

Correlating the clinical actions and molecular mechanisms of general anesthetics

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Purpose of review

To summarize recent in-vitro and in-vivo research on molecular mechanisms of general anesthetics' actions.

Recent findings

Classes of general anesthetics with distinct clinical profiles appear to induce amnesia, hypnosis, and immobility via different molecular targets. Propofol, etomidate, and barbiturates produce profound amnesia and hypnosis, but weak immobility, by enhancing the activity of specific gamma-aminobutyric acid typeA receptors. In contrast, nitrous oxide, xenon, and ketamine produce analgesia, but weak hypnosis and amnesia, by inhibiting glutamate and nicotinic receptors and activating potassium 'leak' channels such as TREK-1. Volatile halogenated anesthetics show little selectivity for molecular targets. They act on all the channels mentioned above, and other targets such as glycine receptors and mediators of neurotransmitter release.

Summary

Several clinically distinct 'anesthetic states' are induced by different classes of drugs acting on neuronal circuits via different molecular targets. Understanding the mechanisms underlying the therapeutic and toxic actions of general anesthetics helps us reframe the 'art' of anesthesia into more of a 'science'. These studies also enhance efforts to develop new drugs with improved clinical utility.

Keywords

amnesia, gamma-aminobutyric acid receptor, general anesthesia, glutamate receptor, hypnosis, immobility

Introduction

One hundred and sixty years after inhaled general anesthetics were widely adopted into clinical practice, the mechanisms underlying their therapeutic actions remain uncertain. Starting with Meyer and Overton's observations and continuing until a few decades ago, general anesthetics were thought to act indirectly, through perturbation of neuronal membrane lipids. This theory derived from Claude Bernard's Unitary Hypothesis, which postulated that anesthetics with widely varying chemical structures all acted through a common mechanism.

The hypothesis that all anesthetics produce the same neurobiological state is demonstrably false. General anesthesia includes three essential neurobiological effects: amnesia, hypnosis, and immobility. Respectively, these actions represent ablation of first, antegrade memory formation, second, perceptive awareness (responses to nonnoxious stimuli), and third, movement in response to painful stimuli. Each of these actions is produced at distinct anesthetic drug concentrations, demonstrating that general anesthesia is not a simple 'all-or-nothing' state change induced in the nervous system. Different anesthetic agents also display different relative potencies and efficacies for these distinct neurobiological actions.

This article reviews recent data regarding molecular and cellular mechanisms of anesthetic actions. Research on the molecular targets for general anesthetics has shifted from lipids to ion channels and receptors that rapidly alter neuronal excitability. Molecular genetics has enabled both in-vitro studies of specific putative targets, as well as in-vivo studies of transgenic animals that may lack a specific target (i.e. 'knock-outs') or contain a mutation in that target (i.e. 'knock-ins'). Recent studies reveal that different classes of general anesthetics act via different sets of target molecules, emphasizing the existence of 'multiple mechanisms and multiple sites' [1].

Clinical classification of general anesthetics

The clinical actions of general anesthetics are not all equal. Potencies for many clinically used anesthetics have been evaluated for two major therapeutic actions: immobility and hypnosis. The Minimum Alveolar Concentration for inhaled anesthetics producing immobility (MAC-immobility) is considered a standard measure of anesthetic potency, and plasma concentrations for intravenous agents (Cp50-immobility) can be evaluated in a similar manner. Analogous potency measurements for hypnosis

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Abbreviations

| | |
|-------------------------|---|
| AMPA | α-amino-3-hydroxy-5-methyl-4-isoxazole propionic acid |
| EEG | electroencephalogram |
| GABA_A | gamma-aminobutyric acid typeA |
| LORR | loss of righting reflexes |
| MAC | minimum alveolar concentration |
| NMDA | N-methyl-D-aspartate |

