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Modeling Neural Spiking Activity in the Sub-thalamic Nucleus of Parkinson's Patients and a Healthy Primate

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Abstract—**How neurons encode information about the outside world and how this processing changes when the brain is diseased are central questions in neuroscience and medicine. Historically, microelectrode recordings of single-unit neuronal activity have been confined to animal preparations. Recently, it has become possible to obtain single-unit recordings in humans undergoing deep brain stimulation surgery. In this study, we recorded neuronal activity from the sub-thalamic nucleus (STN) of the basal ganglia of patients with Parkinson's disease (PD). In parallel, identical experiments were conducted on a healthy primate, providing a rare opportunity to analyze STN neuronal activity recorded in both the disease and healthy state during the same behavioral tasks. We developed point process models of STN neurons to capture neural spiking dynamics as a function of extrinsic stimuli and the neuron's own spiking history. Although our findings are preliminary due to only one primate subject, we found pathological signatures in PD neural activity (not found in the primate) such as bursting, 10-30Hz oscillations, and directional tuning prior to movement, which may directly relate to motor disorders observed in PD patients such as bradykinesia, resting tremor and rigidity.**

1. INTRODUCTION

An estimated 3-4 million people in the US have Parkinson's disease, a chronic and progressive neural disease that occurs when specific neurons in the midbrain degenerate, causing movement disorders such as resting tremor, rigidity, and bradykinesia (slowness in movement). Currently, there is no cure or treatment to stop disease progression. However, surgery and medications are available to relieve some of the symptoms short term, and perhaps even slow the progression of the disease. Such treatments for PD have been developed based on significant understanding of the basal ganglia (BG) anatomy and physiology (Albin et al., 1989).

It has been long appreciated that PD is caused when dopaminergic neurons degenerate in the substantia nigra pars compacta (SNc) in the midbrain. This triggers a cascade of functional changes in the BG which leads to hyperactivity of the BG output nuclei. Therefore all treatments try to reduce the hyperactivity by creating lesions in target areas, enhancing concentrations of dopamine in the SNc (via levodopa), or more recently by deep brain stimulation (Volkmann, 2007). DBS is a surgical procedure in which an electrode is inserted through a small opening in the skull and implanted in a targeted area in the BG (typically the subthalamic nucleus (STN)). The electrode is connected to another insulated wire (called the 'extension') that is passed under the skin of the head, neck and shoulder and terminated at the neurostimulator ('battery pack'). The neurostimulator, similar to a heart pacemaker, is as large as a silver dollar and typically sits under the collar bone. It delivers electrical stimulation to the tip of the electrode via the extension and blocks abnormal neural signals that cause tremor and other PD symptoms. The neurostimulator must be replaced via minor surgery every 3-5 years. See schematic of DBS system in Figure 1.

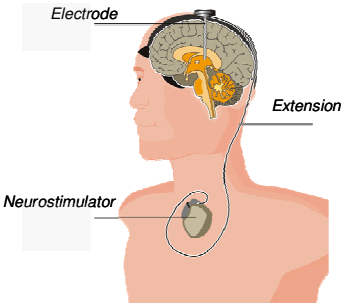

Fig. 1: Schematic of Deep Brain Stimulation System

While DBS is not a cure, it is perhaps the most effective treatment for improving quality of life for PD patients. DBS has also given neurophysiologists the rare opportunity to record neural activity in awake humans. During surgery, microelectrode recordings are routinely performed in order to confirm the location of the target nuclei. The need to record neural activity in order to confirm proper positioning of the microelectrode in the STN allows the study of neural activity in Parkinson's patients during movement at no additional risk (Abosch et al., 2002; Arminovin et al., 2004; Arminovin et al., 2006). Therefore, we used the microelectrodes to record activity in the STN of PD patients executing a visual guidance task. For comparison, we conducted microelectrode recordings from the STN of healthy awake behaving primates executing the same task.

