

Tocopherols

Aquaculture - Aquatic Animals

Identification of Petitioned Substance

Chemical Names:

Tocopherols
5,7,8-Trimethyltolcol
5,8-Dimethyltolcol
7,8-Dimethyltolcol
8-Methyltolcol

Trade Names:

Decanox™
Natuerox™

CAS Numbers:

1406-66-2 (tocopherols)
59-02-9 (vitamin E/alpha-tocopherol)
148-03-8 (beta-tocopherol)
54-28-4 (gamma-tocopherol)
119-13-1 (delta-tocopherol)

Other Names:

Mixed tocopherols
Vitamin E

Summary of Petitioned Use

The petitioner is requesting the addition of tocopherols to the National List of Allowed and Prohibited Substances (hereafter referred to as the National List) as a synthetic substance allowed for use in organic aquatic animal production. The petitioner reports that tocopherols are currently being used as a feed antioxidant in the nonorganic production of aquatic animals and are mixed with fish oil in the amount of 0.2% and above; with fish meal in the amount of 0.03% to 0.06%; and with various other feed ingredients such as nutritional pigments, grains, and lipids (Aquaculture Working Group, 2012).

Synthetic tocopherols are currently permitted for specific uses in organic livestock production and organic handling. Tocopherols are not specifically named in the National List as synthetic feed additives allowed for use in organic livestock production. However, mixed tocopherols are a source of vitamin E. Vitamins (used for enrichment or fortification when FDA approved) are included on the National List as synthetic ingredients allowed as feed additives in organic livestock production (7 CFR 205.603[d][3]). Tocopherols derived from vegetable oil are allowed for use as ingredients in or on processed products labeled as "organic" or "made with organic (specified ingredients or food group[s])" when rosemary extracts are not a suitable alternative (7 CFR 205.605[b]).

Characterization of Petitioned Substance

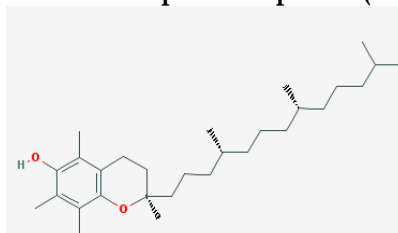
Composition of the Substance:

Tocopherols are a group of lipophilic phenolic antioxidants that occur naturally in a variety of plant species. Rich sources of naturally-occurring tocopherols include cereal grains, oilseeds, nuts, and vegetables (Burdock, 1997). The term "tocopherols" refers to structurally similar compounds that occur in nature in four forms: alpha-, beta-, gamma-, and delta-tocopherol (CIR, 2002). Tocopherols that are derived from plant products are often referred to as "mixed tocopherols" because the mixture contains all four forms of tocopherol (CIR, 2002). The different forms of tocopherol vary in the number and position of the methyl groups attached to the chromanol ring (IOM, 2000; Burdock, 1997). The molecular structures and chemical formulas of the tocopherol compounds are shown in Figures 1-4.

The proportion of each of the tocopherol compounds present in a mixed tocopherols product is a reflection of the tocopherol profile of the particular vegetable oil(s) used to isolate the tocopherols (EFSA, 2008). A typical mixed tocopherols product consists primarily of gamma-tocopherol, followed by delta- or alpha-tocopherol, with beta-tocopherol representing the lowest proportion in the mixture (CIR, 2002; EFSA, 2008; Organic Technologies, 2009; BASF, undated).

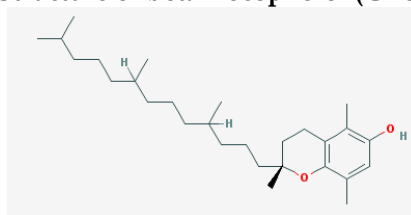
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53 Mixed tocopherols for use as antioxidants in foods or animal feeds are manufactured in liquid and powder
54 forms. The tocopherols available in liquid form are diluted in a vegetable oil and may be mixed with certain
55 additives to enhance their effectiveness, such as rosemary extract, ascorbyl palmitate or ascorbic acid, lecithin,
56 and/or citric acid (Pokorny et al., 2001; Lampi et al., 2002). For example, the petitioner provided a material safety
57 data sheet (MSDS) for a product called Naturox® IPO Liquid (Kemin Industries, Inc.) which lists organic
58 sunflower oil, lecithin, and rosemary extract as components of the mixed tocopherols formulation (Kemin
59 Industries, Inc., 2008). The Joint Expert Committee on Food Additives (JECFA) specification for the food additive
60 "mixed tocopherols concentrate" states that it may contain an edible vegetable oil added to adjust the required
61 amount of total tocopherols (JECFA, 2006). Powdered forms of mixed tocopherols contain a carrier such as
62 tapioca starch, gum acacia, and/or maltodextrin (Organic Technologies, 2009; NOSB, 1995). No additional
63 sources were found that discuss possible additives to commercially-produced tocopherols for use as antioxidants
64 in food or feed, including aquaculture feed products.
65
66

Figure 1. Molecular Structure of alpha-Tocopherol (CAS# 59-02-9; C₂₉H₅₀O₂)



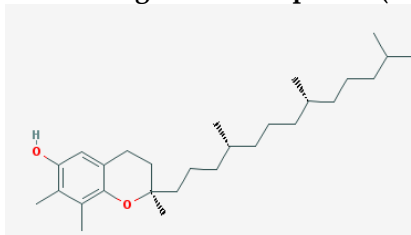
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68 Source: PubChem Compound, 2013
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Figure 2. Molecular Structure of beta-Tocopherol (CAS# 148-03-8; C₂₈H₄₈O₂)



