

# 1 Oxytocin enhancement of emotional empathy: generalization

## 2 across cultures and effects on amygdala activity

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27 **Abstract**

28

29 Accumulating evidence suggests that the neuropeptide oxytocin can enhance empathy  
30 although it is unclear which specific behavioral and neural aspects are influenced, and  
31 whether the effects are modulated by culture, sex and trait autism. Based on previous findings  
32 in Caucasian men, we hypothesized that a single intranasal dose of oxytocin would  
33 specifically enhance emotional empathy via modulatory effects on the amygdala in an Asian  
34 (Chinese) population and explored the modulatory role of sex and trait autism on the effects.  
35 We first conducted a double-blind, randomized between-subject design experiment using a  
36 modified version of the multifaceted empathy task (MET) to determine whether oxytocin's  
37 facilitation of emotional empathy can be replicated in Chinese men (n = 60). To further  
38 explore neural mechanisms behind and potential sex differences, functional MRI and skin  
39 conductance measures were acquired in an independent experiment incorporating men and  
40 women (n = 72). Oxytocin enhanced emotional empathy across experiments and sex, an  
41 effect that was accompanied by reduced amygdala activity and increased skin conductance  
42 responses. On the network level oxytocin enhanced functional coupling of the right amygdala  
43 with the insula and posterior cingulate cortex for positive valence stimuli but attenuated  
44 coupling for negative valence stimuli. The effect of oxytocin on amygdala functional  
45 connectivity with the insula was modulated by trait autism. Overall, our findings provide  
46 further support for the role of oxytocin in facilitating emotional empathy and demonstrate  
47 that effects are independent of culture and sex and involve modulatory effects on the  
48 amygdala and its interactions with other key empathy regions.

49

50 **Key words:** amygdala; autism; cognitive empathy; culture; emotional empathy; oxytocin.

51 **1. Introduction**

52  
53 Empathy is a key social-cognitive capacity that facilitates interpersonal functioning by  
54 allowing us to recognize, understand and respond appropriately to mental and affective states  
55 experienced by others (Decety and Jackson, 2004; Dziobek, et al., 2008; Reniers, et al., 2010).  
56 Impaired empathy is a core deficit in psychiatric disorders characterized by interpersonal  
57 dysfunctions, including autism (Dziobek, et al., 2008), schizophrenia (Lee, et al., 2011;  
58 Rosenfeld, et al., 2011; Shamay-Tsoory, et al., 2007), and personality disorders (Herpertz and  
59 Bertsch, 2014).

60

61 Empathy is a multidimensional construct, entailing cognitive processes of perspective-taking,  
62 to make inferences about others' mental states (cognitive empathy, CE), as well as emotional  
63 processes reflecting a direct affective reaction involving understanding, sharing and  
64 responding appropriately to others' feelings (emotional empathy, EE) (Bernhardt and Singer,  
65 2012; Shamay-Tsoory, 2011; Shamay-Tsoory, et al., 2009). EE has been further divided into  
66 a direct component (direct emotional empathy, EED), referring to explicit emotional  
67 evaluation and empathic concern, and an indirect component (indirect emotional empathy,  
68 EEI), referring to a more general physiological arousal response to both person and context  
69 (Dziobek, et al., 2008). Although the cognitive and emotional components of empathy  
70 represent partly dissociable systems (Shamay-Tsoory, et al., 2009), integrative approaches  
71 propose that the experience of empathy evolves as a dynamic interplay between them  
72 requiring an explicit representation of the specific affective state of the other person, thereby  
73 making CE a prerequisite for EE (Decety and Jackson, 2004; Hillis, 2014). On the neural  
74 level the functional organization of empathy is partially mirrored in shared and separable  
75 anatomical representations (Bernhardt and Singer, 2012; Lamm, et al., 2011; Lamm, et al.,  
76 2007; Leigh, et al., 2013; Schulte-Ruther, et al., 2007; Singer and Lamm, 2009), with the  
77 bilateral insula, posterior cingulate cortex (PCC) and anterior cingulate cortex (ACC)  
78 contributing to both (Fan, et al., 2011), and the amygdala contributing to the emotional  
79 component of empathy (Cox, et al., 2012; Leigh, et al., 2013).

80

81 Converging evidence suggests that the hypothalamic neuropeptide oxytocin (OXT) facilitates  
82 empathy (Riem, 2012; Rosenfeld, et al., 2011; Striepens, et al., 2011). Genetic approaches  
83 have consistently revealed associations between individual variations in the OXT receptor  
84 gene and levels of trait empathy in Caucasian (Rodrigues, et al., 2009; Smith, et al., 2014)  
85 and Chinese populations (Wu, et al., 2012), with more recent studies suggesting that the  
86 specific associations evolve in interaction with other factors, particularly culture (Luo, et al.,  
87 2015b; Montag, et al., 2017) and sex (Weisman, et al., 2015). Studies investigating the  
88 behavioral effects of intranasal OXT administration on CE have reported enhanced accuracy  
89 in the reading the mind in the eyes test (RMET) (Domes, et al., 2007b) and a paradigm  
90 requiring participants to infer the intensity of positive or negative emotions expressed by  
91 subjects portrayed in videos (Bartz, et al., 2010). However, findings in the domain of CE