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Table 1 General anesthetic classification based on clinical features and molecular targets

| | Group 1 | Group 2 | Group 3 |
|----------------------------------|--|---|--|
| General anesthetics | Etomidate, propofol, pentobarbital | Nitrous oxide, ketamine, xenon, cyclopropane | Halogenated ethers (e.g. isoflurane, sevoflurane, desflurane) and alkanes (e.g. halothane, chloroform) |
| Clinical features | Strong hypnotics Strong amnestics Weak immobilizers Slow cortical EEG | Weak hypnotics Weak immobilizers Potent analgesics No EEG slowing | Strong hypnotics Strong amnestics Strong immobilizers Slow cortical EEG |
| Ratio of MAC-immob. to MAC-awake | 4 (propofol) | 1.5 (N ₂ O)-2 (Xe) | 2 (halothane)-3 (halogenated ethers) |
| Molecular targets | GABA _A receptors (β ₃ and β ₂ subunits) | NMDA receptors AMPA receptors Neuronal nAChRs 2-pore K ⁺ channels | GABA _A receptors Glycine receptors Glutamate receptors (NMDA and AMPA) Neuronal nAChRs 2-pore K ⁺ channels |

EEG, electroencephalogram; NMDA, *N*-methyl-D-aspartate; GABA_A, gamma-aminobutyric acid subtypeA; AMPA, α-amino-3-hydroxy-5-methyl-4-isoxazole propionic acid.

(MAC-awake or Cp50-awake) have been documented for many anesthetics [2]. To date, potencies for amnesia are not as thoroughly studied. Other anesthetic actions, such as production of analgesia, protection from ischemia, cardiovascular effects, and postoperative nausea and vomiting (PONV) also vary widely among anesthetic agents.

Clinical observations, as well as comparison of potencies for different essential actions, indicate that general anesthetics can be broadly classified into three groups (Table 1) [3]. Etomidate, propofol, and barbiturates (group 1) are all intravenous drugs that are efficacious sedative/hypnotic agents, but are relatively weak immobilizers. For propofol, hypnosis is achieved at plasma concentrations around 3 μg/ml, whereas immobility during skin incision requires four-fold higher concentrations [4]. All of these drugs cause slowing of the cortical EEG, and EEG-based anesthetic depth monitors can be used to monitor their effects [5]. In stark comparison to propofol is the gaseous anesthetic nitrous oxide (N₂O), which shares its clinical action profile with ketamine, xenon (Xe), and cyclopropane (Group 2). These drugs are weak hypnotics and immobilizers, but strong analgesics (an action that is not demonstrable in other general anesthetics). Group 2 anesthetics are also associated with cardiovascular stability and a high frequency of reported dreamlike experiences. N₂O produces hypnosis at about 0.7 atm, and immobility is estimated to occur at 1.05 atm [2]. Thus, the ratio of MAC-immobility to MAC-awake for N₂O is only 1.5. Moreover, group 2 drugs either increase or do not alter cortical EEG frequencies, so anesthetic depth monitoring is not sensitive to the hypnotic effects of these agents [6,7]. Volatile halogenated anesthetics (group 3: halothane, enflurane, isoflurane, sevoflurane, desflurane, etc.) are notable for their efficacy at inducing amnesia, hypnosis and immobility in a predictable manner. The ratio of MAC-immobility to MAC-awake for group 3 drugs is between that for propofol

and N₂O, ranging from 2 to 3 [2]. Group 3 drugs are also known to produce amnesia at concentrations (partial pressures) lower than those that produce hypnosis. Volatile anesthetics slow the cortical EEG and anesthetic depth monitoring works well with these agents.

Etomidate, propofol, and barbiturates (group 1)

Molecular studies have now demonstrated that hypnosis and immobility produced by etomidate, propofol, and barbiturates are mediated by specific gamma-aminobutyric acid typeA (GABA_A) receptors. GABA_A receptors are the major inhibitory neurotransmitter-gated ion channels in the human brain. Each receptor consists of five homologous subunits arranged symmetrically around a gated chloride channel. Each subunit shares a topology with all members of the cys-loop ligand-gated ion channel superfamily: a large extracellular N-terminal domain, four transmembrane domains (TM1-4), and a large intracellular loop between TM3 and TM4. Genetic techniques have identified 18 different GABA_A receptor subunits: α₁₋₆, β₁₋₃, γ₁₋₃, δ, ε, π, and ρ₁₋₃. The most common GABA_A receptor subunit composition and stoichiometry is 2α:2β:1γ. When GABA_A receptors are activated in the presence of group 1 anesthetics and submaximal concentrations of GABA, channel activation is enhanced. GABA-mediated inhibitory postsynaptic currents are also prolonged in the presence of these anesthetics. Thus, group 1 anesthetics decrease neuronal excitability by enhancing the activity of inhibitory GABA_A receptors.