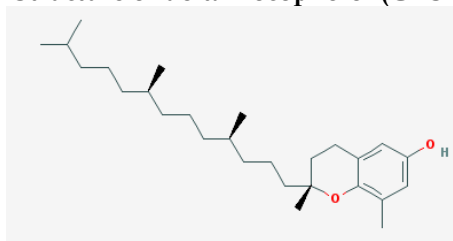
71
72 Source: PubChem Compound, 2013
73

Figure 3. Molecular Structure of gamma-Tocopherol (CAS# 54-28-4; C₂₈H₄₈O₂)



75
76 Source: PubChem Compound, 2013
77

Figure 4. Molecular Structure of delta-Tocopherol (CAS# 119-13-1; C₂₇H₄₆O₂)



79
80 Source: PubChem Compound, 2013
81

82 Source or Origin of the Substance:

83 Tocopherols for use as antioxidants in foods or animal feeds are commonly extracted from the distillate
84 obtained in the deodorization of vegetable oils (e.g., soybean, canola, sunflower, corn, cottonseed)
85 (Burdock, 1997). Tocopherols are separated from the other compounds in the oil distillate by multiple
86 extraction and refining steps. These steps can include vacuum distillation, extraction with organic
87 solvents, molecular distillation, crystallization, and standardization of the additive with vegetable oil
88 (Burdock, 1997; EFSA, 2008; Organic Technologies, 2009; EFSA, 2012; Aquaculture Working Group, 2012).
89 The total tocopherol content of the resulting product is usually 30–80% (Burdock, 1997). The powdered
90 form of tocopherols is produced by spray-drying the liquid tocopherol oils onto a carrier or mixture of
91 carriers (NOSB, 1995; Organic Technologies, 2009).

92 Properties of the Substance:

93 The liquid form of tocopherols is described as a light brown to red viscous liquid with the odor of
94 vegetable oil (JECFA, 2006). It is insoluble in water but miscible with oils and fats. The powdered form of
95 tocopherols is described as a light tan to off-white powder that is water dispersible (Organic Technologies,
96 2009; ADM, 2013).

97 Specific Uses of the Substance:

98 Tocopherols are intended to be used in organic aquaculture as an antioxidant added to aquatic animal feed
99 (Aquaculture Working Group, 2012). Tocopherols are mixed with fish oil, fish meal, and other feed
100 ingredients to prevent oxidation of the polyunsaturated fatty acids present in the lipids and thereby protect
101 the nutritional value of the feed. Polyunsaturated fatty acids are very susceptible to autoxidation when
102 exposed to oxygen in the atmosphere (Tacon, 1992). During the process of lipid autoxidation, toxic
103 degradation products are formed in the feed that may cause pathological changes in the fish (Hardy and
104 Roley, 2000). Furthermore, oxidation destroys essential fatty acids in the feed, and consuming oxidized
105 lipids may have deleterious effects on tissue levels of vitamins C and E. Finally, oxidation of the lipids in
106 fish meal generates heat that is sometime sufficient to cause spontaneous combustion of feeds (Hardy and
107 Roley, 2000).

108 Tocopherols are also used as an antioxidant additive in terrestrial livestock feed, human food, dietary
109 supplements, and pet food (ADM, 2013; BASF, undated; Organic Technologies, 2009). As a chemical
110 preservative, tocopherols are permitted by the U.S. Food and Drug Administration (FDA) in every human
111 food category (21 CFR 182.3890).

112 The petitioner reports that: “It is understood that mixed tocopherols are in regular use as antioxidants in
113 fish meal as a feed ingredient in organic poultry production” (Aquaculture Working Group, 2012).
114 Evidence of this usage was found through a feed manufacturer’s website (Fertrell, undated). Fertrell®
115 (Bainbridge, PA) produces a fish meal product designed for organic poultry producers, and the company’s
116 website states that it contains Naturox™, which is a mixed tocopherols formulation manufactured by
117 Kemin Industries, Inc. (Kemin Industries, Inc., 2013).

118 No sources were identified that discussed if mixed tocopherols are currently being used as a source of
119 vitamin E supplementation in terrestrial livestock feed. Vitamin E content of the feeds may be provided by
120 alpha-tocopherol, an ester of alpha-tocopherol, or possibly mixed tocopherols.

121 Typical usage levels of tocopherols in foods and feeds vary from about 150–450 parts per million (ppm)
122 (Lampi et al., 2002). Concentrations of 2,000 ppm may be necessary for oils containing highly
123 polyunsaturated fatty acids (such as fish oil) (BASF, undated). According to the petitioner, tocopherols are
124 added to fish oil at levels of 2,000 ppm and above and to fish meal at levels of 300–600 ppm (Aquaculture
125 Working Group, 2012).

126 Tocopherols are also used in a wide variety of cosmetic formulations functioning as an antioxidant to
127 protect the formulation and/or a skin conditioning agent (CIR, 2002). The usage levels are reported to be
128 ≤5% in such products (CIR, 2002).

129

137 Approved Legal Uses of the Substance:

138 Tocopherols are affirmed as generally recognized as safe (GRAS) by the FDA when used as chemical
139 preservatives (21 CFR 182.3890) or nutrients (21 CFR 182.8890) in food for human consumption in
140 accordance with good manufacturing practice. Their use is 0.03% in animal fats; however, a 30%
141 concentration of tocopherols in vegetable oils shall be used when added as an antioxidant to products
142 designated as “lard” or “rendered pork fat.” For meat products, levels are not to exceed 0.03% based on
143 the total fat content and are not to be used in combination with other antioxidants. Levels of 0.03% or
144 0.02% (when in combination with other antioxidants) are used in poultry products (9 CFR 424.21).

