

No effect of transcranial direct current stimulation of the auditory cortex on auditory-evoked potentials

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14 Abstract

Transcranial direct current stimulation (tDCS) is a non-invasive brain stimulation technique to 15 16 change cortical excitability. Its effects are shown for cognitive processing, and behavior in the motor and perceptual domains. However, evidence of tDCS effects in the perceptual domain particularly for 17 auditory processing is rare. Therefore, and in the context of disturbances in auditory processing in 18 19 psychiatric populations, e.g. in patients with auditory verbal hallucinations, we aimed to investigate 20 the potential modulatory effect of tDCS on the excitability of left posterior temporal cortex in detail. We included 24 healthy participants in a crossover design, applying sham and anodal stimulation in 21 22 two measurement sessions one week apart. Electroencephalography (EEG) was recorded while participants listened to tones before, during, and after stimulation. Amplitudes and latencies of P50, 23 24 N100, and P200 auditory-evoked potentials (AEP) were compared between anodal and sham 25 stimulation, and between time points before, during, and after tDCS. In contrast to previous studies, results demonstrate no significant differences between stimulation types or time points for any of the 26 27 investigated AEP amplitudes or latencies. Furthermore, a topographical analysis did not show any 28 topographical differences during peak time periods of the investigated AEP for stimulation types and 29 time points besides a habituation effect. Thus, our results suggest that tDCS modulation of excitability of the left posterior temporal cortex, targeting the auditory cortex, does not have any 30 effect on AEP. This is particularly interesting in the context of tDCS as a potential treatment for 31 32 changed electrophysiological parameters and symptoms of psychiatric diseases, e.g. lower N100 or 33 auditory verbal hallucinations in schizophrenia.

1 Introduction

Transcranial direct current stimulation (tDCS) is a non-invasive brain stimulation technique to change cortical excitability (Nitsche et al., 2008). For tDCS, a low electrical current is applied through two or more electrodes placed on the scalp. Anodal stimulation with the anode considered as

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38 'active' electrode is supposed to increase excitability of stimulated regions by depolarization of 39 neurons. In contrast, cathodal stimulation with the cathode considered as 'active' electrode is 40 assumed to decrease excitability by hyperpolarization of stimulated neurons (Nitsche et al., 2008). 41 However, a recent meta-analytical review revealed that effects of stimulation depend on the domain 42 of investigation, i.e. motor domain or 'cognition' (category of all non-motor domain studies compiled 43 by the authors), and the polarity of the active electrode (Jacobson et al., 2012). The authors conclude 44 that increases in excitability after anodal stimulation and especially decreases in excitability after 45 cathodal stimulation are more reliably shown in the motor domain. Furthermore, research on effects 46 of tDCS in the 'cognitive' domain demonstrates reliable increase of excitability after anodal 47 stimulation but no reliable decrease of excitability by cathodal stimulation (Jacobson et al., 2012). 48 Besides effects on cognition (Antal et al., 2014) and behavior in the motor domain (Jacobson et al., 49 2012), tDCS was also shown to modulate behavior in the perceptual domain, i.e. modulation of 50 visual (Antal et al., 2011; Costa et al., 2015), somato-sensory (Costa et al., 2015), and auditory processing (Costa et al., 2015; Heimrath et al., 2016a). Regarding auditory processing, application of 51 52 tDCS affected performance in a task assessing temporal resolution of auditory processing (Ladeira et 53 al., 2011; Heimrath et al., 2014). Further, tDCS also changed performance in pitch memory (Vines et 54 al., 2006; Schaal et al., 2013), pitch matching (Loui et al., 2010), and pitch discrimination (Mathys et 55 al., 2010; Matsushita et al., 2015). In addition to behavioral performance, tDCS effects on 56 electrophysiological changes for auditory discrimination were investigated using Mismatch 57 Negativity (MMN). MMN is an increased negative event-related potential of a 'deviant' stimulus, 58 which deviates from standard stimuli in frequency, duration, or pitch, in an oddball paradigm 59 (Naatanen et al., 1978; Naatanen & Michie, 1979; Naatanen et al., 2007). MMN amplitudes for 60 frequency deviants were reduced after anodal compared to sham and cathodal stimulation of the right inferior frontal cortex (Chen et al., 2014), and the bilateral auditory cortex (AC) (Heimrath et al., 61 62 2015). In contrast, two pilot studies which included 12 subjects each report opposite effects of 63 increased MMN amplitudes after anodal stimulation of the left AC compared to baseline (Impey & Knott, 2015; Impey et al., 2016), and decreased amplitudes after cathodal stimulation of the left AC 64 65 compared to baseline (Impey et al., 2016). However, it is difficult to disentangle tDCS effects on 66 MMN, because tDCS may modulate responses to both 'deviant' and 'standard' stimuli. Furthermore, the small sample size in both studies, and the subdivision into two groups based on performance in 67 68 one of them, call for caution in the interpretation of these results. Zaehle and colleagues aimed to 69 investigate the impact of tDCS on excitability of the AC by evaluating auditory-evoked potentials 70 (AEP) after tone presentation (Zaehle et al., 2011). They applied 11 min of either anodal, cathodal, or 71 sham tDCS at 1.25 mA of current intensity with the active electrode either located temporally (over 72 T7 of the 10-20 EEG system) or temporo-parietally (over CP5). Their results demonstrate changes in 73 some of the typical components occurring after tone presentation. In particular, after anodal 74 compared to sham and cathodal stimulation at the temporal location, Zaehle and colleagues found an 75 increase in the amplitude of P50, a positive potential occurring about 50ms after stimulus onset. 76 Further, P50 amplitude was higher for anodal stimulation over the temporal compared to the 77 temporo-parietal location and lower for cathodal stimulation over the temporal compared to the 78 temporo-parietal location. Amplitudes for the N100, a negative potential about 100ms after stimulus 79 onset (Picton et al., 1974), were lower for cathodal compared to sham and anodal stimulation over 80 the temporo-parietal location. Placing the cathode temporally resulted in lower N100 amplitudes 81 compared to placing it temporo-parietally. No effects of tDCS were observed for P50 latencies but 82 N100 latencies were shorter after anodal compared to sham stimulation temporo-parietally. Zaehle 83 and colleagues did not report changes in any other of the auditory components. In addition to 84 Zaehle's results, two studies reported effects of tDCS on AEP although the other studies presented 85 different kinds of stimuli in their study (Heimrath et al., 2016b; Impey et al., 2016). Heimrath and