A number of correlative studies support the hypothesis that GABA_A receptors mediate anesthesia in the presence of group 1 drugs. Etomidate has a chiral carbon and R(+)-etomidate is 10-fold more potent than S(-)-etomidate at inducing loss of righting reflexes (LORR, a surrogate test for hypnosis) in tadpoles and mice, and exactly the same

degree of stereoselectivity is observed in molecular studies of GABA_A receptor modulation by etomidate [8]. Picrotoxin is a convulsant that acts by selectively blocking GABA_A receptors, and when it is administered intrathecally, Cp50-immobility for propofol in mice increases four-fold [9].

Definitive experiments linking GABA_A receptors to anaesthesia grew out of molecular studies identifying mutations that selectively altered receptor sensitivity to anaesthetics. Varying the subunits in GABA_A receptors expressed in cells led to observations that receptors containing β_2 and β_3 subunits were sensitive to etomidate and propofol, while those containing β_1 subunits were insensitive. Using molecular genetics, chimeric subunits containing parts of β_1 and $\beta_{2/3}$ were created, and researchers identified several amino acids that, when mutated, determined receptor sensitivity to etomidate and propofol [10]. Mutations that changed the asparagine (N) at position 265 in the β_2 or β_3 peptide sequences to methionine (M) or serine (S) were introduced into the genome of mice (i.e. 'knock-in' transgenic animals). Mice containing the β_3 (N265M) mutation are insensitive (at least a four-fold reduction in sensitivity) to both propofol and etomidate anaesthesia, specifically limb withdrawal to pinch (a surrogate test for immobility) and LORR [11,12]. Mice containing the β_2 (N265S) mutation show normal sensitivity to anaesthetics for hypnosis and immobility, but at low concentrations of anaesthetics they are less sedated than wild-type mice [13]. These results indicate that hypnosis and immobility are mediated by GABA_A receptors containing β_3 subunits, while sedation is linked to receptors containing β_2 subunits.

Transgenic mice lacking GABA_A receptor α_5 subunits exhibit resistance to the amnesic (but not hypnotic) effects of etomidate [14[•]], providing further evidence that specific anaesthetic endpoints are produced at distinct molecular sites. An anaesthetic photolabel analog of etomidate has been synthesized and was recently found to covalently modify both α and β subunits of purified bovine GABA_A receptors [15^{••}]. If mutations that selectively reduce etomidate sensitivity can be identified in the photolabeled region of α subunits, we may learn more about how different anaesthetic binding sites on GABA_A receptors mediate the specific neurobiological effects of anaesthetics.

The transgenic β_3 (N265M) mice have revealed that some of the undesirable effects of propofol and etomidate anaesthesia are also linked to the β_3 GABA_A receptor subunits. Respiratory depression is one of these. Recently, immobility and hypnosis induced by pentobarbital were shown to be dramatically reduced in β_3 (N265M) mice but, surprisingly, respiratory depression was not [16[•]].

Other important clinical effects of propofol and etomidate are clearly not linked to GABA_A receptors. Etomidate inhibits adrenal cortisol synthesis, an effect that has been linked to inhibition of 11 β -hydroxylase and 17 α -hydroxylase enzymes. One of the clinical advantages provided by etomidate is cardiovascular stability. This unique feature may be due to etomidate activation of α_{2B} adrenergic receptors [17]. In wild-type mice, etomidate raises blood pressure, whereas in mice lacking α_{2B} adrenoreceptors, no increase in blood pressure occurs. Propofol is often selected for patients at risk for PONV, because it apparently has antiemetic activity. Recent studies suggest that this unique feature of propofol anaesthesia may be caused by indirect activation of cannabinoid receptors [18]. Propofol was found to inhibit fatty acid amide hydrolase, an enzyme that degrades the endogenous cannabinoid receptor agonist, anandamide.

