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**Contributions regarding the study
on antitumor and antibacterial activities
of *Usnea barbata* (L.) F.H.Wigg.
extracts in the oral and dental pathology**

Abstract of PhD Thesis

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Contributions regarding the study on antitumor and antibacterial activities of extracts of Usnea barbata (L.) F.H.Wigg.in oral and dental pathology - ABSTRACT

“There is a means of expression accessible to all in the world: it is the language of enthusiasm, of things done with love and perseverance looking for something you want or you believe in ...”
(Paulo Coelho)

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INTRODUCTION

In the recent years there has been a tendency to supplement the action of synthetic drugs with natural remedies, given that synthetic drugs have, besides the therapeutic benefits, multiple side effects and adverse effects [29, 45, 48, 59].

A problem of the world medical interest is the appearance of resistance of pathogenic bacteria to the usual antibiotics; this phenomenon required extensive research for the discovery of new antibacterial structures [48-72]. To this end, complex teams of researchers are studying the mechanisms of antibiotic resistance, while pursuing new ways of obtaining alternative natural remedies with antibacterial action [52, 85, 86, 116].

Another remarkable aspect is that many plant species have antioxidant properties, mainly due to the polyphenol content; they play an important role, both in the normal growth and development of plants, as well as in the optimization of the defense abilities against oxidative stress [30, 180, 181]. Oxidative stress is involved in the generation and development of more than 200 severe diseases, including: cardiovascular disease, Parkinson's disease, Alzheimer's disease, periodontal disease and various forms of cancer, including oropharyngeal cancer [172, 184].

The periodontal disease or the periodontitis is a multifactorial disease in which, the association between the action of the bacteria that make up the dental plate and the genetic factors is of particular importance in its later appearance and evolution.

The cancer is a heterogeneous class of disorders, characterized by uncontrolled cell division and their ability to invade nearby tissues and to metastasize, lymphatically or hematogenously, loco-regionally or remotely, into other tissues and organs; it has an overall incidence estimated at 6 million cases per year, being the second major cause of death after cardiovascular disease [7].

The oro-maxillo-facial malignancies are generally characterized by: infiltrative-destructive tumor growth with local invasion and loco-regional and distant metastatic dissemination (with formation of cervical metastases, or in distant organs) [27, 28].

It is known that most of the synthetic chemotherapies currently used in antitumor therapy develop resistance over time and exhibit non-selective toxicity against normal cells; these side effects,

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combined with adverse reactions and multiple drug interactions, are major drawbacks of chemotherapies [107-114, 169].

Therefore, obtaining of new antibacterial and antitumor drugs remains a major clinical challenge. In this context, the plants represent a valuable source of biologically active natural compounds, and the research is aimed at their use in anti-infectious and anti-cancer therapy [260, 261]; the isolated constituents may be useful as alternative therapeutic agents or, as basic nuclei for new synthetic products, with increased activity and / or reduced toxicity [10, 30, 169-172,].

In the category of plants that have remarkable antitumor, antibacterial and antioxidant properties, lichens are also found [5, 33-38, 45, 59, 111, 159, 160]. They are a unique group in the world of plants and, at the same time, they are the most widespread symbiotic organisms in nature, inhabiting more than 8% of the earth's surface of the earth [1,11, 13, 20, 26].

An important representative of the lichens is the genus *Usnea* Dill. ex. Adans., With over 350 species spread all over the globe; In the literature it is clear that many species of this genus have been used in traditional medicine for thousands of years in the treatment of various diseases [1, 26, 53].

Representatives of the genus *Usnea* Dill.ex Adans are also found in Romania [25, 228]; thus, starting from all the aforementioned considerations, the idea of realising this doctoral thesis was outlined, in which the antitumor and the antibacterial actions of the extracts of *Usnea barbata* (L.) F.H. Wigg., harvested from the Călimani mountains (900 m), Suceava county, which could be applicable in the treatment of oral and dental disorders.

The present doctoral thesis aims to study the therapeutic potential of the species *Usnea barbata* (L.) F.H.Wigg., making a personal contribution to the current data existing in the specialized literature.

GENERAL PART

The first chapter of the thesis describes the lichen species studied, *Usnea barbata* (L.) F.H.Wigg, mentioning its systematic classification.