- 86 colleagues investigated effects of tDCS on voiced and non-voiced syllables with stimulation located
- bilaterally at the AC (Heimrath et al., 2016b). They report higher P50 amplitudes for syllables

88 presented after anodal stimulation compared to sham and cathodal stimulation. TDCS did not affect

- 89 N100 amplitudes, N100 latencies, or P50 latencies. Further, Impey and colleagues applied tDCS over
- 90 the left AC to investigate effects on MMN (Impey et al., 2016). Their results also indicate that tDCS
- 91 did not affect N100 amplitudes or latencies.

92 Taken together, only one study investigated the impact of tDCS on excitability of the AC in a

- 93 systematic manner (Zaehle et al., 2011), and besides an increase in P50 amplitude (Heimrath et al.,
- 94 2016b), results of the studies with a different type of stimulus are not consistent with the results by
- 25 Zaehle et al. (Heimrath et al., 2016b; Impey et al., 2016). Therefore, we aimed to examine the effects
- 96 of tDCS on the left posterior temporal cortex, thereby targeting the auditory cortex excitability, in
- more detail. The effectiveness of tDCS on processing in the AC is particularly interesting in the
 context of tDCS as a potential treatment option for electrophysiological parameters and symptoms of
- 99 psychiatric diseases, e.g. lower N100 or auditory verbal hallucinations in schizophrenia (Ford et al.,
- 2001a; Ford et al., 2001b; Ford et al., 2001d; c; Hubl et al., 2007; Li et al., 2016; Ponde et al., 2017;
- 101 Gupta et al., 2018).

102 Zaehle and colleagues compared effects of stimulation types (anodal, cathodal, sham) after

103 stimulation (Zaehle et al., 2011), we here extended this protocol by assessing AEP at three time

104 points before, during, and after stimulation (Figure 1). We refrained from application of cathodal

stimulation, as expectations of effects are not entirely clear for behavior in other than the motor

106 domain (Jacobson et al., 2012). In line with earlier research (Zaehle et al., 2011; Heimrath et al.,

107 2016b), we expected to see an increase of P50 amplitude, N100 amplitude, and N100 latency. In

addition to P50 and N100 components, we investigated effects of tDCS on the P200, another positive

109 auditory component about 200ms after stimulus onset (Picton et al., 1974).