92 have been variable, with OXT effects in the RMET being either restricted to difficult items  
93 (Feeser et al., 2015) or unable to be reproduced at all even when taking into account stimulus  
94 difficulty and valence (Radke and de Bruijn, 2015). Other studies have also reported that  
95 effects were more pronounced in individuals with poor baseline performance (Riem, et al.,  
96 2014) or high trait autism (Bartz, et al., 2010). Studies that aimed specifically at determining  
97 effects of OXT on EE focused on empathy for pain, an evolutionary conserved primary  
98 emotional component (Decety, 2011; Panksepp and Panksepp, 2013), and found no effect on  
99 pain empathy towards a partner (Singer, et al., 2008), although an enhanced pain empathic  
100 response towards members of an out-group (Shamay-Tsoory, et al., 2013). In contrast,  
101 another study in men using the Multifaceted Empathy Test (MET) (Dziobek, et al., 2008),  
102 which assesses both CE and EE, observed that OXT specifically enhanced both EED and EEI,  
103 but not CE (Hurlemann, et al., 2010). This latter study additionally demonstrated selective EE  
104 deficits in amygdala lesion patients and therefore suggested that the amygdala may mediate  
105 the EE enhancing effects of OXT. Although several neuroimaging studies have demonstrated  
106 modulatory effects of intranasally administered OXT on the core neural components of the  
107 empathy network, including the insula, ACC and amygdala and their functional interactions,  
108 across different task paradigms (Bakermans-Kranenburg and van IJzendoorn, 2013; Herpertz  
109 and Bertsch, 2016; Wigton, et al., 2015), to date only two studies have directly explored the  
110 neural mechanisms underlying OXT's empathy enhancing effects. The first reported that  
111 OXT increased activation in the superior temporal gyrus and insula during the RMET task  
112 (Riem, et al., 2014), whereas the second reported reductions in left insula activity during pain  
113 empathic processing (Bos, et al., 2015).

114  
115 In summary, although the empathy enhancing effects of OXT are central to its proposed  
116 social-cognitive and therapeutic properties, it remains unclear whether it selectively enhances  
117 CE or EE, and which specific neural substrates are involved. To systematically address these  
118 questions, we employed two independent pharmacological between-subject placebo (PLC)  
119 controlled experiments in healthy Chinese individuals investigating the effects of intranasal  
120 OXT on CE and EE and the underlying neural basis of this effects during the MET (Dziobek,  
121 et al., 2008).

122  
123 Previous studies on the empathy enhancing potential of intranasal OXT are entirely based on  
124 observations in Caucasian populations. However, there is accumulating evidence from OXT-  
125 administration studies either employing comparable experimental protocols in Caucasian and  
126 Chinese subjects (Hurlemann, et al., 2010; Hu, et al., 2015) or examining moderating effects  
127 of key cultural orientation differences such as a collectivistic orientation (Pfundmair, et al.,  
128 2014; Xu, et al., 2017), suggesting culture-dependent social-cognitive effects of OXT. To this  
129 end, the first experiment aimed to replicate findings in a male Caucasian sample showing that  
130 OXT enhances EE but not CE (Hurlemann, et al., 2010) in a male Chinese sample. In a  
131 second independent sample, male and female Chinese participants performed the same MET  
132 paradigm during fMRI to determine the neural substrates involved. Analyses on the neural

133 level focused on the insula, amygdala and ACC as core empathy regions (Bernhardt and  
134 Singer, 2012; Lamm, et al., 2011; Lamm, et al., 2007; Leigh, et al., 2013; Schulte-Ruther, et  
135 al., 2007; Singer and Lamm, 2009). Given that the amygdala has been specifically (Cox, et al.,  
136 2012; Leigh, et al., 2013) and critically (Hurlemann, et al., 2010) associated with emotional  
137 facets of empathy, we expected that OXT's enhancement of EE would be accompanied by  
138 altered regional activity and network level connectivity of the amygdala. Previous studies  
139 reported increased as well as decreased amygdala activity and connectivity following OXT  
140 (Domes, et al., 2007a; Hu, et al., 2015; Striepens, et al., 2012; Tully, et al., 2018; Wigton, et  
141 al., 2015) therefore no directed hypothesis with respect to OXT's neural effect was  
142 formulated.