A general presentation was made to the lichens, briefly presenting their morpho-physiological particularities, as a result of the symbiosis between a fungus and an alga / cyanobacterium; the genus

Usnea was then analyzed, describing at large the primary and secondary metabolites and their biological actions. Towards the end of the first part all these notions presented previously towards the characterization of the species *Usnea barbata* (L.) F.H.Wigg. Were concentrated, with the presentation of the anatomical-morphological and chemical properties, mentioning also the current phytotherapeutic applications.

In the second chapter the oxidative stress was presented, as a result of the overproduction of free radicals of oxygen (SRO), their role in generating a large systemic pathology was highlighted.

In the third chapter, the most common oro-maxillofacial disorders were presented: dental caries, periodontal disease and oro-maxillo-facial malignancies, emphasizing their etiology and treatment.

PERSONAL PART

The second part of the thesis is structured in 4 studies:

Usnea barbata (L.) F.H.Wigg - pharmacognostic analysis;

Determination of the cytotoxic properties of the *Usnea barbata* (L.) F.H.Wigg. dry acetone extract on *Artemia salina* L.;

Evaluation of the antitumor action of the *Usnea barbata* (L.) F.H.Wigg. dry acetone on the lingual carcinoma with CAL 27 squamous cells;

Determination of the antibacterial effects of the *Usnea barbata* (L.) F.H. Wigg extracts on the bacterial species isolated from oropharynx.

I. *Usnea barbata* (L.) F.H.Wigg. - pharmacognostic analysis

Hypothesis of this study: the *Usnea barbata* (L.) F.H.Wigg. extracts contain secondary metabolites that could be used in phytotherapy; this species could have a high content of phenolic compounds with antioxidant properties.

Purpose of the study: obtaining of the *Usnea barbata* (L.) F.H.Wigg. extracts in different solvents, which allow the identification and quantitative determination of chemical constituents; evaluating the antioxidant activity of these extracts and highlighting the correlation between the polyphenolic content and their antioxidant potential.

I.1. Harvesting of the lichen material

The harvesting of the lichen material was realised in March 2016.

The *Usnea barbata* (L.) F.H.Wigg., habitat area is a dense forest of conifers (firs, spruce and pine) located in the high mountain area (Călimani mountains), at an altitude of about 900 m; the specific climate of these places is humid and cold.

The lichens are hanging on the branches and the trunk of the host tree, the most numerous and best developed representatives of the species are found at their peak, at heights of over 2 m; they were collected manually, directly from the conifer branches.

I.2. Obtaining of *Usneae lichen*

The freshly harvested plant material was cleaned by impurities and dried at constant temperature, below 250C, in an airy room, sheltered from the sun's rays. *Usneae lichen* is represented by the *Usnea barbata* (L.) F.H.Wigg. dry *thalli*. After drying, *Usneae lichen* was kept for a long time under the same conditions, in order to use it in the studies that followed.

I.3. Determination of the *Usneae lichen* identity

I.3.1. Macroscopic examination

Material and method

The material taken up was represented by *Usneae lichen*. The macroscopic characters of *Usneae lichen* were observed with the free eye, and its identification was made according to size, color, smell and taste. In the next stage *Usneae lichen* was ground and the peculiarities of the component elements were observed.

Results and discussions

Through the macroscopic examination, the *Usnea barbata* (L.) F.H.Wigg thalli was identified and its general properties were observed: the lichen *thalli* is light greenish-gray, soft, filiform, pendant, 15-20 cm long; it has dichotomous branches, with numerous branches that intersect, fixed by a darker gray opaque stalk. The smell of the dried plant is aromatic, specific, and the taste is bitter.

After evaluating all these morphological aspects, it was established that the harvested vegetable product belongs to *Usnea barbata* (L.) F.H. Wigg.; the fact is confirmed by the Department of Pharmaceutical Botany of the Faculty of Pharmacy of Constanța.

As a result of the grinding, two distinct components have been confirmed, which confirm the structure of a fruticose *thallus* mentioned in literature: a central cord, white-yellow, left intact after grinding and a part in the form of a gray-green powder. The central cord has the appearance of a thin yellow-white thread, which when wet, stretches like a rubber band.