110 2 Materials and methods

111 2.1 Participants

- 112 We included 24 healthy participants (21 female) between 18-64 years (M = 26.4, SD = 3.39).
- 113 Concerning power, a sample size of 21 would be required to achieve a power of .8 with an effect size
- 114 of .275 that we estimated based on prior work and α of .05. All participants were right-handed
- 115 (Oldfield, 1971) and did not report any history of psychiatric or neurological disorders, or hearing
- 116 impairment.
- 117 The study was approved by the Ethics Committee of Canton Bern (KEK-BE-2016-01741) and
- 118 conducted in accordance with the Declaration of Helsinki. All participants provided written informed
- 119 consent.

120 **2.2 Procedure**

121 Measurements took place in a crossover design on two days with one week in between to avoid

122 carry-over effects of stimulation (Figure 1). The order of stimulation (anodal, sham) was assigned

123 randomly and stimulation applied in a double-blind design. Electroencephalography (EEG) was

- 124 recorded before (as baseline), during, and after stimulation, while participants performed a passive
- 125 listening task. One recording comprised presentation of 400 stimuli (tones), 200 stimuli twice with a
- 126 30 s break in between. To minimize habituation effects due to repetition of the same stimulus for

- 127 many times, 200 tones were presented in advance of baseline EEG recordings as a pre-recording
- 128 training.

129 2.3 Acoustic stimulation

130 Stimulus tones were generated using the cogent 2000 toolbox (version 1.32, www.vislab.ucl.ac.uk,

- 131 RRID:SCR_015672) for Matlab environment (version R2012a, The Mathworks, Inc., Natick, MA,
- 132 USA, RRID:SCR_001622). Pure sinusoidal tones of 200 ms duration and 1000 Hz frequency were
- 133 presented using Panasonic Technics SB-CS6 loudspeakers (Panasonic Corporation, Osaka, Japan)
- 134 with an intensity of 65 dB and inter-stimulus intervals were jittered between 900 ms and 1100 ms.

135 **2.4 EEG recordings**

- 136 EEG signal was recorded in a shielded room using a digital EEG amplifier system (BrainAmp DC
- amplifiers, Brain Products GmbH, Gilching, Germany, RRID:SCR_009443) and software
- 138 (BrainVision Recorder, version 1.20.0601, Brain Products GmbH), filtered between .016 Hz and
- 139 1000 Hz with a sampling rate of 2500 Hz. Fifty-six passive Ag/Cl EEG electrodes were mounted on
- 140 the scalp according to the international 10-20 EEG system with CPz as reference (Figure 2A). The
- 141 ground electrode was placed at AFz. TDCS electrode montage required exclusion of electrode signals
- of Fp2, AF4, AF8, F6, TP9, TP7, CP5, P7, P5, PO7. Two additional electrodes on the outer canthi
- 143 recorded electrooculograms of both eyes. All impedances were kept below 10 k Ω .

144 **2.5 TDCS procedure**

- 145 Stimulation was applied using a battery driven constant current stimulator (eldith, NeuroConn
- 146 GmbH, Ilmenau, Germany) with the active 5 cm x 7 cm rubber electrode positioned over TP7 and P7
- 147 according to the international 10-20 EEG system, and the reference 5 cm x 5 cm rubber electrode
- 148 over Fp2, AF4, and AF8 (Figure 2A). Impedances were kept below 10 k Ω . Stimulation montage was
- determined based on simulations with the software HD-Explore (Soterix Medical Inc., New York, NY, USA) similar of the AC (Figure 2D). For each data in the software data in th
- 150 NY, USA) aiming at stimulation of the AC (Figure 2B). For anodal stimulation, 1 mA was applied 151 for 20 min (1 s fade in/out). For sham stimulation, the stimulator stopped stimulation after 20 s
- for 20 min (1 s fade in/out). For sham stimulation, the stimulator stopped stimulation after 30 s.
 Awareness of stimulation order was at 58% (14 out of 24 participants correctly identified order of
- Awareness of sumulation order was at 38% (14 out of 24 participants correctly identified order of stimulation), which is not significantly different of chance level, tested with a binomial test (p = .54).