143

144 Based on a growing number of findings suggesting sex-dependent effects of OXT on social  
145 cognition (Gao, et al., 2016; Chen, et al., 2016; Luo, et al., 2017), the second experiment  
146 additionally explored whether OXT differentially affects empathic processing in men and  
147 women. In line with a previous study reporting that sex does not affect OXT's modulation of  
148 empathy (Shamay-Tsoory, et al., 2013), we hypothesized that OXT facilitation of EE would  
149 generalize across sexes. Finally, in the context of increasing interest in the therapeutic  
150 application of OXT as a potential treatment to improve social cognitive deficits, including  
151 empathy, in autism spectrum disorders (Young and Barrett, 2015), and in line with previous  
152 studies in healthy subjects (Bartz, et al., 2010; Scheele, et al., 2014; Xu, et al., 2015), the  
153 modulatory role of trait autism (assessed by the Autism Spectrum Quotient questionnaire,  
154 ASQ, Baron-Cohen, et al., 2001) was explored.

155 **Materials and Methods**

156

157 **2.1 Participants**

158 To fully replicate the previous study on Caucasian participants (Hurlemann, et al., 2010),  
159 only males were recruited in the first experiment but both males and females were enrolled in  
160 the second experiment to explore potential sex-dependent effects of OXT on empathy.  
161 Experiment 1 (Exp 1) included 60 participants ( $M \pm SD$ , mean age =  $22.42 \pm 2.23$ , all male)  
162 and Experiment 2 (Exp 2) included an independent sample of 72 participants (34 females,  
163 mean age =  $21.18 \pm 1.95$ , 38 males, mean age =  $22.61 \pm 2.01$ ). Both experiments  
164 incorporated a double-blind, between-participant design, with participants being randomly  
165 assigned to receive either OXT or PLC nasal-spray, resulting in  $n = 30$  (Exp 1) and  $n = 36$   
166 (Exp 2, female = 17) participants treated with OXT. The experimental groups in both  
167 experiments were of comparable age (Exp 1,  $p = 0.53$ ,  $T_{58} = 0.63$ ; Exp 2,  $p = 0.66$ ,  $T_{70} = -$   
168 0.44), education (Exp 1,  $p = 0.66$ ,  $T_{58} = 0.44$ ; Exp 2,  $p = 0.63$ ,  $T_{70} = -0.49$ ) and, in Exp 2, of  
169 equivalent sex distribution (chi-square  $< 0.001$ ,  $df = 1$ ,  $p = 1$ ). Exclusion criteria for all  
170 participants were past or current physical, neurological or psychiatric disorders, regular or  
171 current use of medication or tobacco.

172

173 Participants were required to abstain from alcohol, caffeine or nicotine for at least 12 hours  
174 before the experiment. None of the females in Exp 2 were taking oral contraceptives or were  
175 tested during their menstrual period. Menstrual cycle phase was determined using validated  
176 procedures as described in (Penton-Voak, et al., 1999). The proportion of females estimated  
177 to be in their follicular or luteal phases did not differ significantly between the treatment  
178 groups (chi-square = 0.12,  $df = 1$ ,  $p = 0.73$ ). In Exp 1, one participant (in the OXT group) and  
179 in Exp 2, three participants (in the PLC group) failed to understand task instructions and were  
180 consequently excluded from all further analysis, leading to a total of  $n = 59$  participants in  
181 Exp 1 and  $n = 69$  participants in Exp 2.

182

183 Before the experiment, written informed consent was obtained from all participants. The  
184 study was approved by the local ethics committee of the University of Electronic Science and  
185 Technology of China and all procedures were in accordance with the latest revision of the  
186 declaration of Helsinki.

187

188 **2.2 Experimental Protocol**

189 To control for potential confounding variables, all participants initially completed the  
190 following questionnaires: Becks Depression Inventory (BDI; Beck, et al., 1961), WLEIS-C  
191 Emotional Intelligence Scale (Wleis-C; Wong and Law, 2002), State Trait Anxiety Inventory  
192 (STAI; Spielberger, et al., 1970), Empathy Quotient (EQ; Baron-Cohen and Wheelwright,  
193 2004), and Positive and Negative Affect Scale (PANAS; Watson, et al., 1988). To examine  
194 associations with trait autism, the ASQ questionnaire (Baron-Cohen, et al., 2001) was  
195 administered. Intranasal treatment (oxytocin nasal spray, Sichuan Meike Pharmacy Co., Ltd.,

196 China, or placebo nasal spray with identical ingredients except oxytocin) was administered in  
197 line with recommendations for the intranasal administration of OXT in humans (Guastella, et  
198 al., 2013) and 45min before the start of the experimental paradigm. In Exp 1, three puffs per  
199 nostril (at 30s intervals) were administered (24 IU) and in Exp 2, five puffs per nostril (40 IU).  
200 Both doses are in the typical range employed by other studies (Guastella, et al., 2013;  
201 Striepens, et al., 2011) with the rationale for increasing the dose in Exp 2 being to explore  
202 dose-dependent behavioral effects of OXT. In a previous study we found equivalent  
203 behavioral and neural effects of 24 and 48 IU OXT doses (Zhao, et al., 2017). However, it  
204 should be noted that findings from some other studies investigating dose-dependent effects of  
205 intranasal OXT have suggested an inverted-U-shaped dose-response curve (Cardoso, et al.,  
206 2013; Quintana, et al., 2017; Quintana, et al., 2016; Spengler, et al., 2017) and thus a stronger  
207 enhancement of EE with 24 IU relative to 40 IU is conceivable. In post experiment interviews,  
208 participants were unable to guess better than chance whether they had received the OXT  
209 nasal spray, confirming successful blinding.  
210

