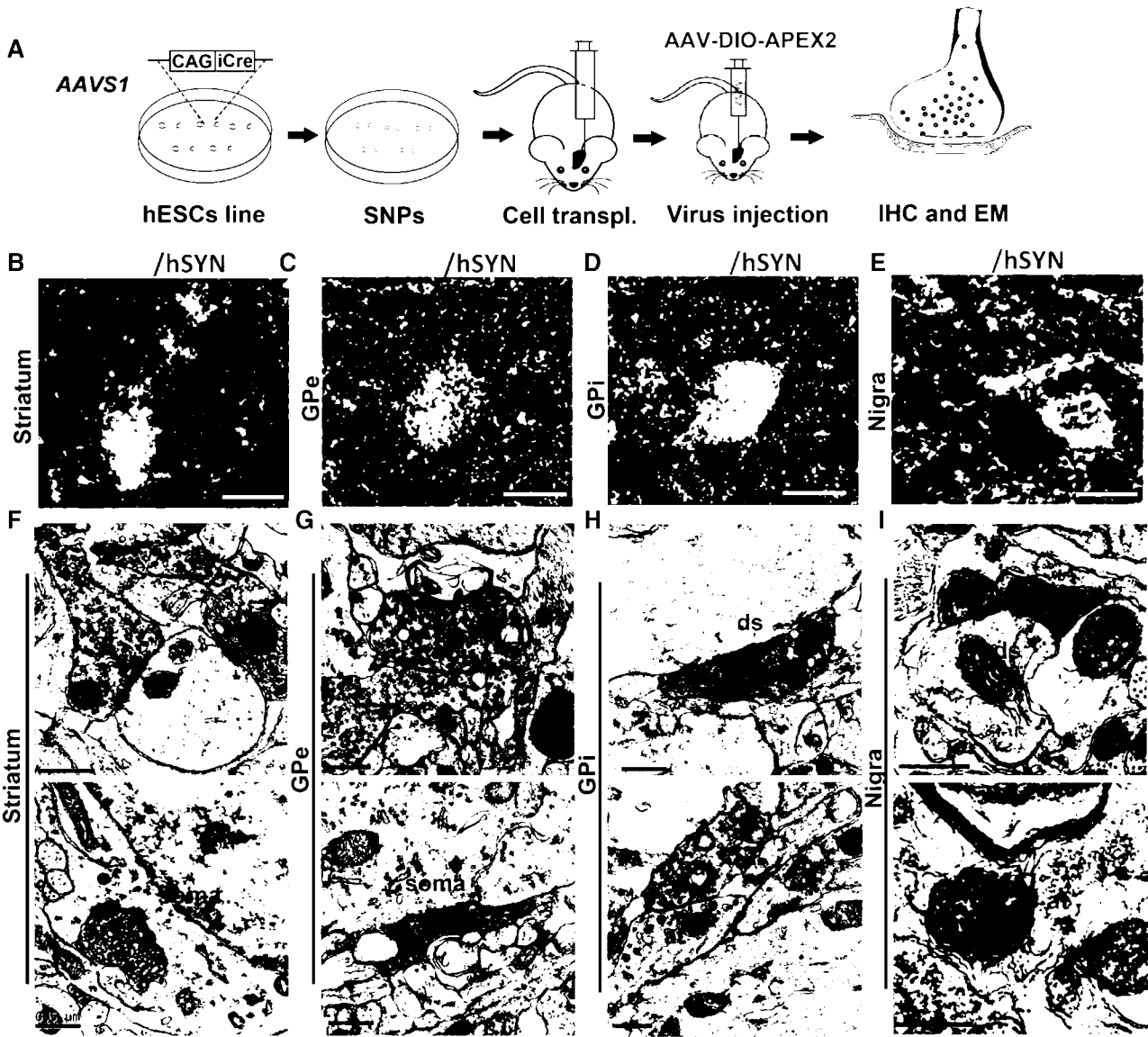


Figure 4