I.3.2. Microscopic examination

Material and method

The parts obtained by grinding *Usneae lichen* (the central cord cut by scissors and powder) were analyzed under microscope.

Results and discussions

By microscopic examination, the symbiotic components of lichen, alga and fungus were identified: the inner part of the lichen - the central cord, homogeneous, consisting of compact mycelium hyphae and the outer part made of cyanophyte algae; existing chlorophyll in the algae gives the lichen its specific color, greenish-gray. In the first microscopic preparation, made from the central axis, the homogeneous composition, represented by the compact mycelium hyphae, was clearly observed; in the second microscopic preparation, made of powder, fragments of algae and rare mycelial hyphae were observed.

I.4. Determining the purity of the lichen product

The determination of the purity of a plant product comprises the following steps: determination of impurities in the same plant and determination of foreign bodies of the producing plant [233].

Results and discussions

According to the provisions of FR X, the product showed no impurities of any kind, so it can be considered 100% pure [234]. This result is very important for assessing the quality of *Usnea barbata* (L.) F.H.Wigg. harvested, because the relevance of the subsequent determinations depends very much by the purity of the *Usneae lichen* analyzed.

I.5. Determination of drying loss for *Usnea barbata* (L.) F.H.Wigg

Material and method

The material was represented by the crushed *Usneae lichen*; the used method is provided in the Romanian Pharmacopoeia X Edition (FR X) and in the European Pharmacopoeia 9.0. (EP 9). [234, 235].

Results and discussions

The drying loss (PPU) calculated according to the Romanian Pharmacopoeia X edition is a very useful parameter in the quantitative determinations that have been made, because the reports are made on the quantity of *Usneae lichen*.

I.6. Obtaining of the *Usneae lichen* extracts

In order to obtain the extracts of *Usnea barbata* (L.) F.H.Wigg. harvested from the Călimani mountains, Suceava county, *Usneae lichen* was used. In this first study, 3 types of extracts were made, using as solvents: distilled water, absolute ethyl alcohol and acetone. The acetone and ethanolic extracts were obtained by cold maceration, and the aqueous extract was obtained by the method of hot reflux.

Results and discussions

The 3 extracts obtained have different colors and aspects: the aqueous extract is slightly opalescent and has a yellow-brown coloring, the acetone one is clear and yellow-straw color, and the ethanolic one is clear and yellow-brown, similar to the aqueous extract. .

I.7. Identification of active metabolites

Reduced compounds (polyphenols) and polysaccharides were identified in the extracts obtained, in the aqueous extract by the following reactions: reaction with the Fehling reagent, with the formation of the red-brick precipitate; reaction with Folin Ciocalteu reagent, with the formation of blue coloration; reaction with the Tollens reagent, with the formation of the silver mirror; precipitation reaction with methanol, with the formation of the white flocon precipitate.

I.8. Determination of the polyphenols and usnic acid content of the *Usnea barbata* (L.)

F.H. Wigg. extracts and evaluation of their antioxidant action

In the present study, in order to determine the basic constituents of *Usnea barbata* (L.) F.H.Wigg., the extracts were prepared in different solvents: water, acetone and 96% ethanol. The identification and determination of the content in usnic acid and polyphenols was performed by HPLC method; the determination of polyphenols was also carried out by a colorimetric method, according to European Pharmacopoeia 9.0.

I.8.1. Determination of the total polyphenols content

For this purpose, a colorimetric method, mentioned in European Pharmacopoeia 9.0 [234], was used.

Principle of the method: The method is based on determining the intensity of the blue staining of the molybdenum oxides formed by reducing the polyphenols of the Folin-Ciocalteu reagent (phosphomolibdolframic acid).

Results and discussions

Since this determination was made in four extracts obtained in different solvents, water, 40% ethanol, 96% ethanol, acetone, the obtained results were synthesized and compared comparatively, thereafter. Analyzing the presented data, it was observed that in the ethanol extract 40% is found the highest content of total polyphenols, followed at a very small distance from the value calculated for the ethanol extract 96%. In the aqueous extract and in the acetonate macerate, the values of the total polyphenols were close, but lower than in the ethanolic extracts.