154 **2.6 Data analyses**

155 2.6.1 Preprocessing

- 156 Offline preprocessing of EEG data was performed with the EEGLAB toolbox (version 14.1.1,
- 157 Schwartz Center for Computational Neuroscience, La Jolla, CA, USA,
- 158 https://sccn.ucsd.edu/eeglab/index.php, RRID:SCR_007292) for Matlab environment (version
- 159 R2017a). To remove eye blink-related artifact, we performed an independent component analysis
- 160 (ICA) for recordings with stimulator on and off separately after band pass filtering to 1-30 Hz
- 161 (Gebodh et al., 2017a; Gebodh et al., 2017b). The estimated ICA matrices were then applied to 0.5-
- 162 200 Hz band pass filtered raw data, thereby removing eye-blink related ICA components. Data was
- 163 re-referenced to an average reference and segmented into epochs of 700 ms (200 ms pre-stimulus to
- 164 500 ms post-stimulus onset) with a baseline correction of 100 ms pre-stimulus interval. Epochs
- 165 containing artifacts due to eye movements, muscular activity, or amplifier saturation were rejected
- 166 manually. On average, 6 % of trails were rejected and the average number of trials included into
- 167 further analyses was not significantly different for the investigated conditions. Remaining epochs
- 168 were averaged for every subject. Baseline-to-peak amplitudes and latencies for P50, N100, and P200,

- 169 were identified by the automatic peak detection procedure implemented in BrainVision Analyzer at
- 170 Cz where all subjects showed the typical AEP response to tone presentation.
- 171 For detection of potential outliers, i.e. subjects with a global difference in EEG signal compared to
- 172 study population, a principal component analysis (PCA) and a topographical consistency test (TCT)
- 173 were conducted with the Ragu toolbox (version March 07 2018,
- 174 www.thomaskoenig.ch/index.php/software/ragu) for Matlab environment after downsampling the
- averaged data to 200 Hz (Koenig & Melie-Garcia, 2010; Habermann et al., 2018). The PCA allows
- 176 for comparison of averaged single subject data to the mean of the study population. The TCT uses
- randomization statistics to evaluate similarity of subjects' topographies at every time point. Both tests
- 178 revealed no outlier for the current sample, so data of all subjects was included in further analyses.

179 **2.6.2 AEP analyses**

- 180 Further analyses of amplitude and latency data were performed with SPSS (IBM Corp., IBM SPSS
- 181 Statistics for Windows, Version 24.0.0, Armonk, NY, USA, RRID:SCR_002865). A repeated-
- 182 measures analysis of variance (ANOVA) with factors stimulation (anodal, sham) and time point (pre,
- during, post after stimulation) was conducted for P50, N100, and P200 amplitudes and latencies
- 184 where data was normally distributed. Otherwise, non-parametric Wilcoxon Rank Sum tests with
- 185 Bonferroni-Holm correction for multiple testing were calculated. All tests were accompanied by
- 186 effect size calculations. In addition, we investigated effects of stimulation and time point on mean
- 187 values in peak intervals by calculating repeated-measures ANOVAs with factors stimulation (anodal,
- 188 sham) and time point (pre, during, post after stimulation) for the three AEP. Furthermore, we were
- 189 interested in potential responder/non-responder patterns in the data. We therefore calculated the
- differences of post minus pre measurements in the anodal stimulation condition for all ERP
- amplitudes and latencies to account for changes of stimulation over time. Correlating these variables,
- we aimed to have a measure of global response to stimulation in one direction (excitation or
- 193 suppression). Level of significance for all calculations was set to .05.

194 **2.6.3 Topography analyses**

- 195 In addition to ERP analyses at single-electrode level, scalp field topographies were analyzed using a
- topographical ANOVA (TANOVA)(Murray et al., 2008; Habermann et al., 2018). The TANOVA
 employs non-parametric randomization statistics to explore global dissimilarity of topographical
- 197 employs non-parametric randomization statistics to explore global dissimilarity of topographical
 198 maps for different conditions at every time point (Lehmann & Skrandies, 1980; Murray et al., 2008;
- Koenig et al., 2011). In the current study, a TANOVA conducting 5000 permutations with factors
- stimulation (anodal, sham) and time point (before, during, after stimulation) was performed using the
- 201 Ragu toolbox with a significance level of .05. As the TANOVA calculates dissimilarity of
- 202 topographical maps at every time point, a correction for multiple testing over time, i.e. a duration
- 203 correction, was applied to minimize potential false positive results (Koenig et al., 2011). Using
- statistics on the overall count of significant time points and duration of significant effects, Ragu
- provides the minimal duration of relevant effects separately for every effect, i.e. main or interaction
- 206 effects. Results are reported for the time window of interest 0- 300 ms after stimulus onset.