We analyze neural spiking activity of both Parkinson's patients and healthy primates using point process models (Truccolo et al., 2005). The point process paradigm is a probabilistic framework that is advantageous over traditional analyses which try to uncover intrinsic and extrinsic factors on neuronal spiking activity by computing statistics such as mean firing rates, autocorrelation functions, inter-spike interval histograms, peri-stimulus time histograms, and power spectra. First, a single point process model (one computation) captures the relative contribution of short and long-term history effects (intrinsic factors) as well as the

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impact of movement direction (extrinsic factor) on the probability that the neuron will spike at any given time. Second, the point process framework also allows us to assess model goodness-of-fit and construct confidence intervals for quantities of interest. Finally, the point process model is predictive and allows us to simulate neuronal spiking activity of PD patients under different conditions. Although our findings are preliminary due to only one primate subject, the point process models uncovered pathological signatures in PD neural activity (not found in the primate) such as bursting, 10-30Hz oscillations, and directional tuning prior to movement, which may directly relate to motor disorders observed in PD patients such as bradykinesia, resting tremor and rigidity.

2. METHODS

Eight human subjects with Parkinson's disease were used in this study. The human subjects all had idiopathic PD for greater than 4 years, a Hoehn-Yahr score of 3 or higher and a documented response to levodopa replacement therapy. All patients had a pre-operative neurological exam with detailed information on their tremor and PD symptoms. Subjects were excluded from surgery if they had cognitive impairment, active psychiatric disorders, or anatomic abnormalities on magnetic resonance imaging. None of the patients had undergone prior surgery for the treatment of PD. Informed consent for participation in the study was obtained in accordance with a protocol approved by the Massachusetts General Hospital Institutional Review Board. The decision to perform surgery was made based on clinical indications and was not related to participation in this study. In all subjects, anti-Parkinsonian medications were withheld starting at midnight before the surgery. No sedatives were given during the surgery. The general techniques of stereotactic localization and intraoperative microelectrode recordings are described elsewhere (Amirnovin et al., 2004, 2006; Hutchison et al., 1998). Physiologic localization using an array of 3 tungsten microelectrodes was performed, separated by 2 mm, in a parasagittal orientation. The electrodes were advanced simultaneously in 50-micron increments using a motorized drive. As a result between 3-15 neurons per patient were recorded in 1-3 regions of the STN, respectively. Amplification of the neuronal signal and control of the micro-drive were handled by a dedicated intraoperative system (Alpha Omega, Nazareth, Israel). Neuronal activity was band-pass filtered (300 Hz – 6 kHz), sampled at 20 kHz, and stored on a data acquisition system (Cambridge Electronic Design, Cambridge UK). The behavioral paradigm was controlled by a Macintosh G4 computer. Spikes were sorted off-line using a template-matching algorithm (Spike 2, Cambridge Electronics Design). Each subject performed between 24-470 trials of a directed movement task described below.

2.1 Primate Subject

One adult male rhesus monkey (macaca mulatta), a.k.a. "Bohr", was used in this study. A titanium head post, plastic recording chamber and scleral search coil were surgically implanted in accordance with guidelines set by the animal review committee at Massachusetts General Hospital. Neuronal activity was amplified, band-pass filtered between 200 Hz – 5 kHz, and sampled at 20 kHz. Spikes were stored and sorted off-line using a template-matching algorithm (Spike 2, Cambridge Electronics Design). Eye position and joystick position were each sampled and recorded at 1 kHz.elsewhere (Amirnovin et al, 2004, 2006; Hutchison et al, 1998). Spikes were sorted off-line using a template-matching algorithm (Spike 2, Cambridge Electronics Design). Bohr performed between 868 trials of a directed movement task described below and recordings were taken from 96 neurons.

2.2 Electrophysiological Recordings and Behavioral Task

Once the microelectrodes were in the STN, the subjects viewed a computer monitor and performed a behavioral task by moving a joystick with the contralateral hand. The joystick was mounted such that movements were in a horizontal orientation with the elbow flexed at approximately 45 degrees. The behavioural task began with the presentation of a small central fixation point. After a 500 ms delay, four small gray targets appeared arrayed in a circular fashion around the fixation point (Up, Right, Down and Left). After a 500-1000 ms delay a randomly selected target turned green (target cue) to indicate where the subject is to move. Then after another 500-1000 ms delay, the central fixation point turned green (go cue), cueing the subject to move. At this point the subject used the joystick to guide a cursor from the center of the monitor towards the green target. Once the target was reached, either a juice reward was given (in the primate case) or a tone sounded indicating the subject had successfully completed the task (human case), and the stimuli were erased. See Figure 3 for a schematic of an instructional trial. Subjects were required to return the joystick to the center position before the second trial of each pair started.