I.8.2. Analysis of the polyphenols from *Usneae lichen* extract by the high performance liquid chromatography method

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For the separation, identification and quantification of phenolic compounds, a standardized HPLC method for the determination of the total polyphenols, as described by USP 30-NF25 monograph [236], was adapted. 11 standard polyphenols were used as reference substances.

Results and discussions

It is observed that in the studied extracts of *Usneae lichen*, only a part of the 11 polyphenols used as reference substances was identified. The mentioned polyphenols were found only in ethanolic and aqueous extracts, and some of them were common to both *Usneae lichen* extracts. None of the 11 standard polyphenols was found in the acetone macerate.

I.8.3. Determination of the usnic acid content

The usnic acid is one of the most widespread secondary metabolites of lichens; it has dibenzofuran structure and it can be isolated from most species of the genus *Usnea* Dill.ex Adans., having multiple known biological actions [144, 150, 155, 161, 162, 165].

Material and method

For the separation, identification and quantification of the usnic acid, a standardized HPLC method has been adapted for the determination of the total polyphenols, as described in the literature; the reference substance was the usnic acid.

Results and discussions

It has been observed that the highest content of the usnic acid is found in the acetone extract followed by the ethanolic extract. The aqueous extract from *Usneae lichen* contains the smallest amount of usnic acid.

I.8.4. Evaluation of the antioxidant capacity of the *Usneae lichen* extracts by DPPH method

Material and method

The antioxidant capacity was spectrophotometrically determined by the DPPH radical scavenging method, a standardized method for evaluating the potential of the phenolic compounds to inactivate the free radicals. This method is achieved by measuring the neutralization capacity of DPPH (diphenylpicrylhydrazyl) radicals by the analyzed solutions; the purple color of the initial DPPH solution

at 517 nm is changed to light yellow, as it appears in reduced form after the contact between the DPPH solution and the polyphenols [89-105, 325].

Results and discussions

It has been observed that the ethanolic extract has the highest antioxidant activity, followed by the aqueous extract and the acetone extract. At the highest concentration, *Usneae lichen* ethanolic extract has a DPPH free radical capture activity greater than 50%, thus it was possible the establishing IC 50 for this extract.

I.9. Obtaining the *Usneae lichen* dry acetone extract and analyzing it by an ultra- high performance liquid chromatography method

I.9.1. Obtaining the *Usneae lichen* dry acetone extract

Material and method

In order to obtain the dry extract, *Usneae lichen* was ground in powder form and kept with acetone, in a continuous reflux on Soxhlet. After the completion reflux, the solvent evaporation was performed and the dry acetone extract was transferred to a glass vessel with a sealed lid and kept in the freezer, at a temperature below -20 ° C, until the further processing [120].

Results and discussions

The dry extract obtained has a pasty consistency, green-brown coloration, strong acetic odor and quick taste.

I.9.2. Ultra High Performance Liquid Chromatography (UHPLC)

Material and method

The identification and determination of the content of usnic acid was performed by the UHPLC method; analysis sample: dried extract of *Usneae lichen*, solubilized in DMSO. Solubilization in DMSO was performed because acetone is not a suitable solvent for UHPLC analysis (it absorbs strongly and deforms the peak of the solution to be analyzed); also, for cell culture studies, DMSO, unlike acetone, is not cell toxic [263]; reference substance: usnic acid in DMSO.

Results and discussions

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The content of usnic acid determined in the dry acetonic extract is significantly higher than in the acetic acid macerate. In the chromatograms of the diluted solutions, the presence of other organic compounds, still unidentified, that potentiate the therapeutic effect of the dry extract was observed.

II. Research on the cytotoxic properties of the *Usnea barbata* (L.) F.H.Wigg. dry extract on *Artemia salina* L.

Hypothesis of this study: The chemical constituents in the *Usneae lichen* dry extract have cytotoxic action, which could cause the death of larvae of *Artemia salina* L.

Purpose of the study: preliminary evaluation of the cytotoxic potential of the *Usneae lichen* dry extract on *Artemia salina* L.

II.1. Material and method

This preliminary cytotoxicity study was performed on larvae of *Artemia salina* L., which were contacted with dilute solutions of the dry extract of *Usneae lichen* (EUB). Macroscopic effects were quantified by measuring the survival level of the larvae of *Artemia salina* L., under the conditions of exposure to different concentrations of dried extract of *Usneae lichen* in DMSO for a limited time.