### 211 **2.3 Experimental paradigm**

212 In line with a previous study on male Caucasian participants (Hurlemann, et al., 2010),  
213 empathy was assessed using the MET (Dziobek et al., 2008; Domes, et al., 2013; Edele, et al.,  
214 2013; Hurlemann, et al., 2010; Wingenfeld, et al., 2014), which assesses both EE and CE  
215 components using ecologically valid photo-based stimuli of either negative or positive  
216 valence. To account for potential confounding effects of OXT on in-group versus out-group  
217 empathy (De Dreu and Kret, 2016) and a cultural empathy bias (Cao, et al., 2015; Luo, et al.,  
218 2015a), the original Caucasian MET stimuli were exchanged with corresponding pictures  
219 displaying Chinese protagonists. The Chinese stimuli were initially evaluated in an  
220 independent sample (supplementary materials) and the final set of Chinese stimuli (30  
221 positive, 30 negative valence) closely resembled the Caucasian stimuli depicting daily life  
222 scenarios and conveying emotional mental states via facial expression, body posture and  
223 contextual cues. To assess CE, participants were instructed to infer the emotional state of the  
224 protagonist in each scene and choose the corresponding answer from 4 options listed. The 4  
225 options presented similar but distinct emotional states to ensure at least 70% accuracy for  
226 each stimulus picture. For EED, participants were required to rate how they felt for the  
227 protagonist in the depicted scene (1-9 scale, 1 = not at all, 9 = very strong), for EEI  
228 participants were required to rate how much they were aroused by the scene (1-9 scale, 1 =  
229 very calm, 9 = very aroused).  
230

231 The different components of empathy were presented in a mixed event/block-design.  
232 Following a 3 second(s) instruction cue and a jittered inter-trial interval of 3.9s (2.3-5.9s), 10  
233 stimuli per block were each presented for 3s followed by either a choice of the emotion  
234 depicted for the CE condition (displayed for 4 s) or a rating scale (1-9) for the EED and EEI  
235 conditions (displayed for 5 s). Six blocks were presented for each condition, resulting in a  
236 total of 18 blocks. The order of blocks was counterbalanced across the experimental

237 conditions, and the fMRI experiment was divided into 6 runs, each containing one block per  
238 empathy component. During fMRI (Exp 2) electrodermal activity was simultaneously  
239 acquired as an index of autonomic sympathetic activity (Stern, et al., 2001) (technical details  
240 on the electrodermal data acquisition are provided in the supplementary materials). To allow  
241 baseline recovery of the electrodermal signal a mean inter-trial interval of 5s (4-6s) and a  
242 mean interval separating stimulus presentation and behavioral response of 4s (3-5s) was  
243 adopted for the fMRI experiment.

244

#### 245 **2.4 fMRI data acquisition**

246 The fMRI data in Exp 2 were collected using a GE (General Electric Medical System,  
247 Milwaukee, WI, USA) 3.0T Discovery 750 MRI scanner. fMRI time series were acquired  
248 using a T2\*-weighted echo planar imaging pulse sequence (repetition time, 2000 millisecond  
249 (ms); echo time, 30ms; slices, 39; thickness, 3.4 millimeter (mm); gap, 0.6 mm; field of view,  
250  $240 \times 240 \text{ mm}^2$ ; resolution,  $64 \times 64$ ; flip angle,  $90^\circ$ ). Additionally, a high resolution T1-  
251 weighted structural image was acquired using a 3D spoiled gradient recalled  
252 (SPGR) sequence (repetition time, 6 ms; echo time, 2ms; flip angle  $9^\circ$ ; field of view,  
253  $256 \times 256 \text{ mm}^2$ ; acquisition matrix,  $256 \times 256$ ; thickness, 1 mm without gap) to exclude  
254 participants with apparent brain pathologies and to improve normalization of the fMRI data.

255

#### 256 **2.5 fMRI data processing**

257 fMRI data were analyzed using SPM12 (Wellcome Trust Center of Neuroimaging, University  
258 College London, London, United Kingdom). The first five volumes were discarded to allow  
259 T1 equilibration and images were realigned to the first image to correct for head motion.  
260 Tissue segmentation, bias-correction and skull-stripping were done for the high-resolution  
261 structural images. The functional time series were co-registered with the skull-stripped  
262 anatomical scan and normalized to MNI space with voxel size of  $3 \text{ mm}^3$ . Normalized images  
263 were then spatially smoothed using a Gaussian kernel with full-width at half-maximum  
264 (FWHM) of 8 mm. On the first level, event-related responses were modelled and  
265 subsequently convolved with the standard hemodynamic response function (HRF). The first  
266 level design matrix included valence- (positive, negative) and empathy type- (CE, EED, EEI)  
267 specific regressors for the viewing phases as main experimental conditions. In addition,  
268 regressors for the cue presentation, valence- and empathy type-specific regressors for the  
269 rating phases, and for viewing and rating phases of incorrect trials as well as the six  
270 movement regressors were included. The experimental contrasts were next submitted to a  
271 second level random effects analysis.