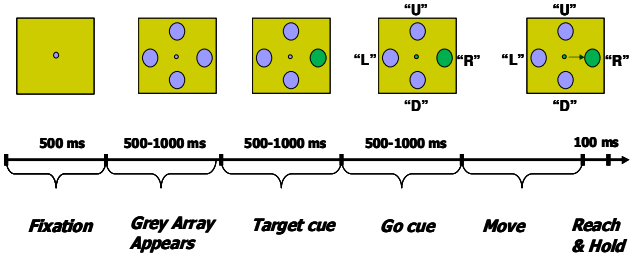

Fig. 2 Schematic of Task of Instructional Trial

2.3 A Point Process Model of STN Dynamics

We formulate a point process model to relate the spiking propensity of each STN neuron to factors associated with the trial types, movement direction, and features of the neuron's spiking history. Point process models have been shown to be useful in characterizing neural spiking activity (Brillinger, 1988, Barbieri et al., 2001, Kass and Ventura, 2001, Harris et al., 2003, Brown et al., 2001; Brown et al., 2003; Brown et al., 2005; Eden et al., 2007).

A point process is a binary stochastic process defined in continuous time (eg. number of neuronal spikes in a given time interval) and is characterized entirely by the conditional intensity function (CIF) which is defined below (Cox, 2000; Daley and Vere-Jones, 2003).

Consider the time interval $(0,T]$ as the continuum, and events as neuronal spike times. Let $t_1,\ldots,t_n$ denote the times of each neural spike such that $0<t_1<t_2\ldots<t_n\le T$ .Then, if $N(T)$ is the sample path of the associated counting process ($N(T)$ is the number of spikes in the interval $(0,T]$), the conditional intensity function is the following

$$\lambda(t\mid H_t)=\lim_{\Delta t\to 0}\frac{P(N(t+\Delta t)-N(t)=1\mid H_t)}{\Delta t}. \qquad (1)$$

H_t is the history of the sample path and that of any covariates up to time t , and $t_{N(t)}$ is the time of the last spike prior to t . Consequently,

$$\lambda(t\mid H_t)\Delta\approx \Pr ob(spike\ in\ (t,t+\Delta]\mid H_t). \qquad (2)$$

The well-known Poisson process is a special point process in which all events are independent and the CIF is constant and therefore not dependent on history. For this reason, we choose more general point process models, as is done in (Eden et al., 2007), instead of Poisson processes for our analyses.

To analyze the spiking propensity of the STN neurons, we define the CIF as a function of the movement direction which corresponds to "Up, Right, Left and Down"; and, the neuron's spiking history in the preceding 150 msec. We also divide time into before and after onset of a given epoch (e.g. movement) with the variable where if before onset and if after onset. Specifically,

$$\lambda(t\mid H_t,\theta)=\exp\left\{\sum_{\ell=0}^{1}\left[\sum_{d=1}^{4}\alpha_{d,\ell}\,I_{d,\ell}(t)+\sum_{j=1}^{10}\beta_{j,\ell}\,n^{\ell}_{t-(j)t-(j+1)}+\sum_{k=1}^{14}\gamma_{k,\ell}\,n^{\ell}_{t-(10k+9)t-10k}\right]\right\} \qquad (3)$$

$I_{d,\ell}(t)$ is equal to 1 if movement is in direction d and time relative to onset is ℓ and equal to 0 otherwise; and, $n^{\ell}_{a:b}$ is the number of spikes observed in the time interval [illegible] for time relative to epoch onset ℓ .