II.2. Results and discussions

After the contact with EUB DL50 was calculated; the obtained results showing that the dry extract of *Usneae lichen* has an obvious cytotoxic action, directly proportional to the dose and the contact time.

III. Evaluation of the anti-tumor action of the *Usneae lichen* dry acetone extract on lingual squamous cell carcinoma - CAL 27 (ATCC® CRL-2095™)

Hypothesis of this study: The *Usneae lichen* dry extract (EUB) has antitumor action on lingual squamous cell carcinoma.

Purpose of the study: to evaluate the antitumor action according to the concentration of the extract and the exposure time and to determine the possible mechanisms by which the death of CAL 27 tumor cells occurs.

III.1. Preparation of the used material

Cells of human tumor line CAL 27 (ATCC® CRL-2095™) represented by squamous epithelial cells isolated from lingual carcinoma were counted, while assessing cell viability.

III.2. Determination of the morphological changes

This determination was made by applying diluted solutions of the dried extract of *Usneae lichen* (EUB) on the cultures of tumor cells CAL 27. Morphological changes of CAL 27 cells after contact with the tested solutions were detected under microscope.

Results and discussions

The analysis of the cell cultures under microscope, after their contact with EUB, showed that the morphology of the CAL 27 cells changed differently, depending on the age of the cell culture, the exposure time and the concentration of the tested EUB solution. Previous observations have led to the conclusion that the morphological changes were due exclusively to the dried extract of *Usneae lichen*.

III.3. Total protein dosage

Given that proteins are fundamental to maintaining life, it is estimated that decreasing the amount of total protein leads to cell death. Based on these considerations, the working hypothesis of this subchapter is that the application of different concentrations of EUB generates the death of CAL 27 tumor cells by this mechanism.

Principle of the method: Coomassie Brilliant Blue G (CBBG) dye, in contact with proteins, generates a blue complex; At the same time as the formation of the blue complex, there is also a change in the maximum absorption capacity.

Results and discussions

Analyzing the obtained results it is observed that the amount of soluble proteins in the CAL 27 tumor cells is directly proportional to the concentration of EUB.

III.4. Determination of the cell viability by MTT method

Principle of the method: The colorimetric method with 3- (4,5-dimethylthiazol-2-yl) - 2,5-diphenyltetrazolium (MTT) bromide is based on the ability of mitochondrial dehydrogenases from living cells to convert the yellow water-soluble substrate (MTT) to formazan, color dark blue, insoluble in water; the amount of formazan produced is directly proportional to the number of living cells [315, 316, 318].

Results and discussions

The most intense cytotoxic activity was manifested at the 24-hour contact of CAL 27 cells with EUB.

III.5. Evaluation of the cell apoptosis by flow-cytometry

Principle of the method: Fluorochrome-labeled annexin V is used to detect phosphatidyl serine exposed to the surface of the apoptotic cell membrane by flow cytometry. The conjugation between Annexin V and fluorescein (FITC - Fluorescein isothiocyanate) facilitates rapid quantification of fluorescently labeled apoptotic cells. The processing of cells for evaluation of results is performed using the kit "eBioscience™ Annexin V-FITC Apoptosis Detection [344].

Results and discussions

The analysis of the obtained data shows that the *Usneae lichen* dry acetone extract induces apoptosis of the CAL 27 tumor cells directly proportional to the concentration of the solution used and the exposure time.

III.6. Evaluation of the action of the *Usneae lichen* dry acetone extract on the activity of antioxidant enzymes in the tumor cells CAL 27

Hypothesis of this study: The dry acetic extract of *Usneae lichen* has the action of stimulating the antioxidant enzymes of CAL 27 cells.

Purpose of the study: to determine the activity of the main antioxidant enzymes in CAL 27 cells: SOD, CAT and POD and to evaluate their stimulation level by the dried extract of *Usneae lichen*, in the context of the cytotoxic effect exerted by EUB on the tumor cells and in correlation with the concentration of the extract and with contact time.

III.6.1. Determination of the superoxide dismutase activity

III.6.2. Spectrophotometric determination of the catalase activity

III.6.3. Determination of the peroxidase activity

Results and discussions

There is a slight stimulation of the SOD activity by EUB, as well as a strong stimulation of the CAT and POD activities.