207 **3 Results**

208 **3.1 AEP analyses**

- 209 Grand Averages of AEP for all conditions are presented in Figure 3, topographical maps for P50,
- 210 N100, and P200 in Figures 4-6. Topographical maps show averaged data of peak intervals (55-75 ms

- for P50 peak, 85-115 ms for N100 peak, and 125-190 ms for P200 peak), identified using grand
- 212 averages.

213 **3.1.1 P50**

- 214 Mean amplitudes and latencies with standard deviations of P50 are reported for every condition in
- 215 Table 1. Neither P50 amplitudes nor latencies were normally distributed, so several Wilcoxon Rank
- 216 Sum tests were calculated for comparisons between time points and stimulation types (Table 2).
- 217 None of the calculated tests survived the Bonferroni-Holm correction (global $\alpha = .05$, $\alpha_1 = .006$,
- tested separately for amplitudes and latencies) and all show low effect sizes. In addition, the
- 219 repeated-measures ANOVA on mean values in the peak interval did not show any interaction effect
- for factors stimulation and time point (F(2,46) = .05, p = .95), nor an effect of factor stimulation
- 221 (F(1,23) = 1.55, p = .23), or time point (F(1,23) = .86, p = .43).

222 **3.1.2 N100**

- Table 3 shows mean amplitudes and latencies with standard deviations of N100 for every condition.
- 224 Neither N100 amplitudes nor latencies were normally distributed. Thus, several Wilcoxon Rank Sum
- tests were calculated comparing the different time points and stimulation types for amplitudes and
- latencies separately (Table 4). None of the calculated tests showed a significant result with the
- 227 Bonferroni-Holm correction (global $\alpha = .05$, $\alpha_1 = .006$, tested separately for amplitudes and latencies)
- and all show low effect sizes. In addition, the repeated-measures ANOVA on mean values in the peak interval did not show any interaction effect for factors stimulation and time point (F(2,46) = .05,
- peak interval did not show any interaction effect for factors stimulation and time point (F(2,46) = .05, 230 p = .95), nor an effect of factor stimulation (F(1,23) = .32, p = .58), or time point (F(1,23) = 2.01, p =
- 231 .15).

232 **3.1.3 P200**

- For P200, mean amplitudes and latencies with standard deviations are shown for every condition in
- Table 5. P200 amplitudes and latencies were not normally distributed. Several Wilcoxon Rank Sum
- 235 Tests were calculated to compare amplitudes and latencies for different types of stimulation and time
- 236 points. None of the tests for showed significant results after Bonferroni-Holm correction (global α =
- 237 .05, $\alpha_1 = .006$, tested separately for amplitudes and latencies, Table 6) and all show low effect sizes.
- In addition, the repeated-measures ANOVA on mean values in the peak interval did not show any
- interaction effect for factors stimulation and time point (F(2,46) = .96, p = .39), nor an effect of
- 240 factor stimulation (F(1,23) = .04, p = .84), or time point (F(1,23) = .30, p = .75).

241 **3.1.4 Response pattern analysis**

- As amplitudes and latencies were not normally distributed, we calculated the phi coefficients for all
- 243 difference variables. With Bonferonni-Holm correction for multiple comparisons (global $\alpha = .05$, $\alpha_1 =$
- 244 .003), none of the phi coefficients showed a significant correlation of the variables (p > .08).

245 **3.2 Topography analyses**

- 246 The two-way TANOVA did not show significant topological differences for the interaction effect
- between stimulation and time point for duration-corrected time intervals of 25 ms. For the main
- effect of time point, there was a significant difference in topographies in the time period about 240-
- 249 305 ms after stimulus onset. No duration-corrected significant time periods (>30 ms) were found for
- 250 the main factor of stimulation.

251 **4 Discussion**

- 252 In the current study, we applied 20 min of anodal and sham tDCS over the left posterior temporal
- 253 cortex in a double-blind crossover design. We measured AEP before, during, and after stimulation. In
- 254 contrast to our hypotheses, we did not find any differences in P50 amplitudes for anodal and sham
- 255 stimulation, precisely for neither of the investigated AEP amplitudes or latencies. Furthermore, no
- 256 effects of tDCS were evident when comparing AEP amplitudes or latencies before, during, and after 257 stimulation. In addition, the topographical analyses did not indicate topographical differences for the
- 258 investigated conditions.