The following comprise the model parameter vector $\theta=\{\alpha,\beta,\gamma\}$ to be fitted by data. The $\{\alpha_{d,\ell}\}$ parameters measure the effects of movement direction and time relative to epoch onset on the spiking probability, $\{\beta_{j,\ell}\}_{j=1}^{10}$ parameters measure the effects of spiking history in the previous 10 msec for a given time relative to onset and therefore, they capture the effects of refractoriness and bursting on the spiking probability, and $\{\gamma_{k,\ell}\}_{k=1}^{14}$ parameters measure the effects of the spiking history in the previous 10 to 150 msec for a given time relative to onset on the spiking probability, which may be associated with not only the neuron's individual spiking activity but also that of its local network. We built separate models for four different epochs. Specifically, we computed models for:

1. right after fixation point appears (FX+) : $t\in(0,350]$ ms
2. around gray array onset (GA-,GA+) : $t\in(-250,0]$ ms and $t\in(0,250]$ ms
3. around target cue onset (TC-,TC+) : $t\in(-250,0]$ ms and $t\in(0,250]$ ms
4. around movement onset (MV-,MV+) : $t\in(-250,0]$ ms and $t\in(0,250]$ ms .

2.4 Model Fitting and Data Analysis

The model can be fit to the STN neural spike trains using GLM methods (Truccolo et al. 2005). The GLM is an extension of the multiple linear regression model in which the variable being predicted, in this case spike times, need not be Gaussian (McCullagh and Nelder, 1989). GLM provides an efficient computational scheme for model parameter estimation and a likelihood framework for conducting statistical inferences based on the estimated model (Brown et al., 2003).

We used Kolmogorov-Smirov (KS) plots based on the time-rescaling theorem to assess model goodness-of-fit. The time-rescaling theorem is a well known result in probability theory which states that any point process with an integrable conditional intensity function may be transformed into a Poisson process with unit rate (Brown et al. 2002; Truccolo et al. 2005). A KS plot, which plots the empirical cumulative distribution function of the transformed spike times versus the cumulative distribution function of a unit rate exponential, is used to visualize the goodness-of-fit for each model. The model is better if its corresponding KS plot lies on the 45 degree line. We computed 95% confidence bounds for the degree of agreement using the distribution of the KS statistic (Johnson and Kotz, 1970).

We note that we first discretized time by partitioning the time interval into 1 msec bins and estimated the discretized CIF. Finally, we computed maximum-likelihood estimates and confidence intervals of for each neuron using glmfit.m in MATLAB.

In this paper, we focus on the following global hypothesis: H1: The neural spiking activity in the STN is different in healthy primates and in Parkinson's patients.

3. RESULTS

As mentioned above, we built point process models for several neurons for 4 different epochs using PD and primate data. For the PD instructional trial data, 29 models passed

the KS-test in that each KS plot lied within the 95% confidence bounds. For the primate data, 44 models passed the KS-test. This indicates that the 29 point process models fit the PD data well while 44 point process models fit the primate data well.

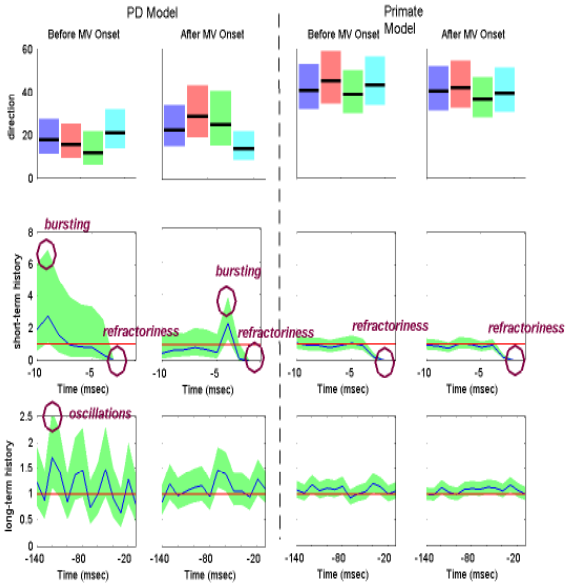

Fig. 3: Optimal model parameters for an STN neuron during MV- and MV+ periods of a PD patient (left) and healthy primate (right) during IT Trials. Top row (movement direction modulation): optimal extrinsic factors $e^{\alpha_{d,l}}$ for d=U,R,D,L and l=before and after movement onset are plotted in black lines and corresponding 95% confidence intervals are shaded around each black line in a unique color for each direction. Middle row (short-term history modulation) optimal short-term history factors e^{β_i} for i=1,2,…,10 are plotted in blue and corresponding 95% confidence intervals are shaded in green. Bottom row (long-term history modulation) optimal long-term history factors e^{γ_j} for j=1,2,…,14 are plotted in blue and corresponding 95% confidence intervals are shaded in green.