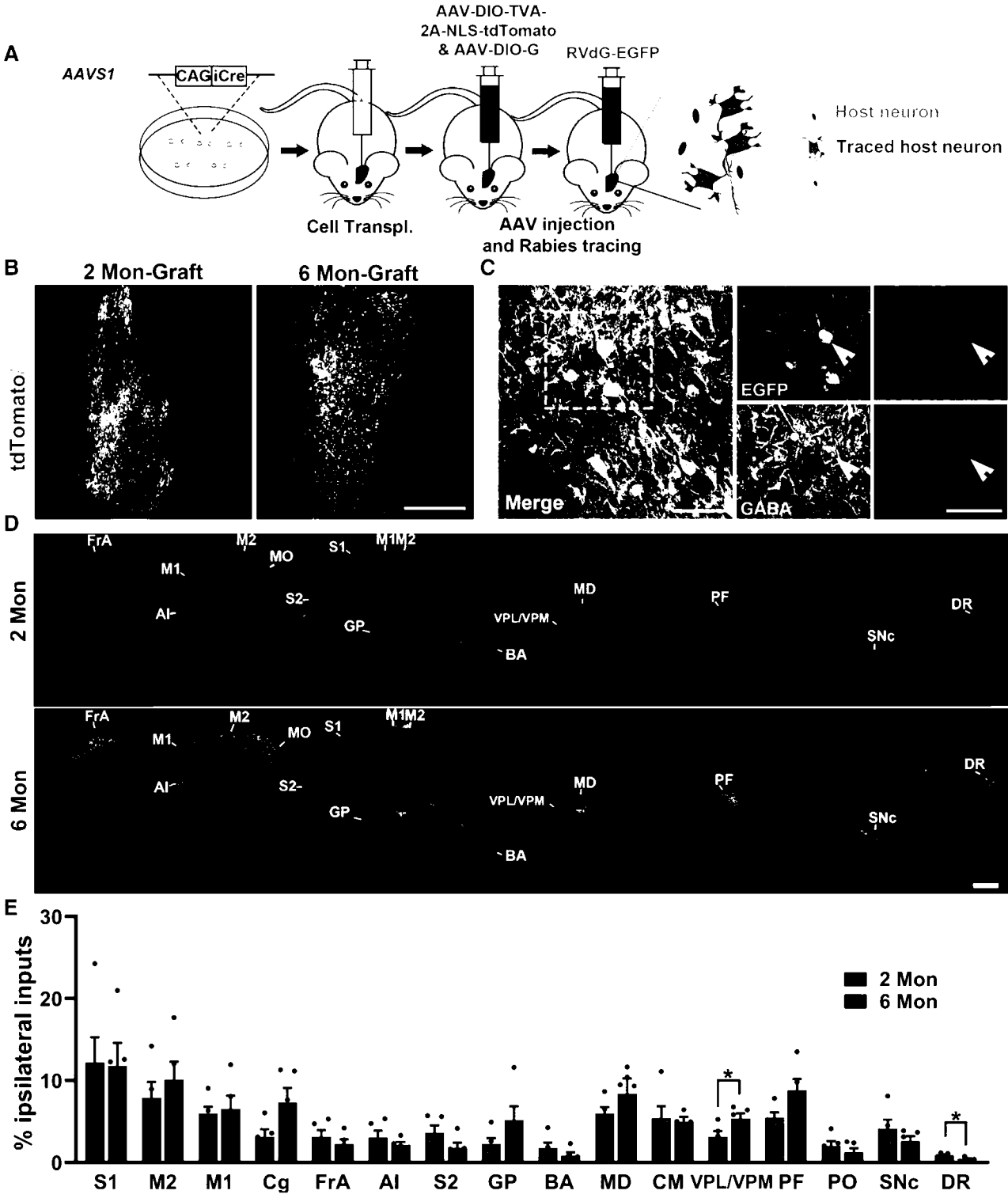


Figure 5

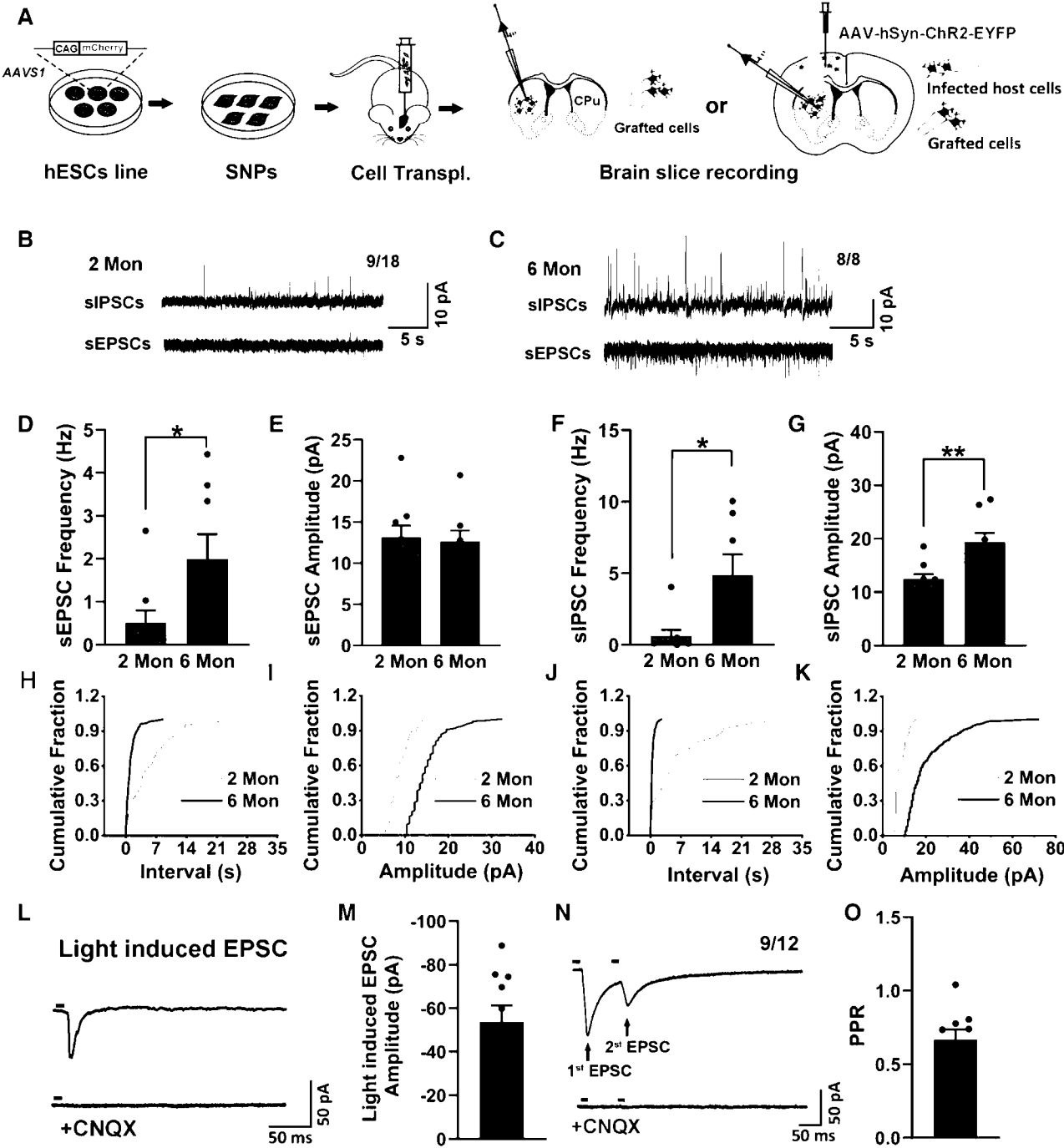