259 Particularly interesting about our results is the fact that we found no difference of AEP amplitudes 260 and latencies for the different measurement time points before, during, and after stimulation. As 261 earlier studies reported effects of anodal tDCS on AEP after stimulation (Zaehle et al., 2011; 262 Heimrath et al., 2016b; Impey et al., 2016), we also expected to see differences at least after anodal

- 263 compared to sham stimulation. Furthermore, neither the analysis on mean values in peak intervals,
- 264 nor the investigation for general response patterns or the topographical analysis suggested a global
- effect of stimulation. Thus, no effects on global scalp fields are a sign for no difference in active 265
- sources in the different conditions (Koenig et al., 2011). Altogether, our results create doubt about 266
- the effectiveness of tDCS to functionally modulate auditory processing, at least concerning low-level 267
- 268 processing of acoustic stimuli. However, the possibility of a very subtle effect only observable in a 269 larger sample cannot be excluded although we included a reasonable number of subjects to expect a
- 270 potential effect on AC excitability by tDCS.
- 271 An interesting result of the TANOVA was the main effect of time point for the time interval of 240-
- 272 305ms. For the grand averages, the amplitudes of the AEP in this particular time interval occurred to
- 273 be different (Figure 3). The amplitudes appeared to decrease over time, independent of stimulation
- 274 condition, which resembles a habituation effect over the progress of the measurement session
- 275 independent of stimulation application (Butler, 1968; Maclean et al., 1975; Sambeth et al., 2004;
- 276 Gandelman-Marton et al., 2010). To minimize a potential habituation effect, we presented additional
- 277 stimuli in advance of the baseline EEG recordings. we only saw the habituation effect in the 278 topographical analysis and only in a late time interval after stimulus onset. This is in line with the
- 279
- results of Bruin et al. (2000) who found a faster habituation for visual N100 than for P300 (with just 280 a trend at Cz). Thus, our pre-measurement training was sufficient to suppress a habituation effect for
- 281 N100, but not for the later component that we saw in the topographical analysis.
- 282 There is substantial discrepancy among the results of our study and previous studies, and the
- 283 difference in results could be explained by differences in stimulation protocols and study design. In
- 284 the next paragraphs, we will discuss in more detail three parameters that crucially affect tDCS
- 285 effects, i.e. montage, stimulation intensity and duration, as well as stimulation protocol, i.e., the
- 286 conditions to be compared.
- 287 First, one difference in study protocols between our and previous studies is the tDCS electrode
- 288 montage. Zaehle et al. (2011) employed two montages similar to montages used in earlier studies
- 289 (Fregni et al., 2006; Vines et al., 2006) with the active electrode either located temporally (over T7 of
- 290 the 10-20 EEG system) or temporo-parietally (over CP5) and the reference electrode located over the 291
- contralateral supraorbital area (Zaehle et al., 2011). In the current study, we determined the montage 292 based on simulations by a current flow simulation software (Figure 2A, B). Following the
- 293 simulations, we concluded that the temporo-parietal location (over TP7 and P7) was optimal to target
- 294 the AC. Given the differences Zaehle and colleagues found for the two montages they compared, one
- 295 might conclude that even a small change of the position of the active electrode affects the stimulation
- 296 outcome considerably. Thus, the shift of the active electrode to a more parietal location in the current

- study, although expectedly optimal for our purposes, might have accounted for our unexpected
- 298 results. However, we cannot rule out a potential effect of cathodal stimulation at the parietal location
- 299 due to our study design, which is a limitation of our study.

300 Second, there is a high variability in stimulation durations and intensities among studies, which make 301 a direct comparison of results difficult. Zaehle et al. (2011) applied 1.25 mA for 11 min, Heimrath et 302 al. (2016b) applied 1.5 mA for about 22 min, while we used 1mA for 20 min. As the optimal 303 parameters for tDCS efficacy still have to be determined, researchers will need to accomplish a high 304 standard for their methods, and this includes the choice of optimal stimulation parameters. The 305 currently high variability among stimulation parameters coupled with diverging research outcomes 306 might preferably result in a consensus, as probably not all variables can be set optimally. In the case 307 of our study, we had to make a compromise by choosing a smaller tDCS reference electrode in order 308 to minimize data loss during concurrent tDCS and EEG measurements for better EEG electrode 309 coverage. This led to a higher current density at the smaller tDCS reference electrode (Nitsche & 310 Paulus, 2000). The current density for the active electrode, however, was still over the minimum 311 threshold to expect an effect (Nitsche & Paulus, 2000). Furthermore, we included this difference in

312 current density as a factor in current simulations prior to study measurements (see Figure 2).