Recall from equation (2) that $\lambda(t \mid H_t)\cdot\Delta$ is approximately the probability that the neuron will fire at time t given extrinsic and intrinsic dynamics up to time t, which is captured in H_t. By virtue of equation (3), we allow the probability that each STN neuron will fire at some time t to be modulated by movement direction, short-term history and long-term history spiking dynamics. Figure 3 illustrates these three modulation factors on spiking activity for both PD and primate single neuron models by plotting the optimal parameters and their corresponding 95% confidence bounds before and after movement onset. We make the following observations:

1. **Refractoriness:** As illustrated in the second row of Figure 3, both the PD and primate STN neurons exhibit refractory periods before and after onset of movement as indicated by down modulation by a factor of 10 or more due to a spike occurring 1 msec prior to a given time t. That is, if a spike occurs 1 msec prior to time t, then it is very unlikely that another spike will occur at time t ($e^{\beta_i} \le 0.1$ for all e^{β_i} within its 95% confidence band, i=1,2,or 3). This is expected since after an action potential (a spike) occurs, some time (refractory period) must elapse before the neuron can again produce another action potential in response to a stimulus (Brodal, 1998).

2. **Bursting:** As illustrated in the second row of Figure 3, the PD STN neuron fires in rapid succession before and after movement onset as indicated by up modulation by a factor of 2 or more due to prevalent spiking activity occurring 2-10 msec prior to some time t. That is, if a spike occurs 2-10 msec prior to time t, then it is very likely that another spike will occur at time t. Formally, a neuron bursts if its model parameters satisfy the following: for at least one $i = 2,3,...,10$, $\mathrm{LB}_i > 1$ and $\mathrm{UB}_i \ge 2$ where $\mathrm{LB}_i \le e^{\beta_i} \le \mathrm{UB}_i$.

3. **10-30 Hz Oscillations:** As illustrated in the third row first two columns of Figure 3, the PD STN neuron exhibits10-30 Hz oscillatory firing before and after movement. That is, the probability that the PD STN neuron will fire at a given time t is up modulated by a factor of 2 or more if a spike occurs 30-100 msec prior to t. Formally, a neuron has 10-30 Hz oscillations if its model parameters satisfy the following: for at least one $i = 2,3,...,10$, $\mathrm{LB}_i > 1$ and $\mathrm{UB}_i \ge 2$ where $\mathrm{LB}_i \le e^{\gamma_i} \le \mathrm{UB}_i$.

4. **Directional Tuning:** As illustrated in the first row of Figure 3, the PD STN neuron appears to exhibit more directional tuning before and after movement onset than the primate neuron. That is, the PD STN neuron seems more likely to fire in some directions than in others unlike the primate neuron. To quantify directional tuning, we performed the following test for each neuron and each time relative to onset (ℓ):

1. For each direction $d^* = \{U, R, D, L\}$, compute $\mathrm{p}_{\mathrm{d}^*,\mathrm{d}} = \mathrm{Prob}(e^{\alpha_{d^*,l}} > e^{\alpha_{d,l}}) = \mathrm{Prob}(\alpha_{d^*,l} > \alpha_{d,l})$ for $d \ne d^*$. Define $\mathrm{p}_{\mathrm{d}^*,\mathrm{d}^*} = 0$. Use the Gaussian approximation for $\alpha_{d,l}$, which is one of the asymptotic properties of ML estimates to compute $\mathrm{p}_{\mathrm{d}^*,\mathrm{d}}$ (Brown et al., 2003).

2. If $\max_{d^*=1,2,3,4} \mathrm{p}_{\mathrm{d}^*,\mathrm{d}} \ge 0.8$ then neuron exhibits directional tuning.

We make the following observations from Table 1 below with regards to neural spiking activity in the STN of PD patients and primates. Most or all neurons in both species exhibit refractoriness. Bursting is prevalent across all epochs modeled in neural activity of PD patients (41% baseline). In contrast, neural activity in the healthy primate exhibits significantly less bursting (20% baseline) across all epochs. In PD patients, bursting decreases after the onset of the target cue or movement. 10-30 Hz oscillations are much more

prevalent in neural activity of PD patients (59% baseline) than in the primate (18% baseline). These oscillations in the PD patients decrease after the onset of the target cue or movement. Overall directional tuning is more prevalent in PD STN neurons (14- 41% during target cue and movement) than in primate neurons (2 -11% during target cue and movement). It is important to note that directional tuning is insignificant during fixation (baseline) for both subject groups. Finally, directional tuning significantly increases with the onset of the target cue and movement (by 50 to 71%, respectively).