The effect of EUB on antioxidant enzymes, closely related to its cytotoxicity on CAL 27 cells and its influence on the total protein concentration in CAL 27 cells, was analyzed in the same study (subchapters III.4. And III.5.).

IV. Determination of the antibacterial effects of the *Usnea barbata* (L.)

F.H. Wigg extracts on the bacterial species isolated from oropharynx

Hypothesis of this study: the existence of possible antibacterial effects of the *Usneae lichen* extracts in ethanol, acetone and water.

The aim of the study: to evaluate the intensity of the inhibitory effect on the bacterial species isolated from the oro-pharynx, for each type of *Usneae lichen* extract, separately.

Results and discussion

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Comparing the antibacterial action of the acetonnic and ethanolic extracts of *Usneae lichen* on both genera of Gram-positive bacteria tested, it was observed that the zones of inhibition are very close in size in the case of *Staphylococcus aureus* and *Streptococcus oralis*, while in *Staphylococcus epidermidis* they are considerably larger. It can be stated, by analyzing the results, that the aqueous extracts are practically devoid of antibacterial activity.

Of the Gram-negative bacteria, *Escherichia coli* is partially sensitive, as resistant mutant strains develop in existing areas of inhibition. However, *Pseudomonas aeruginosa*, known for its resistance to antibacterial agents, has high levels of sensitivity compared to *Escherichia coli*.

FINAL CONCLUSIONS

- 1. Phytochemical research carried out on *Usnea barbata* (L) F.H.Wigg showed: mucilages, polyphenols and other reducing compounds, as well as usnic acid.**
- 2. The highest polyphenols content is found in ethanol extracts; In the aqueous and acetonnic extracts, the calculated total polyphenol content values were very close, being lower than in the ethanol extracts.**
- 3. The results of the HPLC determination showed that the acetonnic extract obtained by maceration had the highest content of mild acid, followed - in descending order - by the ethanolic and aqueous extract.**
- 4. The *Usneae lichen* acetone, ethanolic and aqueous extracts have an antioxidant action directly proportional to the polyphenols content; the ethanolic extract has the most intense antioxidant activity.**

5. The *Usneae lichen* dry acetone extract has an usnic acid content by 8 times higher than the acetone macerate.
6. *Usnea barbata* (L.) F.H.Wigg. dry acetone extract presents an obvious cytotoxic action, quantified by the high percentage of mortality of larvae from *Artemia salina* L. directly proportional to the dose and the contact time.
7. *Usnea barbata* (L.) F.H.Wigg. dry acetone extract has a cytotoxic effect on the tumor cell line CAL27, directly proportional to the concentration of the used solutions.
8. The cytotoxicity of EUB can also be explained by the decrease of the total proteins, depending on the concentration of the extract;
9. The EUB-induced cytotoxicity is higher after 24 hours, compared with that recorded after 48 hours - slightly lower; this small difference is probably due to the intracellular repair process.
10. Induction of the apoptosis is directly proportional to the EUB concentration and the contact time.
11. EUB stimulates the activity of the main antioxidant enzymes:

The SOD activity is stimulated slightly, while the CAT and POD activities increase significantly;

The significant increase of the CAT and POD activity compared to SOD could be justified by the increase of the production of H₂O₂ (the substrate on which both enzymes act) caused by the EUB triggering the process of formation of SRO in mitochondria;

From an oxidative-reducing point of view, EUB acts pro-oxidant on the tumor cells, causing an over-production of SRO; by inducing a strong oxidative stress in tumor cells, EUB decreases the cell viability, resulting in apoptosis.

12. The *Usneae lichen* ethanolic and acetone extracts have antibacterial effect:

Staphylococcus aureus has been shown to be sensitive to the action of the *Usneae lichen* ethanolic and acetone extracts.

Pseudomonas aeruginosa shows a significant sensitivity to the action of the *Usneae lichen* acetone and ethanolic extracts.

13. The results of this study demonstrate that the *Usnea barbata* (L.) F.H.Wigg. extracts could be used effectively in the oral infections in which bacteria resistant to common antibacterial therapy are involved, thus completing the conventional treatment with antibiotics.

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