Figure 6

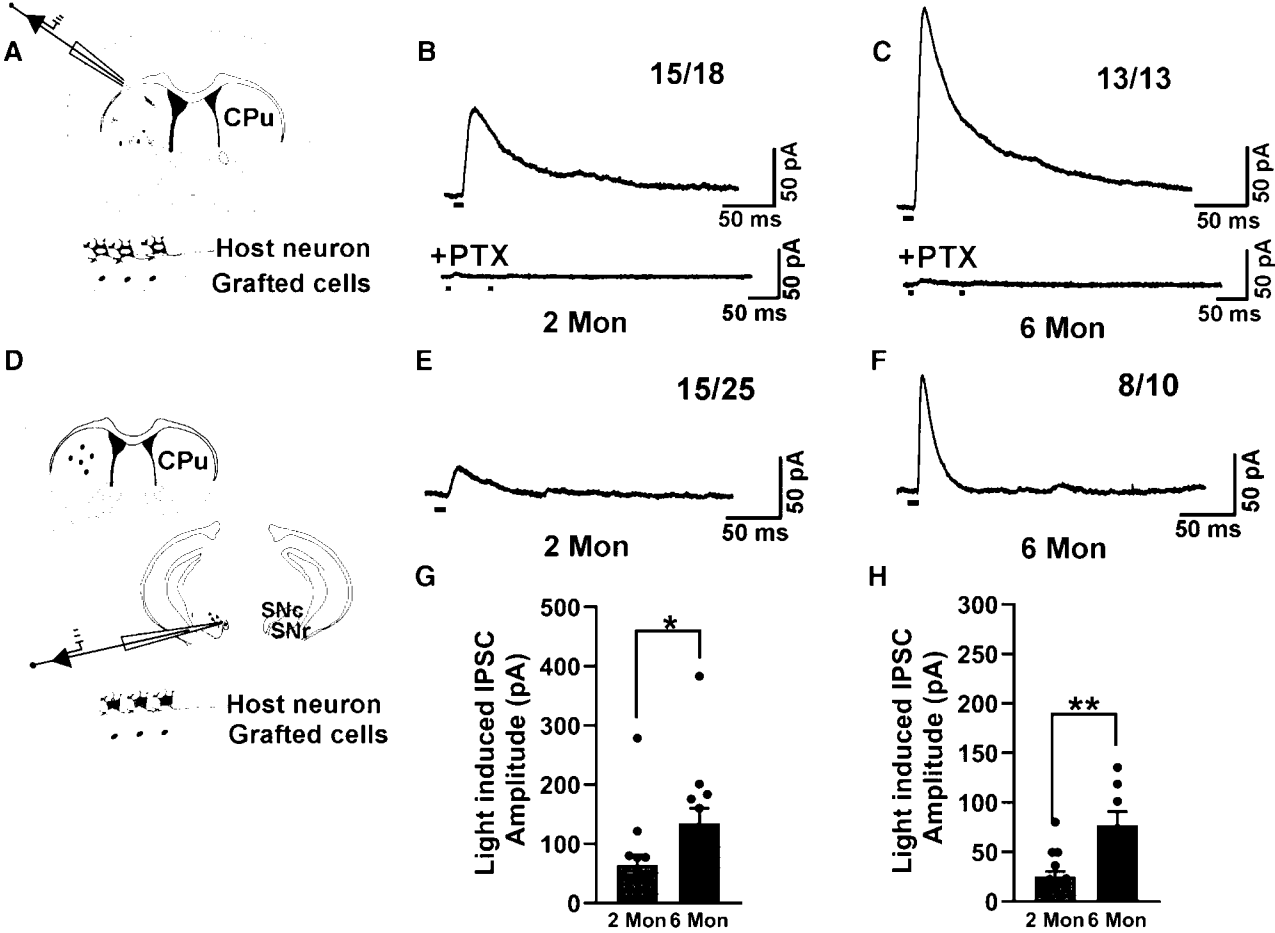