272

273 To evaluate empathy-type specific main and interaction effects of treatment and valence,  
274 repeated-measured ANOVAs were employed in a flexible-factorial design. Based on our  
275 regional hypothesis and the core empathy network (Bakermans-Kranenburg and van  
276 IJzendoorn, 2013; Bernhardt and Singer, 2012; Hillis, 2014; Hurlemann, et al., 2010; Leigh,  
277 et al., 2013; Shamay-Tsoory and Abu-Akel, 2016; Wigton, et al., 2015), the analyses focused

278 on the bilateral amygdala, insula and ACC which were structurally defined using 60%  
279 probability maps from the Harvard-Oxford (sub)cortical atlas. For the regionally focused  
280 analysis approach condition-specific parameter estimates were extracted from these regions  
281 of interest (ROI) using the Marsbar toolbox (Brett, et al., 2002) and subjected to empathy  
282 type-specific ANOVAs with the between-participant factor treatment (OXT, PLC) and the  
283 within-participant factor valence (positive, negative) in SPSS (Statistical Package for the  
284 Social Sciences, Version 22). P-values for the post-hoc tests of the ROI analysis were  
285 Bonferroni-corrected ( $P < 0.05$ ). An exploratory voxel-wise whole-brain analysis in SPM that  
286 served to determine contributions of brain regions outside of the predefined network of  
287 interest was thresholded at  $P < 0.05$ , corrected using the family-wise error (FWE) approach.  
288 To investigate the effects of OXT on the network level, a generalized form of  
289 psychophysiological interaction analysis (gPPI; <http://brainmap.wisc.edu/PPI>; McLaren, et al.,  
290 2012) was conducted using regions showing significant OXT effects in the BOLD level  
291 analysis as seeds and implementing an empathy-type specific voxel-wise whole-brain  
292 ANOVA approach including the between-participant factor treatment (OXT, PLC) and the  
293 within-participant factor valence (positive, negative) thresholded at  $P < 0.05$ , FWE-corrected  
294 at the cluster level. In line with recent recommendations for the control of false-positives in  
295 cluster-based correction approaches an initial cluster forming threshold of  $P < 0.001$  was  
296 applied to data with a resolution of  $3 \times 3 \times 3$  mm (Eklund, et al., 2016; Slotnick, 2017).  
297 Parameter estimates were extracted from the significant regions to disentangle the specific  
298 effects in post-hoc comparisons. Finally, associations between neural indices and trait autism  
299 (ASQ scores) were conducted in SPSS using Pearson correlation analysis.  
300

301 **3. Results**

302 In both experiments, there were no significant differences in trait and mood questionnaire  
303 scores between OXT and PLC treatment groups (supplementary Table S1 for Exp 1, Table S2  
304 for Exp 2). In line with previous studies in Chinese populations (Melchers et al., 2015;  
305 Montag et al., 2017), no significant sex differences in ASQ and EQ scores were observed in  
306 Exp 2 (Supplementary Table S3).

307

308 **3.1 Behavioral results**

309 Based on previous conceptualizations of empathy, proposing that CE is a prerequisite for EE  
310 (Decety and Jackson, 2004; Hillis, 2014), for EED and EEI measures only trials for which  
311 subjects successfully recognized the emotions displayed by the protagonist were analyzed  
312 (for a similar approach see (Luo, et al., 2015a)). To this end, correctly recognized trials were  
313 initially determined based on the CE performance, with only correct trials subsequently  
314 entering the analyses for the EED and EEI facets.

315

316 There were no significant differences in CE accuracy between the two treatment groups in  
317 both experiments (Exp 1, OXT,  $77.53\% \pm 6.02\%$ , PLC,  $78.94\% \pm 5.78\%$ ,  $T_{57} = 0.92$ ,  $p = 0.36$ ;  
318 Exp 2, OXT,  $80.10\% \pm 6.18\%$ , PLC,  $81.57\% \pm 5.83\%$ ,  $T_{67} = 1.02$ ,  $p = 0.31$ ). In Exp 1, there  
319 was a main effect of treatment ( $F(1, 57) = 6.46$ ,  $p = 0.01$ ,  $\eta^2_p = 0.10$ ) for EED indicating that  
320 OXT generally enhanced EED (Fig. 1A). There was no significant treatment  $\times$  valence  
321 interaction ( $F(1, 57) = 0.96$ ,  $p = 0.33$ ,  $\eta^2_p = 0.02$ ). Analysis of EEI did not reveal a treatment  
322 main effect ( $F(1, 57) = 2.19$ ,  $p = 0.14$ ,  $\eta^2_p = 0.04$ ) or valence  $\times$  treatment interaction effect ( $F$   
323 ( $1, 57) = 3.16$ ,  $p = 0.08$ ,  $\eta^2_p = 0.05$ ).