145
146 Tocopherols are also affirmed as GRAS by the FDA when used as chemical preservatives (21 CFR 582.3890)
147 and nutrients and/or dietary supplements (21 CFR 582.5890) in animal feeds in accordance with good
148 manufacturing or feeding practice.

149 Action of the Substance:

151 Tocopherols are added to foods or animal feeds to help prevent oxidation of the fatty acids present in the
152 lipid components of the food. Polyunsaturated fatty acids are the least stable components of lipids and
153 readily react with oxygen in the air (Pokorny, 2007). Saturated fatty acids are oxidized as well, but at
154 higher temperatures. Oxidation begins when oxygen is converted to highly reactive free radicals by metal
155 catalysis or exposure to light (Hardy and Roley, 2000). The free radicals attack fatty acids through the
156 addition of oxygen atoms along their carbon chains. Upon oxidation, the fatty acids form more free
157 radicals that start a chain reaction of further oxidation leading to oxidative rancidity of the food or feed.
158 The addition of tocopherols at the optimum concentration in the food or feed can prevent oxidative
159 rancidity. Tocopherols are sacrificial antioxidants because they donate their phenolic hydrogen atoms to
160 free radicals thereby converting them to stable and nonreactive forms. This prevents free radicals from
161 attacking the fatty acids in the food or feed (Hardy and Roley, 2000).

162 Combinations of the Substance:

164 Tocopherols in liquid form are diluted in a vegetable oil and may be mixed with certain additives to
165 enhance their effectiveness, such as rosemary extract, ascorbyl palmitate or ascorbic acid, lecithin, and/or
166 citric acid (Pokorny et al., 2001; Lampi et al., 2002). Powdered forms of mixed tocopherols contain a carrier
167 such as tapioca starch, gum acacia, and/or maltodextrin (Organic Technologies, 2009; NOSB, 1995).

168
169 Vegetable oil and rosemary extract are agricultural products that are not specifically named in the National
170 List. Vitamin C, which may be derived from ascorbyl palmitate or ascorbic acid, is allowed for use in
171 organic livestock production as a feed additive (7 CFR 205.603[d][3]). Lecithin (de-oiled) is included on the
172 National List as a nonorganically-produced agricultural product allowed as an ingredient in or on
173 processed products labeled as “organic,” (7 CFR 205.606[p]) and is permitted only when an organic form is
174 not commercially available. Citric acid (produced by microbial fermentation of carbohydrate substances) is
175 included in the National List as a nonagricultural substance allowed as an ingredient in or on processed
176 products labeled as “organic” or “made with organic (specified ingredients or food group[s])” (7 CFR
177 205.605[a]). Tapioca starch and gum acacia are agricultural products not specifically mentioned in the
178 National List. Maltodextrin is a synthetic substance derived from a starch and is not included in the
179 National List.

181 Status**182 Historic Use:**

184 Tocopherols were first used as antioxidants in food in 1949 (Burdock, 1997). Today they are used in a
185 variety of processed foods and animal feeds. Their use in organic production in the United States dates
186 back to the 1995 approval of tocopherols for use as a food antioxidant in organic handling (NOSB, 1995).
187 Tocopherols have been used in cosmetic formulations for many years (CIR, 2002).

Organic Foods Production Act, USDA Final Rule:

Mixed tocopherols contain alpha-tocopherol, a form of vitamin E. Vitamins (used for enrichment or fortification when FDA approved) are included on the National List as synthetic ingredients allowed as feed additives in organic livestock production (7 CFR 205.603[d][3]).

Tocopherols (derived from vegetable oil when rosemary extracts are not a suitable alternative) are included on the National List as a synthetic nonagricultural substance allowed as an ingredient in or on processed products labeled as “organic” or “made with organic (specified ingredients or food group[s])” (7 CFR 205.605[b]).

International:**Canadian General Standards Board (CGSB) Permitted Substances List**

Tocopherols and mixed natural concentrates (derived from vegetable oil when rosemary extracts are not a suitable alternative) are included on the CGSB Permitted Substances List as a nonorganic ingredient classified as a food additive (CGSB, 2011). Tocopherols are not specifically permitted by the CGSB for use as antioxidants in organic livestock production. Antioxidants for use in livestock feed must be from nonsynthetic sources only (water, alcohol, acid and base extracts permitted by the standard only) (CGSB, 2011).

The new CGSB Organic Aquaculture Standards published in May 2012 do not specifically list tocopherols for use as feed additives in organic aquaculture (CGSB, 2012). Antioxidants are permitted as feed additives from non-synthetic sources only (water, alcohol, acid and base extracts permitted by CAN/CGSB-32.310 and CAN/CGSB-32.311 only). Synthetic sources are permitted when legally required.

CODEX Alimentarius Commission, Guidelines for the Production, Processing, Labelling and Marketing of Organically Produced Foods (GL 32-1999)

Tocopherols (mixed natural concentrates) are permitted for use in organic processed plant products by the CODEX Alimentarius Commission (2001). Tocopherols are not specifically permitted for use in organic livestock feed by the CODEX Alimentarius Commission; only antioxidants from natural sources are allowed.

European Economic Community (EEC) Council Regulation, EC No. 834/2007 and 889/2008

Tocopherol-rich extract (as an antioxidant for fats and oils) is listed as a substance permitted in the European Union for use in the preparation of organic foodstuffs of plant and animal origin (Commission of the European Communities, 2008). “Tocopherol-rich extracts of natural origin used as an antioxidant” are permitted as a feed additive in organic livestock production.

