### **Neuronal Substrates of Sleep and Epilepsy**

Contrary to the conventional wisdom that sleep is a resting state of the brain, with negligible activity of cortical neurons, the author brings evidence favoring the idea that, during this behavioral state, memory traces acquired during waking are consolidated. Many physiological correlates of waking and sleep states as well as diverse types of epileptic seizures are discussed. The author focuses on the coalescence of different sleep rhythms in interacting corticothalamic networks and on three types of paroxysmal disorders; namely spike-wave seizures as in absence epilepsy, Lennox–Gastaut seizures, and temporal lobe epilepsy. Profusely illustrated with figures from *in vivo, in vitro* and *"in computo"* studies, the majority coming from the author's own laboratory, *Neuronal Substrates of Sleep and Epilepsy* is essential reading for neuroscientists and clinical researchers.

MIRCEA STERIADE has held the position of Professor and Head of the Laboratory of Neurophysiology at Laval University, Quebec since 1968 and is a Fellow of the Royal Society of Canada (Academy of Sciences). His main areas of interest have focused on states of vigilance, epilepsy, the cerebral cortex, the thalamus, and brainstem, and has employed intracellular studies of all of these. He has published over 300 scientific articles. He is co-author of *Thalamic Oscillations and Signaling* (1990), *Brainstem Control of Wakefulness and Sleep* (1990), *The Visual Thalamocortical System and its Modulation by the Brainstem Core, Thalamus* (Vol. 1, 1997), and co-editor of *Brain Cholinergic Systems* (1990) and *Thalamus* (Vol. 2, 1997). His most recent book is *The Intact and Sliced Brain* (2001).

# **Neuronal Substrates of Sleep and Epilepsy**

MIRCEA STERIADE



> PUBLISHED BY THE PRESS SYNDICATE OF THE UNIVERSITY OF CAMBRIDGE The Pitt Building, Trumpington Street, Cambridge, United Kingdom

CAMBRIDGE UNIVERSITY PRESS The Edinburgh Building, Cambridge CB2 2RU, UK 40 West 20th Street, New York, NY 10011-4211, USA 477 Williamstown Road, Port Melbourne, VIC 3207, Australia Ruiz de Alarcón 13, 28014 Madrid, Spain Dock House, The Waterfront, Cape Town 8001, South Africa

http://www.cambridge.org

© Cambridge University Press 2003

This book is in copyright. Subject to statutory exception and to the provisions of relevant collective licensing agreements, no reproduction of any part may take place without the written permission of Cambridge University Press.

First published 2003

Printed in the United Kingdom at the University Press, Cambridge

Typeface Swift 9.75/13 pt and Imago System IAT<sub>E</sub>X  $2_{\mathcal{E}}$  [TB]

A catalog record for this book is available from the British Library

Library of Congress Cataloging in Publication data

Steriade, Mircea.

Neuronal substrates of sleep and epilepsy/Mircea Steriade. p. cm. Includes bibliographical references and index. ISBN 0 521 81707 2 1. Sleep – Physiological aspects. 2. Convulsions. 3. Neurons. 4. Neural circuitry. I. Title. QP425 .S733 2003 612.8'21-dc21 2002073359

ISBN 0 521 81707 2 hardback

This book is dedicated to my daughters, Donca and Claude, and to Jacqueline.

## Contents

Preface page xi Acknowledgments xiii

- 1 Pioneering steps in studies on sleep and epilepsy 1
- 1.1 Brain, neurons and sleep across centuries 1
- 1.2 Evolution of concepts and methods used in studies on epileptic seizures 7

#### 2 Neuronal types and circuits in sleep and epilepsy 13

- 2.1 Neocortical neuronal types 14
- 2.1.1 Four major types of neocortical neurons and their subclasses 14
- 2.1.2 Different incidences of neuronal types under various experimental conditions 25
- 2.1.3 Transformations of firing patterns during shifts in behavioral states 28
- 2.1.4 Neuron-glia networks 33
- 2.2 Neuronal types in archicortex and related systems 35
- 2.2.1 Hippocampus 35
- 2.2.2 Entorhinal cortex 40
- 2.2.3 Amygdala 42
- 2.3 Thalamic neurons 46
- 2.3.1 Thalamocortical neurons 47
- 2.3.2 Local inhibitory interneurons 51
- 2.3.3 Thalamic reticular neurons 51
- 2.4 Intrathalamic, intracortical, and corticothalamic neuronal circuits 58
- 2.4.1 Relations between thalamic relay and thalamic inhibitory neurons 58
- 2.4.2 Intracortical neuronal networks 62
- 2.4.3 Corticothalamic loops 67
- 2.5 Control of thalamocortical systems by generalized modulatory systems 73
- 2.5.1 Cholinergic and glutamatergic systems 75
- 2.5.2 Monoaminergic systems 81
- 2.6 Concluding remarks 87