324

325 Consistent with the findings for EED in Exp 1, Exp 2 also yielded a significant main effect of  
326 treatment on EED ( $F(1, 67) = 5.81$ ,  $p = 0.02$ ,  $\eta^2_p = 0.08$ ) with higher ratings following OXT  
327 compared to PLC (Fig. 1B). There was also a significant valence  $\times$  treatment interaction ( $F(1,$   
328  $67) = 4.18$ ,  $p = 0.05$ ,  $\eta^2_p = 0.06$ ) with more pronounced effects of OXT on negative compared  
329 to positive valence stimuli (positive:  $F(1, 67) = 1.68$ ,  $p = 0.2$ ,  $\eta^2_p = 0.02$ ; negative:  $F(1, 67) =$   
330  $9.96$ ,  $p = 0.002$ ,  $\eta^2_p = 0.13$ ). For EEI there was also a significant main effect of treatment ( $F$   
331 ( $1, 67) = 4.84$ ,  $p = 0.03$ ,  $\eta^2_p = 0.07$ ) but no treatment  $\times$  valence interaction ( $F(1, 67) = 2.02$ ,  $p$   
332  $= 0.16$ ,  $\eta^2_p = 0.03$ ). For CE, there were neither significant main effects nor interactions ( $F$   
333 ( $1, 65) = 0.80$ ,  $p = 0.37$ ,  $\eta^2_p = 0.01$ ). In Exp 2, no significant main or interaction effects  
334 involving sex were observed (all  $p > 0.18$ ) arguing against sex-dependent effects of OXT on  
335 empathy.

336

337 **3.2 Associations between behavior and trait autism**

338 In Exp 1, there was a trend towards a negative correlation between the ASQ score and the  
339 total EED and EEI scores in the OXT group (ASQ Total: EED  $r = -0.47$ ,  $p = 0.09$ ; EEI  $r = -$   
340  $0.37$ ,  $p = 0.19$ ) but not the PLC group (EED  $r = 0.319$ ,  $p = 0.18$ ; EEI  $r = 0.17$ ,  $p = 0.48$ ). The

341 correlation significantly differed between the PLC and OXT groups for EED (Fisher's  $z = -$   
342 2.13,  $p = 0.03$ ) although not for EEI (Fisher's  $z = -1.43$ ,  $p = 0.15$ ). In Exp 2, there was a  
343 similar pattern of correlation differences between EED and EEI scores and total ASQ scores,  
344 although these associations did not reach statistical significance other than for EED under  
345 OXT (EED – PLC  $r = 0.03$ ,  $p = 0.85$ , OXT  $r = -0.34$ ,  $p = 0.04$ , Fisher's  $z = 1.53$ ,  $p = 0.13$ ;  
346 EEI – PLC  $r = 0.03$ ,  $p = 0.85$ ; OXT  $r = -0.28$ ,  $p = 0.09$ , Fisher's  $z = 1.29$ ,  $p = 0.20$ ).  
347 Regression plots are shown in Fig. 2 and suggest that OXT is producing its main behavioral  
348 effects in participants with lower autism traits.  
349

### 350 **3.3 Dose-dependent effects between Experiments 1 and 2 (24 IU vs 40 IU )**

351 Dose effects were explored by combining the data from male participants in Exp 1 (24 IU)  
352 and Exp 2 (40 IU). To initially explore potential effects of the different experimental  
353 environments (Exp 1, 24 IU, behavioral testing room; Exp 2, 40 IU, inside the MRI-scanner)  
354 on empathy per se, a first analysis focused on the placebo-treated subjects. A repeated  
355 ANOVA with environment (behavioral vs MRI room) as a between-subject factor and  
356 valence as a within-subject factor revealed a significant environment main effect for both EE  
357 facets, indicating elevated EE ratings in the MRI room (Main effects: EED:  $p = 0.003$ ,  $F$   
358 ( $1,47$ ) =  $10.19$ ,  $\eta^2_p = 0.18$ ; EEI:  $p = 0.02$ ,  $F$  ( $1,47$ ) =  $5.74$ ,  $\eta^2_p = 0.11$ , both interactions with  
359 valence  $> 0.38$ , non-significant, Fig. 3), but no effects on CE (Main effect:  $p = 0.15$ ,  $F$  ( $1,47$ )  
360 =  $2.19$ ,  $\eta^2_p = 0.05$ ; Interaction:  $p = 0.9$ ,  $F$  ( $1,47$ ) =  $0.02$ ,  $\eta^2_p < 0.001$ ). These findings suggest  
361 that the MRI-environment per se increased EE, an effect possibly related to elevated levels of  
362 stress during the MRI assessments, which would be in line with a previous study reporting  
363 that stress-induction specifically increased EE, but not CE in the MET (Wolf, et al., 2015).  
364 The environmental differences and potential interactions with OXT preclude the  
365 interpretation of dose-related differences between the experiments.  
366