In August 2009, detailed rules on organic aquaculture animal and seaweed production were published in the Official Journal of the European Union (Commission of the European Communities, 2009).

“Tocopherol-rich extracts of natural origin used as an antioxidant” remained listed as substances permitted as a feed additive for all organic animals. In addition, all “natural antioxidant substances” are listed as substances permitted in feed specifically for aquaculture animals.

Japan Agricultural Standard (JAS) for Organic Production

“Mix tocopherol” is listed by the JAS for Organic Production as a substance permitted for use in organic processed foods of plant and animal origin (Japanese Ministry of Agriculture, Forestry and Fisheries, 2012).

In the case of processed foods of animal origin, their use is limited to processed meat products.

Tocopherols are not specifically listed by the JAS for Organic Production for use in organic livestock production. Feed additives are only permitted for use in organic livestock production if they are natural substances or derived from natural substances without being chemically treated (Japanese Ministry of Agriculture, Forestry and Fisheries, 2012).

243 International Federation of Organic Agriculture Movements (IFOAM)

244 Tocopherols (mixed natural concentrates) are listed by IFOAM as food additives permitted for use in
245 organic processed foods (IFOAM, 2012). Tocopherols are not specifically listed by IFOAM for use in
246 organic livestock production. However, all preservatives (except when used as a processing aid) are
247 prohibited in the diet of organic livestock.

248
249 The 2012 IFOAM Norms for Organic Production and Processing also include organic aquaculture
250 production standards. The standards for organic aquaculture feed are the same as those for organic
251 livestock feed. Tocopherols are not specifically mentioned. Preservatives (except when used as a
252 processing aid) are prohibited in the diet of organic aquaculture animals (IFOAM, 2012).

253 Naturland – Association for Organic Agriculture (Germany)

254 According to the Naturland Standards for Organic Aquaculture published in 2012, synthetic feed additives
255 are not permitted in organic aquaculture feed. However, “natural antioxidants (e.g., tocopherol)” may be
256 added to the feed upon approval by Naturland (Naturland, 2012).

257

259 Evaluation Questions for Substances to be used in Organic Crop or Livestock Production

260

261 **Evaluation Question #1: Indicate which category in OFPA that the substance falls under: (A) Does the**
262 **substance contain an active ingredient in any of the following categories: copper and sulfur**
263 **compounds, toxins derived from bacteria; pheromones, soaps, horticultural oils, fish emulsions, treated**
264 **seed, vitamins and minerals; livestock parasiticides and medicines and production aids including**
265 **netting, tree wraps and seals, insect traps, sticky barriers, row covers, and equipment cleansers? (B) Is**
266 **the substance a synthetic inert ingredient that is not classified by the EPA as inerts of toxicological**
267 **concern (i.e., EPA List 4 inerts) (7 U.S.C. § 6517(c)(1)(B)(ii))? Is the synthetic substance an inert**
268 **ingredient which is not on EPA List 4, but is exempt from a requirement of a tolerance, per 40 CFR part**
269 **180?**

270

271 (A) Tocopherols possess vitamin E activity. The isomer with the highest vitamin E activity is alpha-
272 tocopherol. Therefore, tocopherols can be considered part of the vitamin category.

273 (B) Tocopherols are not classified by the EPA as an inert of toxicological concern. Vitamin E (d-alpha
274 tocopherol) is exempt from a requirement of a tolerance per 40 CFR 180.910.

275

276 **Evaluation Question #2: Describe the most prevalent processes used to manufacture or formulate the**
277 **petitioned substance. Further, describe any chemical change that may occur during manufacture or**
278 **formulation of the petitioned substance when this substance is extracted from naturally occurring plant,**
279 **animal, or mineral sources (7 U.S.C. § 6502 (21)).**

280

281 Processes used to manufacture tocopherol products are described by several sources that are summarized
282 here. The petitioner indicated that mixed tocopherols are extracted from soybean oil using solvent
283 extraction. Hexane was reported as a commonly-used solvent, and other solvents may include ethanol,
284 isopropanol, acetone, isopentane, isohexane, and trichloroethylene (Aquaculture Working Group, 2012).

285

286 The 1995 Technical Advisory Panel (TAP) Report for Tocopherols, which reviewed the use of tocopherols
287 as a food antioxidant, states that tocopherols are made via vacuum steam distillation of edible vegetable oil
288 products (NOSB, 1995). The European Food Safety Authority (EFSA) also reports that mixed tocopherols
289 are obtained via vacuum steam distillation of edible vegetable oil products (EFSA, 2008). The raw material
290 used for the manufacturing of tocopherols is reported to be a byproduct of vegetable oil refining (e.g.,
291 deodorizer distillate). Common vegetable oils being used include soybean, rapeseed, sunflower, corn, and
292 cottonseed oils. The vegetable oil byproduct undergoes a combination of purification and distillation steps
293 to produce the mixed tocopherols material. The stereochemistry of the tocopherol compounds is
294 reportedly preserved so that the mixed tocopherols are identical to the various forms of tocopherols found
295 in the natural source material (EFSA, 2008).

296

297 Burdock (1997) reports that tocopherols are extracted from vegetable oil deodorizer distillate. Deodorizer
298 distillate, obtained from the deodorization process of vegetable oil refining, is a complex mixture
299 containing many compounds including tocopherols, tocotrienols, sterols, esters of sterols, free fatty acids,
300 and mono-, di- and triglycerides. The other compounds can be separated from tocopherols through a
301 series of steps that may include esterification with a lower alcohol followed by washing and vacuum
302 distillation, or by saponification or fractional liquid-liquid extraction (Burdock, 1997). The tocopherols can
303 be further purified using one or more of the following processes: molecular distillation, extraction, and/or
304 crystallization.