Nitrous oxide, xenon, cyclopropane and ketamine (group 2)

Unlike group 1 drugs, N₂O, Xe, cyclopropane and ketamine have minimal effects on GABA_A receptors at clinically relevant concentrations. All of these anaesthetics are potent inhibitors of *N*-methyl-D-aspartate (NMDA) receptors, however [19–22]. NMDA receptors belong to the family of excitatory ionotropic glutamate receptors that also include α -amino-3-hydroxy-5-methyl-4-isoxazole propionic acid (AMPA) and kainate receptors. Glutamate receptors constitute the major excitatory neurotransmitter-gated ion channels in the human brain. Seven NMDA receptor subunits have been identified: NR1, NR2 (A through D), and NR3 (A and B). Unlike the pentameric GABA_A receptor, the NMDA receptor is composed of only four subunits, and within each subunit the second 'transmembrane' region (TM2) is actually a re-entrant loop that does not traverse the cell membrane. Thus NMDA receptor subunits possess only three true transmembrane regions (TM1, TM3 and TM4), and the C-terminal domain resides intracellularly. In the presence of N₂O, Xe, cyclopropane or ketamine, NMDA receptor-mediated excitatory postsynaptic currents are markedly inhibited.

Correlative studies suggest that ketamine anaesthesia is mediated (at least in part) by NMDA receptor inhibition. Like etomidate, ketamine possesses a chiral carbon, and in voltage-clamped rat hippocampal neurons S-ketamine was 1.9 times more potent than R-ketamine at inhibiting NMDA receptors, mirroring the relative stereoselectivity of the anaesthetic's actions *in vivo* [21].

Transgenic mice lacking the NMDA receptor ϵ_1 subunit (homologous to the human NR2A subunit) show resistance to the LORR produced by ketamine [23]. The same mice also demonstrate resistance to immobility and LORR produced by N₂O [24]. Nagele *et al.* [25] showed that in

the nematode *Caenorhabditis elegans*, a null mutation of the gene *nmr-1* (encoding an NMDA-type receptor) renders the organism resistant to the behavioral effects of N₂O. The altered behavior in the presence of N₂O was noted to be distinct from that produced by halogenated anesthetics. Furthermore, a mutation that confers resistance to halogenated anesthetics did not confer resistance to N₂O, proving that N₂O and halogenated anesthetics have distinct mechanisms of action in *C. elegans*. The behavioral effects of Xe in wild-type *C. elegans* were found to be similar to those produced by N₂O, but were only attenuated when a different, non-NMDA glutamate receptor (*glr-1*, most similar to the mammalian AMPA receptor) was deleted [26], suggesting that non-NMDA glutamate receptors may also play a role in mediating anesthetic effects. Electrophysiological experiments using heterologously expressed receptors demonstrate that Xe and N₂O inhibit both human NMDA and AMPA receptors [27,28].

A recent study by Colloc'h *et al.* [29^{*}] demonstrated that N₂O and Xe bind to the same hydrophobic sites in the model proteins urate oxidase and annexin V, causing expansion of the binding cavity and thus altering protein conformation. These results suggest the possibility of a common binding site and molecular mechanism of action for N₂O and Xe at their target receptor(s).

Although NMDA receptor blockade may play a role in mediating the immobility produced by N₂O, Xe, cyclopropane and ketamine, it is insufficient by itself to achieve immobility. The selective NMDA receptor antagonist MK-801 reduces MAC for anesthetics, yet does not produce immobility when administered by itself [30]. The failure of selective NMDA receptor antagonists to produce immobility proves that other molecular targets must be involved in this action of group 2 general anesthetics.

Group 2 anesthetics have also been shown to inhibit $\alpha_4\beta_2$ neuronal nicotinic acetylcholine receptors [22,27,31]. Stereospecific actions of ketamine that correlate with in-vivo potency have also been demonstrated in nicotinic acetylcholine receptors [32]. Although these receptors do not contribute significantly to immobility [33], they may be important mediators of anesthetic-induced amnesia [34]. N₂O, Xe and cyclopropane also activate TREK-1, a member of the two-pore (2P) domain potassium channel family [35]. TREK-1 is a 'background leak' K⁺ channel that is highly expressed in the brain and spinal cord, and regulates the resting membrane potential of neurons. In addition to gaseous and volatile anesthetics, TREK-1 channels are also activated by heat, membrane stretch, intracellular acidosis and local anesthetics. Opening of TREK-1 channels increases potassium conductance, clamping membrane voltages near their resting values and decreasing excitability of neurons. A TREK-1 knock-out mouse has been reported, but it is unknown whether

the loss of this potential target reduces sensitivity to group 2 anesthetics.