313 Last, the study designs, i.e. the stimulation conditions compared, differ across studies. Zaehle et al.

314 (2011) used a sequential design with anodal or cathodal stimulation following sham stimulation in

315 two sessions. They did not report any effect of sham stimulation on AEP, because they focused on

316 the comparison of anodal, cathodal, and sham stimulation after stimulation application. In contrast, 317 our focus was on the comparison of anodal and sham stimulation over the time course before, during,

- and after stimulation. Hence, the differences in the study design further complicate the comparison of
- 319 the results between studies.

320 Our results indicate a need of method optimization, i.e. to test and compare different stimulation

321 parameters to gain an overview of parameters that are effective. Thus, further studies considering

322 other auditory tasks, electrodes montages, application of cathodal stimulation, or variation of other

323 stimulation parameters are warranted to investigate potentially specific or subtle effects of tDCS we

324 might have missed with our design. Particularly for the application of tDCS in auditory processing or

- 325 psychiatric symptoms, (e.g. a lowered N100 or decreased auditory verbal hallucinations in
- schizophrenia; (Ford et al., 2001a; Ford et al., 2001b; Ford et al., 2001d; c; Hubl et al., 2007)), the
- determination of the optimal parameters to effectively target the AC would be essential.

328 In conclusion, when applying anodal and sham tDCS on the left posterior temporal cortex to target 329 the excitability of AC, we unexpectedly did not observe any significant effect of stimulation on AEP, 330 along with no effect of time point when comparing the data before, during, and after stimulation. As 331 the topographical analysis also did not indicate any differences between conditions, we doubt that the 332 stimulation parameters we used in our tDCS protocol are effective to modulate auditory processing 333 on a local scale, i.e. changing AEP on single-electrode level, or global scale, i.e. whole-topography 334 changes. Additional investigations are warranted to explore effective parameters for tDCS to 335 modulate auditory processing for applications in both, healthy subjects, and patients with psychiatric

336 symptoms, e.g. auditory verbal hallucinations.

337 5 Conflict of interest

338 The authors declare that the research was conducted in the absence of any commercial or financial

339 relationships that could be construed as a potential conflict of interest.

340 6 Author contributions

- LM, YM, TD designed the study; KK, MG, and YM conceptualized and performed data analysis;
- 342 KK collected the data and wrote the first draft of the manuscript. All authors contributed to
- discussion about interpretation of the results, revised, and approved the final version of the submittedmanuscript.

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9 Data availability statement

The raw data supporting the conclusions of this manuscript will be made available by the authors, without undue reservation, to any qualified researcher.

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529		
530	11	Tables
531	Table	1

532 Mean amplitudes and latencies of P50 for the different conditions.

	Amplitudes (µV)	Latencies (ms)
Condition	M (SD)	M (SD)
Sham before	.59 (.52)	57.63 (6.68)
Sham during	.57 (.58)	57.78 (6.87)
Sham after	.51 (.64)	57.83 (7.94)
Anodal before	.67 (.66)	57.58 (7.69)
Anodal during	.59 (.64)	59.65 (6.27)
Anodal after	.63 (.57)	58.22 (7.59)

⁵³³

534 Table 2

535 Test statistics and effect sizes of Wilcoxon Rank Sum Tests for P50 latencies. Reported *p*-values are

536 uncorrected (significance level at Bonferroni-Holm-corrected global $\alpha = .05$, $\alpha_1 = .006$).

	Amplitudes			Latencies		
Comparison	W	р	r	W	р	r
Sham before vs. during	142.00	.82	.03	113.50	.75	.05
Sham during vs. after	119.00	.38	.13	127.00	.99	.00
Sham before vs. after	118.00	.36	.13	114.00	.74	.05
Anodal before vs. during	131.00	.59	.08	191.00	.24	.17
Anodal during vs. after	157.00	.84	.03	98.00	.36	.13
Anodal before vs. after	123.00	.44	.11	136.00	.76	.04
Before sham vs. anodal	170.00	.57	.08	107.50	.78	.04
During sham vs. anodal	153.00	.93	.01	158.50	.53	.09
After sham vs. anodal	185.00	.32	.14	125.50	.73	.05

538 Table 3

539 Mean amplitudes and latencies of N100 for the different conditions.

	Amplitudes	Latencies
Condition	M (SD)	M (SD)
Sham before	-1.46 (.97)	90.43 (8.73)
Sham during	-1.38 (.93)	90.17 (7.89)
Sham after	-1.33 (.83)	89.78 (10.81)
Anodal before	-1.44 (.94)	89.35 (11.13)
Anodal during	-1.39 (1.05)	93.22 (9.51)