305
306 In a 2012 document, EFSA reports that tocopherols are produced from vegetable oils through a series of
307 extraction steps that include crystallization, multiple distillations, and, finally, a standardization of the
308 additive with vegetable oil (EFSA, 2012). JECFA (2006) also reports that a vegetable oil may be added to
309 the purified tocopherols mixture in order to adjust the required amount of total tocopherols in the product.
310 The final product may also be mixed with certain additives to enhance the effectiveness of tocopherols,
311 such as rosemary extract, ascorbyl palmitate or ascorbic acid, lecithin, and/or citric acid (Pokorny et al.,
312 2001; Lampi et al., 2002). Powdered tocopherol products are produced by spray-drying the liquid
313 tocopherol product onto a carrier or mixture of carriers such as tapioca starch, gum acacia, or maltodextrin
314 (Organic Technologies, 2009; NOSB, 1995).

315
316 **Evaluation Question #3: Discuss whether the petitioned substance is formulated or manufactured by a**
317 **chemical process, or created by naturally occurring biological processes (7 U.S.C. § 6502 (21)).**

318
319 The available sources discussed below all indicate that tocopherols for use as antioxidants in food or feed
320 are derived from plant products, and therefore the compounds originate from naturally occurring
321 biological processes. Tocopherols can be extracted from vegetable oils in several different ways. All of the
322 methods found in the literature involve chemical processes. At the end of the process used to extract and
323 purify tocopherols, the compounds remain in the same form as in the naturally occurring source materials.

324
325 Tocopherols are extracted from a natural material (vegetable oil) through many different steps. Most of the
326 available sources indicate that a byproduct of vegetable oil refining (deodorizer distillate) is commonly
327 used as the raw material for the manufacturing of tocopherols. Deodorizer distillate is reported to be an
328 important commercial source of tocopherols (Verleyen et al., 2001). Deodorization is the final step in the
329 chemical refining of edible vegetable oils. It is a steam distillation process used to remove undesirable
330 ingredients to produce oil with characteristic mild odor and flavor (Medina-Juarez and Gamez-Meza,
331 2011).

332
333 The extraction of tocopherols from vegetable oil byproducts may include one or more of the following
334 chemical processes: esterification, saponification, solvent extraction, and/or crystallization using a solvent
335 (see the response to Evaluation Question #2). Physical separation methods may also be used during the
336 extraction of tocopherols, and these include various distillation steps.

337
338 Esterification is a chemical process that can be used to prepare the deodorizer distillate for easier
339 separation of the tocopherols. The tocopherol compounds themselves are not meant to be esterified in this
340 step, although they may react to a limited extent (Barnicki et al., 1996). Rather, esterification is used to
341 convert the volatile alcohols in vegetable oils into less volatile fatty acid esters (Ogbonna, 2009). The
342 tocopherols can then be separated from the other compounds with different boiling points using
343 distillation at different temperatures. One example of this is explained in U.S. Patent No. 5,512,691
344 (Barnicki et al., 1996). According to this document, esterification occurs when the distillate is heated under
345 high pressure. An acid may be added as a catalyst (e.g., butyl stannic acid, zinc acetate, phosphoric acid,
346 dibutyl tin oxide, or other mild mineral acids), and additional C₁₀-C₂₂ fatty acids may be added to the
347 solution (Barnicki et al., 1996). Nagao et al. (2005) report that a lipase such as *Candida* sp. lipase may be
348 used as a catalyst during esterification instead of an acid. During the reaction steps, the sterols present in
349 the distillate react with the free fatty acids to form sterol esters; the alcohol moieties react to form fatty acid
350 esters and waxes; and the mono- and di- fatty acid glycerides are converted to triglycerides (Barnicki et al.,

1996). The unchanged tocopherols are then separated from these compounds through a series of distillations.

Saponification is another chemical process that can be used to prepare the deodorizer distillate for easier separation of the tocopherols. One example of this is explained in U.S. Patent Application No. US 2008/0015367 A1 (Dobbins et al., 2008). According to this document, the phytosterol fatty acid esters present in the deodorizer distillate can be saponified with potassium hydroxide forming a solvent medium of methanol, water, and the potassium soaps of fatty acids. The tocopherols remain unsaponified and can be recovered via acidification of the mixture with a dilute aqueous solution of a mineral acid followed by separation of the water-immiscible mixture and fractional distillation (Dobbins et al., 2008).

The petitioner indicated that mixed tocopherols are extracted from soybean oil using solvent extraction. Hexane was reported as a commonly used solvent, and other solvents may include ethanol, isopropanol, acetone, isopentane, isohexane, and trichloroethylene (Aquaculture Working Group, 2012). Ogbonna (2009) reported that various organic solvents such as hexane are traditionally used during the extraction of tocopherols from plant products.

No sources were identified that discuss whether the synthetic materials used in the extraction of tocopherols remain in the final product in any significant amounts.

Evaluation Question #4: Describe the persistence or concentration of the petitioned substance and/or its by-products in the environment (7 U.S.C. § 6518 (m) (2)).

Tocopherols are produced by all plant tissues, algae, and some cyanobacteria (DellaPenna and Pogson, 2006). They are naturally part of the aquatic environment, and low levels of tocopherols are present in the tissues of fish and other aquatic animals (Polat et al., 2012). The European Food Safety Authority has stated that the use of tocopherol-rich extracts in animal nutrition will not result in a substantial increase in the concentration of tocopherols in the environment (EFSA, 2012).