### 367 **3.4 Oxytocin effects on SCR**

368 One participant was excluded from SCR analysis due to low skin impedance and thus a total  
369 of 68 participants from Exp 2 were included. Analyses of the SCR data paralleled the  
370 analyses of the empathy ratings, using ANOVAs with the between-subject factors treatment  
371 (OXT, PLC) and sex (male, female), and the within-subject factor valence. There was a  
372 marginal main effect of treatment on SCR during EED trials and significant during EEI trials  
373 (EED:  $F$  ( $1, 66$ ) =  $3.77$ ,  $p = 0.06$ ,  $\eta^2_p = 0.05$ ; EEI:  $F$  ( $1, 66$ ) =  $4.50$ ,  $p = 0.04$ ,  $\eta^2_p = 0.06$ ), but  
374 not during CE trials ( $F$  ( $1, 66$ ) =  $2.14$ ,  $p = 0.15$ ,  $\eta^2_p = 0.03$ ). This was due to SCR responses  
375 being increased in the OXT group during EE and EEI trials (Fig. 4). There were no  
376 significant main effects of valence or treatment  $\times$  valence or treatment  $\times$  sex interactions for  
377 CE, EE or EEI trials (all  $p > 0.2$ ).  
378

### 379 **3.5 Oxytocin effects on neural activity**

380 In view of the absence of sex-dependent effects in the behavioral analysis, and to increase the  
381 statistical power to determine OXT effects on the neural level, the data from male and female  
382 participants were pooled for the fMRI analyses. Four further participants were excluded from  
383 the fMRI analysis due to excessive head motion (head motion > 3 mm). The neural  
384 mechanisms underlying the behavioral effects of OXT were initially explored in the different  
385 priori ROIs (amygdala, insula and ACC) using separate repeated measures ANOVAs for the  
386 three empathy (CE, EE and EEI) conditions. Main treatment effects were only observed in  
387 the amygdala (Fig. 5A) for EED (left amygdala:  $F(1,63) = 6.55$ ,  $p = 0.01$ ,  $\eta^2_p = 0.09$ ; right  
388 amygdala:  $F(1,63) = 5.18$ ,  $p = 0.03$ ,  $\eta^2_p = 0.08$ ). There were no significant main effects for  
389 CE or EEI or any treatment  $\times$  valence interactions for CE, EED or EEI. An exploratory whole  
390 brain analysis revealed no regions that showed significant treatment-dependent changes  
391 under CE, EED or EEI (all  $P_{FDR\_corrected} > 0.05$ ) outside of the prior defined ROIs.  
392

### 393 **3.6 Oxytocin effects on functional connectivity**

394 Repeated measures ANOVA models in SPM that included the between-subject factors  
395 treatment (OXT, PLC) and sex (male, female) and the within-subject factor valence (positive,  
396 negative) revealed a significant Treatment  $\times$  Valence interaction effect for EED-associated  
397 functional coupling of the right amygdala with the bilateral insula and the bilateral PCC (left  
398 insula peak located at x/y/z, -33/6/-15,  $P_{FWE} = 0.02$ , cluster size = 143 voxels; right insula  
399 peak located at 45/18/-12,  $P_{FWE} = 0.03$ , cluster size = 121 voxels; left PCC peak located at -  
400 30/-33/30,  $P_{FWE} = 0.003$ , cluster size = 213 voxels; right PCC peak located at 21/-36/33,  $P_{FWE}$   
401 = 0.01, cluster size = 149 voxels; coordinates given in MNI-space). Extraction of parameter  
402 estimates further revealed that OXT increased functional connectivity for positive valence  
403 stimuli whereas it decreased connectivity for negative valence ones (left insula: positive,  $F$   
404 ( $1,61$ ) = 10.52,  $p = 0.002$ ,  $\eta^2_p = 0.15$ , negative,  $F(1,61) = 3.86$ ,  $p = 0.05$ ,  $\eta^2_p = 0.06$ ; right  
405 insula: positive,  $F(1,61) = 3.34$ ,  $p = 0.07$ ,  $\eta^2_p = 0.05$ , negative,  $F(1,61) = 5.53$ ,  $p = 0.02$ ,  $\eta^2_p$   
406 = 0.08; left PCC: positive,  $F(1,61) = 4.34$ ,  $p = 0.04$ ,  $\eta^2_p = 0.07$ , negative,  $F(1,61) = 5.67$ ,  $p =$   
407 0.02,  $\eta^2_p = 0.09$ ; right PCC: positive,  $F(1,61) = 8.00$ ,  $p = 0.006$ ,  $\eta^2_p = 0.12$ , negative,  $F(1,61)$   
408 = 5.48,  $p = 0.02$ ,  $\eta^2_p = 0.08$ ) (Fig. 6).