viii | Contents

# 3 Neuronal properties, network operations and behavioral signs during sleep states and wakefulness 89

- 3.1 Falling asleep 89
- 3.1.1 Humoral factors 90
- 3.1.2 Neuronal mechanisms 93
- 3.1.2.1 Sensory and brain stimulation leading to sleep 94
- 3.1.2.2 Serotonin and sleep 95
- 3.1.2.3 Sleep-active neurons in and around the preoptic area 99
  - 3.2 Brain oscillations during slow-wave sleep 105
- 3.2.1 Spindles, a thalamic rhythm under neocortical influence 106
- 3.2.1.1 Thalamic reticular nucleus, pacemaker of spindles 108
- 3.2.1.2 Neocortex governs spindle synchronization 112
- 3.2.1.3 Permissive factors for development of spindles at sleep onset 121
- 3.2.1.4 Disconnecting effects of spindles on incoming signals 123
- 3.2.2 Delta: intrinsically generated thalamic rhythm and cortical waves 128
- 3.2.2.1 Thalamic delta rhythm: cortical synchronization and brainstem suppression 128
- 3.2.2.2 Cortical delta waves 134
- 3.2.3 The cortical slow oscillation 135
- 3.2.3.1 Depolarizing and hyperpolarizing phases in neurons and glia cells 136
- 3.2.3.2 The slow oscillation groups spindles, delta, fast, and ultra-fast rhythms 153
- 3.2.3.3 Synchronization of slow oscillation and effects on distant structures 163
- 3.2.3.4 Slow oscillation and other sleep rhythms in humans 171
- 3.2.4 Significance of sleep oscillations: why do we sleep? 176
- 3.2.4.1 Views from studies on metabolic parameters and scalp EEG 177
- 3.2.4.2 Views from studies on neuronal activities 179
- 3.3 Brain-active states: waking and rapid-eye-movement sleep 184 3.3.1 Phasic events 187
- 3.3.1.1 Ocular saccades and related intracellular events in cortical neurons 187
- 3.3.1.2 Ponto-geniculo-occipital waves 191
- 3.3.2 Fast rhythms (20-60 Hz) 198
- 3.4 Concluding remarks 205

### 4 Plastic changes in thalamocortical systems developing from low-frequency sleep oscillations 209

- 4.1 Excitation and inhibition of thalamic and cortical neurons during states of vigilance 210
- 4.1.1 Thalamus 211
- 4.1.2 Neocortex 216
- 4.2 Mechanisms of augmenting potentials in thalamocortical systems 223
- 4.2.1 Intrathalamic augmenting responses 228
- 4.2.1.1 High- and low-threshold augmentation in thalamocortical cells 228
- 4.2.1.2 Decremental and incremental responses in GABAergic reticular cells 236

Contents | ix

- 4.2.1.3 Alterations of thalamic augmenting responses during brain activation 241
- 4.2.2 Thalamocortical augmenting responses 241
- 4.2.2.1 Dual intracellular recordings from thalamic and cortical neurons 243
- 4.2.2.2 Role played by different types of cortical neurons in augmenting responses 249
- 4.2.2.3 State-dependent alterations in augmenting responses 251
- 4.2.3 Intracortical augmenting responses 253
- 4.2.3.1 Intact cortex 253
- 4.2.3.2 Isolated cortical slabs in vivo 253
  - 4.3 Plasticity of synaptic responses resulting from low-frequency oscillations 259
  - 4.3.1 Generalities 259
  - 4.3.2 Thalamus 266
  - 4.3.3 Neocortex and corticothalamic neuronal loops 267
  - 4.4 Concluding remarks 281

#### 5 Neuronal mechanisms of seizures 285

- 5.1 Patterns of different epileptic seizures in humans and animals 287
- 5.2 Sleep and epilepsy: normal oscillations during non-REM sleep developing into seizures 294
- 5.2.1 From low-frequency (7-15 Hz) sleep rhythms or augmenting responses to seizures 294
- 5.2.2 From very fast (80–200 Hz) rhythms during the slow sleep oscillation to seizures 301
- 5.3 Electrically and sensory-induced afterdischarges 302
- 5.4 Cellular basis of EEG interictal "spikes" 314
- 5.5 Seizures with spike-wave complexes at  $\sim$ 3 Hz 322
- 5.5.1 Generalized and focal spike-wave seizures 326
- 5.5.2 Dependency of spike-wave seizures on behavioral state of vigilance 333
- 5.5.3 Origin(s) and cellular mechanisms of spike-wave seizures 336
- 5.5.3.1 Evidence for a cortical role in initiation of spike-wave seizures 337
- 5.5.3.2 Thalamic reticular and thalamocortical neurons in spike-wave seizures 348
  - 5.6 Patterns of Lennox–Gastaut syndrome 371
- 5.6.1 Bicuculline-induced cortical seizures 372
- 5.6.2 Spontaneous seizures developing from the slow sleep oscillation 372
- 5.6.2.1 Asynchrony of fast runs recorded from different cortical foci 375
- 5.6.2.2  $I_{\rm H}$  and LTSs are implicated in the initiation of cortical paroxysmal cycles 377
- 5.6.2.3 Similar field-cellular relations in sleep and seizure patterns 380
- 5.6.2.4 Role of ripples and fast-rhythmic-bursting cells in promoting seizures 384
- 5.6.2.5 Hyperpolarizing seizures associated with a decrease in input resistance 393
- 5.6.2.6 Excitability of cortical neurons during Lennox-Gastaut-type seizures 396
- 5.6.3 Thalamic neurons during cortically generated seizures 401
  - 5.7 Grand-mal, tonico-clonic seizures 404
    - 5.8 Temporal lobe epilepsy 408