Tocopherols are easily oxidized in the presence of light or metals or when exposed to high temperatures or alkaline pH conditions (Lampi et al., 2002). Oxidative degradation of tocopherols results in the formation of tocopheroxides, tocopherol quinones, and tocopherol hydroquinones (Gregory, 1996). Further oxidation and rearrangement reactions can lead to the formation of many other compounds. Pokorny (2007) stated that, by reaction with free radicals, tocopherols are converted to quinones, spirodimers, copolymers with oxidized lipids, and various other compounds. Quinones are a group of compounds that are ubiquitous in nature, and they naturally occur in plants, fungi, and bacteria (Monks and Jones, 2002). Tocopherol spirodimer is a major product of tocopherol oxidation in vivo and is found in animal tissues (Al-Malaika, 2004).

No sources were identified that discuss the possible persistence of tocopherols or its breakdown products in the environment.

Evaluation Question #5: Describe the toxicity and mode of action of the substance and of its breakdown products and any contaminants. Describe the persistence and areas of concentration in the environment of the substance and its breakdown products (7 U.S.C. § 6518 (m) (2)).

Tocopherols are a natural part of the diet of humans and animals. The various forms of tocopherols are not interconvertible within the human body, and alpha-tocopherol is the only form that has vitamin E activity for humans (IOM, 2000). The Recommended Dietary Allowance for vitamin E (as alpha-tocopherol) set by the Institute of Medicine (IOM, 2000) ranges from 6 mg/day for young children to 15 mg/day for adults (19 mg/day for lactating women). The Tolerable Upper Intake Level (UL) for alpha-tocopherol ranges from 200 mg/day for young children to 1,000 mg/day for adults. The UL is the highest level of total daily alpha-tocopherol intake that is likely to pose no risk of adverse health effects in almost all individuals. The UL applies to all stereoisomers of alpha-tocopherol (IOM, 2000).

406 There is no evidence of adverse effects resulting from the consumption of alpha-tocopherol naturally
407 occurring in foods (IOM, 2000). Excess intake of alpha-tocopherol in humans from supplementation,
408 fortification of foods, or pharmacological use might increase the risk of bleeding (by reducing the blood's
409 ability to form clots after a cut or injury) or hemorrhagic stroke (IOM, 2000; Office of Dietary Supplements,
410 2011). However, a clear causal relationship has not yet been established (IOM, 2000). Other side effects of
411 excessive alpha-tocopherol intake have been reported in various studies and include fatigue, emotional
412 disturbances, thrombophlebitis, breast soreness, creatinuria, altered serum lipid and lipoprotein levels,
413 gastrointestinal disturbances, and thyroid effects (IOM, 2000). However, none of these reported effects
414 have been consistently observed or shown in controlled studies.

415
416 Animal studies demonstrate that alpha-tocopherol is not mutagenic, carcinogenic, or teratogenic (IOM,
417 2000). However, a large study supported by the National Institutes of Health (NIH) concluded that
418 vitamin E supplementation increased the occurrence of prostate cancer by 17% in men who received the
419 vitamin E supplement alone versus those who received a placebo. No increase in prostate cancer was
420 observed when vitamin E and selenium supplements were taken together (Klein et al., 2011). The vitamin
421 E supplement used in this study was 400 international units (IU)/day of all-rac-alpha-tocopherol acetate,
422 which is equivalent to 180 mg/day of natural alpha-tocopherol (using calculations provided in IOM, 2000).

423
424 In regard to the other forms of tocopherols (beta, gamma, and delta forms), the IOM reports that little
425 information is available on the possible adverse effects to humans resulting from ingestion of amounts that
426 exceed the levels normally found in foods. All forms of tocopherols are absorbed into the body following
427 ingestion; therefore, all forms could contribute to vitamin E toxicity (IOM, 2000).

428
429 Vitamin E toxicity may be caused by antagonism with the function of other fat-soluble vitamins (EFSA,
430 2008). Very high doses of vitamin E in animal studies have shown impaired bone mineralization, reduced
431 liver storage of vitamin A, and hemorrhagic effects. These effects could be corrected in animals by
432 increasing the dietary supplements of the appropriate fat-soluble vitamin (i.e., vitamin D for impaired bone
433 mineralization, vitamin A for reduced liver storage of vitamin A, and vitamin K for hemorrhagic effects)
434 (EFSA, 2008).

435
436 No sources were identified that discuss toxic effects resulting from the breakdown products of tocopherols
437 or resulting from contaminants in commercially-produced tocopherols. No sources were identified that
438 discuss the possible persistence and areas of concentration of tocopherols or its breakdown products in the
439 environment.

440
441 **Evaluation Question #6: Describe any environmental contamination that could result from the**
442 **petitioned substance's manufacture, use, misuse, or disposal (7 U.S.C. § 6518 (m) (3)).**

443
444 No sources were identified that discuss whether the manufacture, use, misuse, or disposal of tocopherols
445 results in any environmental contamination.

446
447 As described in the response to Evaluation Question #3, organic solvents and other chemicals may be used
448 in the commercial extraction of tocopherols from vegetable oil. If these chemicals are released into the
449 environment through waste streams, then environmental contamination could occur.

450
451 **Evaluation Question #7: Describe any known chemical interactions between the petitioned substance**
452 **and other substances used in organic crop or livestock production or handling. Describe any**
453 **environmental or human health effects from these chemical interactions (7 U.S.C. § 6518 (m) (1)).**

454
455 No sources were identified that discuss any known chemical interactions between tocopherols and other
456 substances used in organic crop or livestock production or handling. In general, tocopherols are
457 incompatible with strong oxidizing agents and alkali compounds (ADM, 2009). Because they are added to
458 foods and feeds as antioxidants, by definition, they are not considered stable in those products (EFSA,
459 2012).