Figure 7

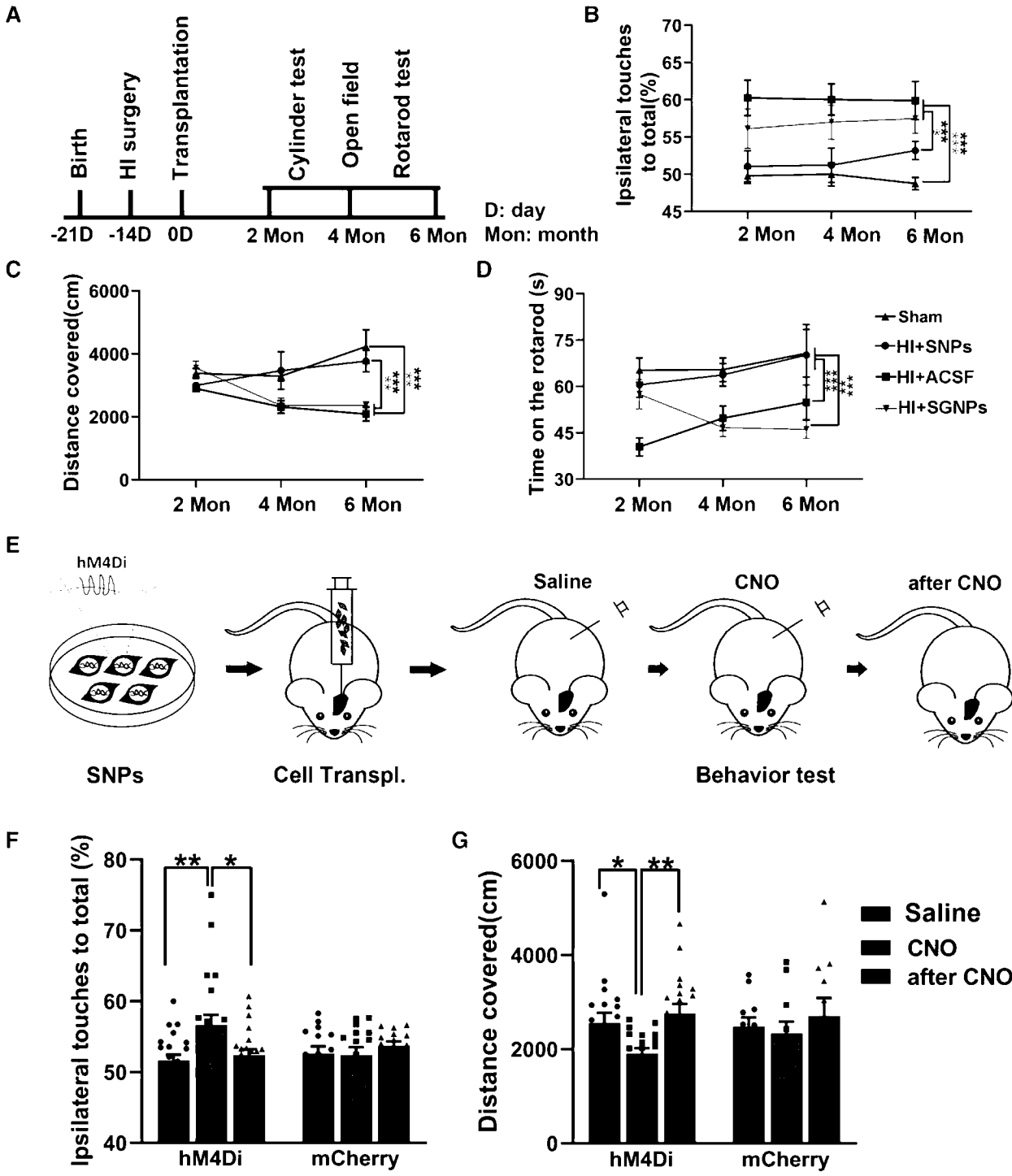


Figure 8

INTERNATIONAL SEARCH REPORT

International application No.