Halogenated volatile anesthetics (group 3)

The halogenated volatile anesthetics used in modern clinical practice (namely isoflurane, sevoflurane and desflurane) all share common clinical characteristics, including reliable amnesia, hypnosis and immobility. They all have similar MAC-immobility/MAC-awake ratios near 3 [2]. Although differences exist among these anesthetics in terms of their uptake and distribution kinetics, it is reasonable to hypothesize that these chemically similar agents (all halogenated ethers) share sites and mechanisms of actions. Halothane (a halogenated alkane) is similar to halogenated ethers in many respects but it possesses a significantly lower MAC-immobility/MAC-awake ratio of 2 (similar to Xe) [2], suggesting that there may be differences in the molecular mechanisms by which halogenated alkanes and ethers achieve hypnosis and immobility. Although all anesthetics presumably produce amnesia and hypnosis in the brain, studies have demonstrated that volatile agents produce immobility primarily via actions in the spinal cord [36]. A recent study by Antognini *et al.* [37^{*}], however, showed that MAC-immobility for *o*-difluorobenzene, a volatile anesthetic that potently inhibits NMDA receptors, does not change when the anesthetic is delivered selectively to the brain. This result suggests that the selectivity of anesthetics for specific molecular targets also determines their anatomic sites of action.

Halogenated ethers and alkanes constitute a group of anesthetics that are notable for their lack of selectivity for potential anesthetic target molecules. Volatile anesthetics modulate GABA_A receptors, although with less selectivity than group 1 anesthetics, and they also affect the targets associated with group 2 anesthetics.

Halogenated volatile anesthetics have been shown to enhance the function of many types of inhibitory GABA_A and glycine receptors. Using receptor subunit chimeras that combined portions of the anesthetic-sensitive glycine receptor α_1 subunit and the anesthetic-insensitive GABA_A receptor ρ_1 subunit, Mihic *et al.* [38] determined that amino acid residues in TM2 and TM3 are critical for anesthetic sensitivity. Subsequently, specific amino acids in both α and β subunits of GABA_A receptors were shown to affect anesthetic sensitivity, supporting the idea that volatile anesthetics bind to receptor sites to produce their effects.

Pharmacologic and genetic studies, however, suggest that GABA_A receptors play a limited role in mediating volatile anesthetic effects. Intrathecal infusion of the GABA_A receptor inhibitor picrotoxin increases the MAC for isoflurane in rats by about 40% [39]. Intrathecal picrotoxin also increases MAC by about 40% for Xe and cyclopropane,

neither of which appreciably enhance GABA_A receptors *in vitro* [40]. Thus, the MAC increase for volatiles observed with picrotoxin is probably due to an indirect effect.

Transgenic mice lacking the GABA_A receptor β_3 subunit require higher concentrations of halothane and enflurane to achieve immobility compared with wild-type mice, although the increases in MAC are small (9% and 26%, respectively) [41]. No change in anesthetic requirement was observed for LORR in β_3 subunit knockout mice, suggesting that volatile anesthetic-induced immobility and hypnosis are produced at different sites. Transgenic mice bearing the point mutation N265M in the β_3 subunit are largely insensitive to the effects of propofol and etomidate, but MAC for isoflurane, enflurane and halothane in these mice is only increased by about 20% [12]. Surprisingly, these β_3 (N265M) mice also exhibit a 13% increase in MAC for cyclopropane.

A point mutation in the GABA_A receptor α_1 subunit (serine to histidine at position 270) eliminates receptor enhancement by isoflurane and desflurane (but not halothane) *in vitro*. Knock-in mice with the α_1 S270H mutation and another L277A mutation (that normalizes GABA sensitivity) show modestly increased requirements for isoflurane and enflurane (but not halothane) to induce LORR [42**]. MAC-immobility did not differ from wild-type mice, however, suggesting that α_1 subunit-containing GABA_A receptors mediate isoflurane and enflurane hypnosis, but not immobility.