460

461 **Evaluation Question #8: Describe any effects of the petitioned substance on biological or chemical**
462 **interactions in the agro-ecosystem, including physiological effects on soil organisms (including the salt**
463 **index and solubility of the soil), crops, and livestock (7 U.S.C. § 6518 (m) (5)).**
464

465 No sources were identified that discuss any negative effects of tocopherols on biological or chemical
466 interactions in the aquatic agro-ecosystem, including nontarget aquatic organisms, physical water
467 conditions, endangered species, or biodiversity.
468

469 Tocopherols are one of the most important lipid-soluble antioxidants for living things (Häubner, 2010).
470 Tocopherols can only be produced by photosynthetic organisms, including phytoplankton (microalgae) in
471 marine and freshwater ecosystems. Tocopherols are transported up the aquatic food chain and are
472 essential to the health of fish species (Häubner, 2010). The most biologically active tocopherol in fish is
473 alpha-tocopherol (Häubner, 2010). In animal tissues, alpha-tocopherol functions primarily to stabilize
474 membranes. It also ensures the best utilization of lipids in the diet and helps maintain body stores of
475 essential fatty acids (Häubner, 2010). The vitamin E (alpha-tocopherol) requirements of many fish have
476 been studied in aquaculture and are generally in the range of 20-50 mg/kg of dry feed, although some fish
477 have higher requirements (~100 mg/kg of dry feed) (Sargent et al., 2002; Halver, 2011).
478

479 Alpha-tocopherol is the major naturally occurring tocopherol in the lipids of marine fish, however beta-
480 and gamma- tocopherols are also absorbed and deposited in fish tissues (Sargent et al., 2002). Excessive
481 intake of tocopherols above the vitamin E requirement of fish could result in hypervitaminosis E, a
482 condition of high storage levels of the vitamin in the fish which could result in toxic symptoms such as
483 poor growth, toxic liver reaction, and death (De Silva et al., 2012; Halver, 2002). No sources were identified
484 that specifically discussed the possibility of hypervitaminosis E caused by the use of tocopherols as
485 antioxidants in aquaculture feed.
486

487 **Evaluation Question #9: Discuss and summarize findings on whether the use of the petitioned**
488 **substance may be harmful to the environment (7 U.S.C. § 6517 (c) (1) (A) (i) and 7 U.S.C. § 6517 (c) (2) (A)**
489 **(i)).**
490

491 It is unlikely that the use of tocopherols as an antioxidant in aquatic animal feed would be harmful to the
492 environment. Tocopherols are produced by all photosynthetic organisms, they are naturally part of the
493 aquatic environment, and low levels of tocopherols are present in the tissues of fish and other aquatic
494 animals (Häubner, 2010; Polat et al., 2012). The European Food Safety Authority has stated that the use of
495 tocopherol-rich extracts in animal nutrition will not result in a substantial increase in the concentration of
496 tocopherols in the environment (EFSA, 2012).
497

498 As described in the response to Evaluation Question #3, organic solvents and other chemicals may be used
499 in the commercial extraction of tocopherols from vegetable oil. If these chemicals are released into the
500 environment through waste streams, then environmental contamination could occur. However, no sources
501 were identified that discussed environmental contamination resulting from the manufacturing of
502 tocopherols. As discussed in the response to Evaluation Question #5, no sources were identified that
503 discussed the possible persistence and areas of concentration of tocopherols or its breakdown products in
504 the environment.
505

506 **Evaluation Question #10: Describe and summarize any reported effects upon human health from use of**
507 **the petitioned substance (7 U.S.C. § 6517 (c) (1) (A) (i), 7 U.S.C. § 6517 (c) (2) (A) (i) and 7 U.S.C. § 6518**
508 **(m) (4)).**
509

510 No sources were identified that discuss adverse effects upon human health from the use of tocopherols as
511 an antioxidant in aquatic or terrestrial animal feed. It is unlikely that the use of tocopherols as an
512 antioxidant in aquatic animal feed would be harmful to human health. Tocopherols are a natural part of
513 the human diet, with a large proportion of intake coming from tocopherols naturally present in vegetable
514 oils (IOM, 2000). Tocopherols are affirmed as GRAS by the FDA when used as chemical preservatives or
515 nutrients in food for human consumption in accordance with good manufacturing practice (21 CFR

516 182.3890, 182.8890). In 2012, the European Food Safety Authority published a scientific opinion of the use
517 of tocopherols as antioxidants in feed for all animal species with no minimum and maximum content. The
518 scientific panel concluded that: "Tocopherol-rich extracts and all-rac-alpha-tocopherol at use levels are safe
519 for all animal species and the consumer. No concern for user safety is expected from the use of tocopherol-
520 rich extracts and all-rac-alpha-tocopherol in feed" (EFSA, 2012).

521
522 The tocopherol level found in the flesh of a fish is related to the fish's total dietary intake of tocopherols
523 (Sargent et al., 2002). The use of tocopherols as an antioxidant or vitamin supplement in aquatic animal
524 feed will possibly increase tocopherol levels in those fish that consume the feed. It is unlikely that an
525 increase in the flesh tocopherol levels caused by the addition of tocopherols in fish feed will cause adverse
526 effects in humans who consume those fish. No sources were identified that discuss this possibility.
527 Reports of adverse effects of tocopherols in humans are limited to studies and cases involving
528 supplementation with high levels of alpha-tocopherol, the most biologically active form of tocopherol in
529 humans.