Table 1. STN Neural Activity Characteristics of PD (top) and Primate (bottom) Models.

Characteristic	**Epochs (% from 29 PD STN neuron models)**						
	FX+	**GA-**	**GA+**	**TC-**	**TC+**	**MV-**	**MV+**
Refractoriness	100	100	100	100	100	100	100
Bursting	41	38	52	41	45	38	41
10-30 Hz Oscillations	59	48	62	59	55	52	41
Directional Tuning	7	10	10	14	21	24	41
Characteristic	**Epochs (% from 44 primate neuron models)**						
	FX+	**GA-**	**GA+**	**TC-**	**TC+**	**MV-**	**MV+**
Refractoriness	98	98	98	98	95	98	93
Bursting	20	25	21	20	16	9	16
10-30 Hz Oscillations	18	23	16	20	14	18	16
Directional Tuning	0	0	0	2	7	5	11

4. DISCUSSION

Prior to this study, characterizations of STN neural activity in PD patients were being quantified without comparisons to healthy STN neurons (Levy et al., 2002; Williams et al., 2004; Amirnovin et al., 2004; Eden et al., 2007). In this paper, we employ a rigorous point process modeling framework to quantify differences in STN neural activity between healthy primate subjects and human PD patients under identical experimental conditions.

In support of our global hypothesis that neural spiking activity in the STN is different in healthy primates and in PD patients, we found that neural activity of PD patients exhibits significantly more bursting, 10-30 Hz oscillations and greater directional tuning than the healthy primate. These neurophysiological characteristics may explain some of the motor disorders observed in Parkinson's patients.

The bursting activity or sudden rapid succession of spikes indicates abnormal firing patterns in the STN associated with disease, which may be blocking important information about the subject's intent to move from being processed appropriately in the basal ganglia or from being relayed properly in the thalamus causing rigidity and bradykinesia. Bursting in STN activity of PD patients has previously been observed (Bergman et al 1994; Levy et al., 2001) and is consistent with simulations generated from a conductance-based biophysical model of the Parkinsonian STN developed by Rubin and Terman (2004).

The 10-30 Hz oscillations in STN neural activity may relate to the resting tremor which typically is observed to be on the order of 3-6Hz (Dostrovsky and Bergman, 2004; Vaillancourt and Newell, 2000). Such oscillations have been observed in Parkinsonian green monkeys (Bergman et al., 1994) and in PD patients undergoing functional stereotactic mapping (Levy et al., 2002). In the latter study, patients with limb tremor showed significant synchronized oscillations in the STN whereas patients without limb tremor did not, suggesting that 10-30Hz oscillatory activity may be associated with the pathology that gives rise to tremor in PD patients. However, in Amirnovin et al. (2004), the 10-30 Hz oscillations observed in the STN of PD patients undergoing DBS neurosurgery were not correlated with observed resting tremor in the patients. These differences in observations may be due to variability between patients, the dynamic nature of tremor or differences in task conditions.

Perhaps our most surprising finding is that directional tuning in the STN increases in the disease state (to the extent that we can extrapolate from data of a single primate). Specifically, we found directional tuning prior to movement in PD patients in addition to after movement onset. In contrast, the healthy primate showed some directional tuning only after movement onset. Previous studies show context-dependent modulation of neuronal activity in the STN and the internal segment of the globus pallidus in healthy primates (Georgopoulos et al., 1983; Gdowski et al., 2001; Turner and Anderson, 2005). It has also been shown that movement direction and other specific details are represented in the higher motor cortical areas (Rickert et al., 2005). It may be possible that the deep nuclei of the BG in healthy subjects have little directional tuning prior to movement and encode specific movement information primarily during movement. If this were the case, then persistent directional tuning prior to movement may cause slowness of movements or inability to initiate movements as is observed in many PD patients. This remains to be investigated with further comparison studies.

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