Pharmacologic studies suggest that glycine receptors play a role in mediating volatile anesthetic-induced immobility. Intrathecal administration of strychnine (a glycine receptor inhibitor) increases MAC for inhaled anesthetics, correlating with the relative magnitudes of glycine receptor enhancement *in vitro* (halothane > isoflurane > cyclopropane) [43]. Even in combination, however, intrathecal administration of strychnine and picrotoxin reduce MAC for isoflurane only by about 40% [39], suggesting that targets other than GABA_A and glycine receptors contribute to isoflurane immobility.

Many of the two-pore domain K⁺ channels, including TREK-1, TREK-2, TASK-1, TASK-2, TASK-3 and TREK, are activated by clinical concentrations of volatile anesthetics [35,44,45]. TREK-1 knockout mice show modestly increased volatile anesthetic MAC-immobilities (up to a 48% increase for halothane) [46], suggesting that TREK-1 contributes to this action. Other volatile anesthetic-sensitive K⁺ channels such as TASK-2 do not appear to contribute to immobility [47], although they may play roles in mediating other anesthetic effects.

Like N₂O, Xe and cyclopropane, the volatile anesthetics also inhibit excitatory glutamate receptors in the CNS,

but at concentrations equivalent to 1 MAC, the halogenated anesthetics inhibit NMDA receptors less than the gaseous anesthetics [48*]. Additional evidence linking these receptors to volatile anesthetic actions is lacking. NMDA receptor ϵ_1 subunit knockout mice that exhibit resistance to ketamine and N₂O show no resistance to sevoflurane [24]. Similarly, kainate receptor GluR6 subunit knockout mice exhibit no change in MAC for isoflurane, desflurane or halothane [49].

A variety of other ion channels are sensitive to volatile anesthetics, including neuronal nicotinic acetylcholine receptors [50], serotonin type 3 receptors [51], Na⁺ channels [52], mitochondrial ATP-sensitive K⁺ channels [53], and cyclic nucleotide-gated HCN channels [54]. These receptors have been proposed to play important roles in hypnosis, amnesia, immobility, and protection from ischemia, as well as undesirable side effects of volatile anesthetics.

Taken together, current data suggest that the volatile group 3 anesthetics act nonselectively at a number of molecular targets to produce each of the essential clinical effects (amnesia, hypnosis, and immobility). Optimistic investigators hypothesize that a modest number of important targets can be identified, which may be demonstrated in molecular genetic experiments.

Conclusion

Data from both in-vitro molecular studies and transgenic animals demonstrate different degrees of target selectivity for different groups of anesthetics. Group 1 drugs (etomidate, propofol, and barbiturates) act primarily through specific GABA_A receptors associated with different subunit types. Group 2 drugs (N₂O, Xe, ketamine, and cyclopropane) appear to act via a small number of targets, including glutamate receptors and two-pore potassium channels. Group 3 volatile anesthetics are the least selective group, affecting a wide range of plausible molecular targets. Some important correlations between molecular targets and clinical features of anesthetics are also emerging. Strong hypnosis and amnesia appear to be linked to enhancement of GABA_A receptors for both group 1 and 3 anesthetics. Group 1 and 3 drugs also produce graded slowing of cortical EEG frequencies, providing useful methods for assessing anesthetic depth. Analgesia, although not an essential component of anesthesia, is a desirable effect of group 2 anesthetics that correlates strongly with NMDA receptor inhibition. Links between molecular targets and other therapeutic and toxic effects of various anesthetics have also been revealed by molecular studies. In addition, pharmacological structure–function studies are revealing features that influence which anesthetics act at important targets. The powerful combination of modern molecular and pharmacological approaches will undoubtedly continue to identify the targets responsible

for anesthetic actions, and the development of more specific agents with improved side-effect profiles will likely follow.

References and recommended reading

Papers of particular interest, published within the annual period of review, have been highlighted as:

- of special interest
- of outstanding interest

Additional references related to this topic can also be found in the Current World Literature section in this issue (pp. 389–390).

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