530
531 **Evaluation Question #11: Describe all natural (non-synthetic) substances or products which may be**
532 **used in place of a petitioned substance (7 U.S.C. § 6517 (c) (1) (A) (ii)). Provide a list of allowed**
533 **substances that may be used in place of the petitioned substance (7 U.S.C. § 6518 (m) (6)).**
534

535 Natural antioxidants that may be used in place of tocopherols in aquatic animal feed include rosemary
536 extract, lecithin, and ascorbic acid (Hamre et al., 2010; Southgate, 2012; Hardy and Burrows, 2002). Very
537 few sources were identified that discussed the commercial use and efficacy of these antioxidants in
538 aquaculture feeds. The available information is summarized below.

539
540 The main active components of rosemary extracts are phenolic compounds including carnosic acid,
541 carnosol, and rosmarinic acid (Hamre et al., 2010). The antioxidant activity of a commercially-available
542 conventional rosemary extract, Herbalox® (Kalsec, Kalamazoo, MI), was tested in an experimental fish feed
543 study conducted by researchers from the Norwegian National Institute of Nutrition and Seafood Research
544 (Hamre et al., 2010). Rosemary extract was added to the fish feed at concentrations ranging from 120
545 mg/kg to 6,000 mg/kg. The results showed that rosemary extract was an effective antioxidant when
546 added at levels of 1,500 to 6,000 mg/kg in the feed. The addition of 6,000 mg/kg rosemary extract was
547 more effective than the control antioxidant blend containing the synthetic antioxidant ethoxyquin (1,200
548 mg/kg) along with mixed tocopherols (700 mg/kg), ascorbic acid (1,000 mg/kg), and a phosphate mix (850
549 mg/kg). It was also more effective than mixed tocopherols alone added at 350 to 1,400 mg/kg in the feed.
550 The authors of this study stress that it is difficult to predict the effectiveness of antioxidants in different
551 feed types, and it is necessary to study them in the specific systems in which they are going to be used
552 (Hamre et al., 2010).

553
554 According to the petitioner, rosemary imparts an undesirable taste to fish; therefore, rosemary extracts can
555 only be used in small amounts in fish feed (Aquaculture Working Group, 2012). No additional sources
556 were identified that discussed this issue.

557
558 Lecithin can be used as a supplemental source of phospholipids in aquatic animal feeds (ADM, 2003).
559 According to Archer Daniels Midland Company (Decatur, IL), a manufacturer of conventional lecithin
560 products, lecithin also acts as a natural antioxidant in the feed (ADM, 2003). No additional sources were
561 identified that discussed the use of lecithin as an antioxidant in aquatic animal feed (except in combination
562 with tocopherols or other synthetic antioxidants).

563
564 Ascorbic acid (vitamin C) has antioxidant properties due to its ability to scavenge free radicals and
565 inactivate metal ions (Hamre et al., 2010). The antioxidant activity of ascorbic acid in an experimental fish
566 feed was tested in the Hamre et al. (2010) study. Other antioxidants studied included rosemary extract,
567 mixed tocopherols, ascorbyl palmitate, citric acid, and spermine. Crystalline ascorbic acid was added to
568 the fish feed at concentrations ranging from 500 to 2,000 mg/kg. The results showed that ascorbic acid was
569 an effective antioxidant at all concentrations studied, and that ascorbic acid was more effective than mixed
570 tocopherols (added at 350 to 1,400 mg/kg) under the specific conditions of this experiment. The authors

571 concluded that ascorbic acid and rosemary extract were the most effective of the natural antioxidants
572 studied and that ascorbyl palmitate, citric acid, and spermine had only minor antioxidant effects (Hamre et
573 al., 2010).

574
575 Many other substances have shown promise in laboratory studies as possible natural replacements for
576 synthetic antioxidants used to preserve fish oil and fishmeal. However, no evidence was found of their use
577 in commercial aquaculture. These natural antioxidants include boldine (an extract from the boldo tree,
578 Valenzuela et al., 1991); hard winter wheat extracts (Yi et al., 2002); red algal extracts (Athukorala et al.,
579 2003); Chardonnay grape and black raspberry seed extracts (Luther et al., 2007); *Vitis vinifera* grape extracts
580 (Pazos et al., 2005); green tea extracts (Wanasundara and Shahidi, 1998); oregano (Tsimidou et al., 1995);
581 brown seaweed extracts (*Ecklonia cava*, *Hizikia fusiformis*) (Heo et al., 2003; Senevirathne et al., 2006;
582 Siriwardhana et al., 2004); tannic acid (Maqsood and Benjakul, 2010); and extracts of the *Salvia plebia* herb
583 (Jiang and Wang, 2006).

584
585 Nonsynthetic substances (not prohibited under 7 CFR 205.604) may be used as feed additives in organic
586 livestock production provided that all agricultural ingredients included in the list of ingredients for such
587 additives have been produced and handled organically (7 CFR 205.237). The National Organic Program
588 (NOP) guidance document, "Evaluating Allowed Ingredients and Sources of Vitamins and Minerals for
589 Organic Livestock Feed" provides further clarification on the agricultural, nonsynthetic, and synthetic
590 ingredients permitted in organic livestock feed (NOP, 2013).

591
592 **Evaluation Question #12: Describe any alternative practices that would make the use of the petitioned**
593 **substance unnecessary (7 U.S.C. § 6518 (m) (6)).**

594
595 No sources were identified that discussed alternative practices that would make the use of an antioxidant
596 unnecessary in aquatic animal feed. Tucker (2012) reports that antioxidants are necessary in aquaculture
597 feeds because the oxidative rancidity of lipids in feeds can affect the survival and growth of fish.

598

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