Anodal after	-1.43 (.80)	89.18 (9.94)

Table 4 541

542 Test statistics and effect sizes of Wilcoxon Rank Sum Tests for N100 amplitudes and latencies.

Reported *p*-values are uncorrected (significance level at Bonferroni-Holm-corrected global $\alpha = .05$, $\alpha_1 = .006$, separately for amplitudes and latencies). 543

544

	Amplitudes			Latencies		
Comparison	W	р	r	W	р	r
Sham before vs. during	166.00	.65	.07	123.00	.79	.04
Sham during vs. after	154.00	.91	.02	171.00	.64	.07
Sham before vs. after	183.00	.35	.14	141.50	.81	.04
Anodal before vs. during	159.00	.80	.04	181.50	.19	.19
Anodal during vs. after	146.00	.91	.02	114.00	.30	.15
Anodal before vs. after	144.00	.86	.02	165.00	.41	.12
Before sham vs. anodal	160.00	.63	.07	127.00	.51	.09
During sham vs. anodal	117.00	.35	.14	190.50	.25	.16
After sham vs. anodal	144.00	.86	.02	121.00	.85	.03

545

546 Table 5

547 Mean amplitudes and latencies of P200 for the different conditions.

	Amplitudes	Latencies
Condition	M (SD)	M (SD)

Sham before	2.34 (.68)	150.58 (12.15)
Sham during	2.25 (.57)	150.10 (9.70)
Sham after	2.19 (.74)	150.15 (13.44)
Anodal before	2.34 (.73)	150.75 (9.95)
Anodal during	2.20 (.58)	150.72 (8.53)
Anodal after	2.39 (.93)	148.67 (8.75)

549 Table 6

550 Test statistics and effect sizes of Wilcoxon Rank Sum Tests for P200 amplitudes and latencies.

Reported *p*-values are uncorrected (significance level at Bonferroni-Holm-corrected global $\alpha = .05$, $\alpha_1 = .006$, separately for amplitudes and latencies). 551

	Amplitudes			Latencies		
Comparison	W	р	r	W	р	r
Sham before vs. during	121.00	.41	.12	112.50	.65	.07
Sham during vs. after	125.00	.48	.10	135.00	.93	.01
Sham before vs. after	109.00	.24	.17	151.00	.98	.00
Anodal before vs. during	120.00	.39	.12	147.00	.93	.01
Anodal during vs. after	175.00	.48	.10	91.50	.10	.24
Anodal before vs. after	151.00	.98	.00	124.00	.46	.11
Before sham vs. anodal	141.00	.80	.04	148.00	.95	.01
During sham vs. anodal	132.00	.61	.07	166.00	.65	.07
After sham vs. anodal	186.00	.30	.15	125.00	.69	.06

554 **12 Figure captions**

555

556 Figure 1

- 557 Study design. Participants attended two measurement sessions with one week in between to avoid
- carry-over effects of stimulation. Order of stimulation was assigned randomly. EEG was recorded
- during tone presentation at three time points per session: before, during, and after tDCS, respectively.
- 560
- 561 Figure 2
- 562 Simulation of tDCS current flow.

(A) Montage of tDCS electrodes with anode over TP7 and P7 of the international 10-20 EEG systemand reference electrode over Fp2, AF4, and AF8.

(B) Simulation of 1 mA current flow with the montage of the current study with axial slices in the direction inferior to superior of the brain presented from left to right in the upper row of the figure, coronal slices in the direction of anterior to posterior in the brain presented from left to right in the middle row of the figure, and sagittal slices in the direction left lateral to right proximal in the left hemisphere of the brain presented from left to right in the lower row of the figure. L indicates left hemisphere.

571

572 Figure 3

Grand Averages of AEP at Cz electrodes, separately for every condition. No significant differences
were evident for P50, N100, and P200 amplitudes and latencies in the AEP analyses.

- 575
- 576 Figure 4

577 Topographies for grand average AEP of an interval 55-75 ms for P50 auditory component, separately

- 578 for the different conditions. The peak interval was identified by grand average AEP.
- 579
- 580 Figure5
- 581 Topographies for grand average AEP of an interval 85-115 ms for N100 auditory component,
- separately for the different conditions. The peak interval was identified by grand average AEP.
- 583

- 584 Figure 6
- 585 Topographies for grand average AEP of an interval 125-190 ms for P200 auditory component,
- 586 separately for the different conditions. The peak interval was identified by grand average AEP.