PCT/CN2023/134801

A. CLASSIFICATION OF SUBJECT MATTER A61K35/12(2015.01)i; A61K35/00(2006.01)i; A61P25/00(2006.01)i 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: A61K,A61P 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 practicable, search terms used) DWPI, VEN, WPABS, CNTXT, WOTXT, ENTXTC, WPABSC, CNKI, CJFD, ISI WEB OF SCIENCE, SPRINGERLINK, PUBMED, SPRINGERLINK, ELSEVIER SCIENCE DIRECT, GOOGLE scholar, baidu scholar: striatal, neural, progenitor +, hypoxic+, +ischemic, encephalopathy, HIE, fate+, ganglia+, thalamic, BGT, lesion+, central, gray matter, damage, motor, impairment, SOX2, FOXG1, Ctip-2, Meis-2, NANOG, OCT3/4, GABA, DARPP32, Ctip2, SNr, GPe, GPi, GABAergic, spiny, projection, neuron+, striatum, brain, injury, +pallidum, +nigrostriatal		
C. DOCUMENTS CONSIDERED TO BE RELEVANT		
Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
PX	Xiaoli Ji et al. "Functional reconstruction of the basal ganglia neural circuit by human striatal neurons in hypoxic-ischaemic injured brain" <i>Brain</i> , Vol. 146, No. 2, 15 December 2022 (2022-12-15), 612-628 ISSN: 0006-8950, pages 612-628	1-13
Y	YANG Min et al. "Differentiation of Neural Progenitor Cells Originated from Embryonic Stem Cells in Hippocampus of Hypoxic-Ischemic Brain Damage in Mice" <i>Journal of Shanghai Jiaotong University (Medical Science)</i> , Vol. 26, No. 7, 31 July 2006 (2006-07-31), 733-737 ISSN: 1674-8115, pages 733-737	1-8
☒ Further documents are listed in the continuation of Box C. ☒ See patent family annex.		
* Special categories of cited documents: "A" document defining the general state of the art which is not considered to be of particular relevance "D" document cited by the applicant in the international application "E" earlier application or patent but published on or after the international filing date "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified) "O" document referring to an oral disclosure, use, exhibition or other means "P" document published prior to the international filing date but later than the priority date claimed "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention "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 08 February 2024		Date of mailing of the international search report 28 February 2024
Name and mailing address of the ISA/CN CHINA NATIONAL INTELLECTUAL PROPERTY ADMINISTRATION 6, Xitucheng Rd., Jimen Bridge, Haidian District, Beijing 100088, China		Authorized officer DOU,BoJian Telephone No. (+86) 010-62089430

INTERNATIONAL SEARCH REPORT

International application No.

PCT/CN2023/134801

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y	Laetitia Aubry et al. "Striatal progenitors derived from human ES cells mature into DARPP32 neurons in vitro and in quinolinic acid-lesioned rats" <i>PNAS</i> , Vol. 105, No. 43, 28 October 2008 (2008-10-28), 16707-16712 ISSN: 0027-8424, pages 16707-16712	1-13
Y	Lin Lin et al. "In Vitro Differentiation of Human Neural Progenitor Cells Into Striatal GABAergic Neurons" <i>Stem Cells Translational Medicine</i> , Vol. 4, No. 7, 13 May 2015 (2015-05-13), 775-788 ISSN: 2157-6564, pages 775-788	5-7
Y	CN 101489582 A (AICHI PREFECTURE) 22 July 2009 (2009-07-22) abstract, claims 1-18	9-13
A	CN 102458425 A (Ethicon Inc.) 16 May 2012 (2012-05-16) claims 1-36	1-13
A	CN 1273534 A (UNIV CALIFORNIA) 15 November 2000 (2000-11-15) abstract, claims 1-21	1-13
A	US 2003060398 A1 (NEUREN PHARM LTD. et al.) 27 March 2003 (2003-03-27) abstract, claims 1-35	1-13

INTERNATIONAL SEARCH REPORT

International application No.

PCT/CN2023/134801

Box No. II Observations where certain claims were found unsearchable (Continuation of item 2 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.: **13**
because they relate to subject matter not required to be searched by this Authority, namely:

The subject matter of claim 13 relates to a method of preventing and/or treating hypoxic-ischemic encephalopathy (HIE), and therefore according to the criteria set out in Rule 39.1(iii), relates to subject matter for which an international search is not required. However, an international search is carried out on the basis of the striatal neural progenitors in the manufacture of a medicament for treating a subject.
2. ☐ Claims Nos.:
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:
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).

INTERNATIONAL SEARCH REPORT
Information on patent family members

International application No.

PCT/CN2023/134801

Patent document cited in search report			Publication date (day/month/year)	Patent family member(s)		Publication date (day/month/year)
CN	101489582	A	22 July 2009	CA	2652675 A1	29 November 2007
				CA	2652675 C	24 November 2015
				KR	20090018821 A	23 February 2009
				KR	101368742 B1	28 February 2014
				JPWO	2007136042 A1	01 October 2009
				JP	5279491 B2	04 September 2013
				US	2009196858 A1	06 August 2009
				WO	2007136042 A1	29 November 2007
				EP	2042190 A1	01 April 2009
				EP	2042190 A4	30 May 2012
CN	102458425	A	16 May 2012	US	2010158880 A1	24 June 2010
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