**x** | Contents

- 5.8.1 Hippocampus and entorhinal cortex 409
- 5.8.2 Amygdala 411
- 5.8.3 The disinhibition hypothesis in the generation of limbic seizures 413
- 5.9 Seizures after injury and deafferentation of neocortex 414
- 5.10 Dialogue between neurons and glial cells in neocortical seizures 416
- 5.11 Effects of epileptic seizures on sleep states 416
- 5.12 Concluding remarks 421

References 425 Index 518 Color plates between pp. 274 and 275

## Preface

This monograph is a synthesis of the ongoing efforts toward the understanding of neuronal mechanisms underlying sleep stages and different forms of paroxysmal (epileptiform) activities that preferentially occur during the states of drowsiness and slow-wave sleep. I have been interested in the neurophysiological basis of electrographic seizures since the 1960s, and this interest intensified during the early 1970s when I investigated spike-wave seizures during light sleep in behaving monkeys. This work inspired my idea that such seizures originate within the neocortex and set the scene for our recent intracellular work *in vivo*, throughout the 1990s. The journey continues this century, along the same conceptual lines, with new collaborators who have joined my team.

The two major topics of my laboratory are the neocortical and thalamic neuronal bases of sleep and of paroxysmal activities that mimic different forms of epilepsy in humans, more particularly absence seizures and Lennox-Gastaut syndrome. This is why sleep and these two forms of paroxysmal activities found a place of choice in the present monograph. Nonetheless, I have also attempted to relate these topics with a series of other forms of epilepsy. There are some edited volumes in which many authors express their views, sometimes discrepant, on sleep and/or epilepsy, but I decided to write a monograph because this may allow an expression of coherence, even if the views in this book might be, of necessity, biased by my ideas and personal experimental data. Let the reader judge the soundness of data and whether they support my concepts in this field. I have also included related clinical data but, of course, the reader may find more complete clinical phenomenology in handbooks of epilepsies. This monograph is for those basic neuroscientists and clinicians that want to spend some time over the text and figures to decipher the neuronal basis of normal and pathological phenomena.

The reader will find, as in my previous monograph on *The Intact and Sliced Brain* (The MIT Press, 2001), significant dissimilarities between the results from *in vivo* and some *in vitro* experiments, especially when the latter arise from work on isolated thalamic

xii | Preface

slices. Although I consider that the work *in vitro* led to important discoveries of the ionic nature of different voltage-gated currents and the identification of receptors implicated in synaptic transmission, and that every laboratory should have electrophysiological setups for both *in vivo* and *in vitro* experiments, I remain allergic to extrapolations from single cells and simple networks recorded in a 0.4-mm tissue to global notions such as "sleep" and "absence epilepsy", when even our animals with intact brain connectivity are quite absent during experimental procedures. This is why I refrain from using the clinical term of epilepsy when describing the neuronal basis of electrographic seizures. I hope, however, that the stereotyped events we are exploring in animal models may be similar to what future investigators will be able to detect by using intracellular recordings from different forms of epileptic diseases in humans.

## Acknowledgments

The memory of my mentor Frédéric Bremer continues to be an inspiration for me.

The personal work described in this monograph would not have been possible without the skillful and creative collaboration of my young colleagues. Among the many Ph.D. students and postdoctoral fellows that have worked in my laboratory at Laval University since 1968, I mention here (in order of appearance in my laboratory) the most prominent, with whom work on sleep and/or epilepsy was performed: V. Apostol, P. Wyzinski, G. Yossif, M. Deschênes, N. Ropert, L.L. Glenn, L. Domich, B. Hu, D. Paré, R. Curró Dossi, A. Nuñez, F. Amzica, D. Contreras, I. Timofeev, D. Neckelmann, and F. Grenier. Collaboration with T.J. Sejnowski, A. Destexhe, M. Bazhenov, and W.W. Lytton was instrumental in the computational studies of cortical and thalamic networks implicated in sleep and epilepsy.

Since 1968, my work has been continuously supported by grants from the Medical Research Council of Canada (now Canadian Institutes for Health Research), Natural Science and Engineering Research Council of Canada, Human Frontier Science Program, National Institute of Health (U.S.A.), Savoy Foundation for Epilepsy Research, and the Research Fund of Laval University.

Finally I thank some people from Cambridge University Press: Gavin Swanson, who encouraged me to start writing this monograph; Sarah Price, for careful reading and helpful suggestions; Zoe Naylor, for the design of the book; and Carol Miller, production editor.