409

### 410 **3.7 Associations between neural and SCR effects of OXT and behavioral and autism 411 trait scores**

412 There was a significant positive correlation between EED scores and bilateral amygdala  
413 responses in the PLC group (left  $r = 0.49$ ,  $p = 0.004$ ; right  $r = 0.35$ ,  $p = 0.04$ ) which was  
414 absent in the OXT group (left  $r = 0.005$ ,  $p = 0.98$ ; right  $r = -0.007$ ,  $p = 0.97$ ). The correlation  
415 difference between the PLC and OXT groups was significant for the left (Fisher's  $Z = 2.05$ ,  $p$   
416 = 0.04) but not the right (Fisher's  $Z = 1.43$ ,  $p = 0.15$ ) amygdala (Fig. 5B). There was no  
417 correlation between left or right amygdala responses with total ASQ scores.  
418 For the functional connections showing OXT effects for EED in terms of a treatment  $\times$   
419 valence interaction, coupling strength between the right amygdala and left insula during  
420 positive valence EED trials was positively correlated with the total ASQ in the PLC group

421 (total ASQ – r = 0.40, p = 0.02,) but not in the OXT group (total ASQ – r = -0.22, p = 0.22,  
422 Fisher's Z = 2.50, p = 0.01; Fig. 7A). OXT particularly appears to increase the strength of  
423 right amygdala functional connections with the insula in individuals with lower ASQ scores,  
424 although only for positive valence EED. The strength of link between the right amygdala and  
425 left PCC during negative valence EED trials was positively correlated with the total ASQ  
426 score in the PLC group but not the OXT, although the difference between the groups was not  
427 significant (total ASQ – PLC r = 0.36, p = 0.04; OXT r = 0.15, p = 0.41; Fisher's Z = 0.85, p  
428 = 0.39; Fig. 7B). There were no significant correlations between SCR values and ASQ scores  
429 during either EED or EEI trials (all ps > 0.41).

430

431 **4. Discussion**

432

433 The present study confirmed in two independent samples that intranasal OXT specifically  
434 facilitates EE but not CE as assessed by the MET paradigm in Chinese participants, thereby  
435 replicating previous findings in Caucasian participants (Hurlemann, et al., 2010). Our  
436 findings also demonstrated for the first time that the OXT-induced enhancement of EED is  
437 associated with decreased bilateral amygdala reactivity and enhanced functional coupling of  
438 the right amygdala with the insula and PCC for positive valence stimuli but attenuated  
439 coupling for negative valence stimuli. These behavioral and neural effects were not  
440 modulated by subject sex, suggesting a generalization across men and women. Finally, an  
441 exploratory analysis of associations with trait autism revealed that both behavioral and neural  
442 effects of OXT were modulated to some extent by trait autism scores.

443

444 Although many studies have reported cultural differences between Asian and Caucasian  
445 participants in the context of OXT receptor polymorphisms and empathy (Jessica, et al., 2016;  
446 Kim, et al., 2010; Luo, et al., 2015b), we did not find any substantive difference with respect  
447 to the effects of intranasal OXT on empathy processing as assessed by MET. Thus, in both  
448 cultures, OXT enhanced EE but not CE (Hurlemann, et al., 2010) for both valences, although  
449 in our second experiment we found stronger effects for negative valence stimuli. Effects of  
450 the scanning environment on emotional empathy ratings per se precluded the direct  
451 evaluation of dose-response effects between the two experiments, however OXT specifically  
452 increased EE in both suggesting that its effects generalize across 24 and 40IU doses, in line  
453 with our previous finding (Zhao, et al., 2017). In general, the magnitude of the reported  
454 behavioral OXT effect on both EED and EEI reported in Caucasian participants was however  
455 somewhat stronger compared to both 24 and 40 IU doses administered in our study, although  
456 different MET stimuli were used.

457

458 In agreement with other studies, there were no sex-differences in EE, trait empathy (Wu et al.,  
459 2012) or trait autism (Kawamura et al., 2011; Montag et al., 2017) scores in our Chinese  
460 study cohort, whereas in Caucasian participants we found that females scored significantly  
461 higher than males for both positive and negative valence stimuli (Hurlemann, et al., 2010).  
462 Thus, it is conceivable that in Caucasian females the effects of OXT in the MET might not be  
463 as pronounced as in males. The absence of an effect of OXT on CE in the MET contrasts  
464 with reports using other paradigms, notably the reading the mind in the eyes test (RMET)  
465 (Domes, et al., 2007b; Feeser, et al., 2015). However, the robustness of these findings has  
466 been questioned by another study which failed to replicate them even when taking into  
467 account both item difficulty and valence (Radke and de Brujin, 2015). Moreover, there are  
468 also notable differences between the MET and RMET with the images in the MET including  
469 more complex natural scenes and emotions conveyed by multiple cues (face, body posture  
470 and context) whereas in the RMET emotions are only interpreted from pictures of eye regions  
471 and are also often more subtle. Thus, OXT can facilitate CE in some contexts, particularly

472 with cues restricted to eyes, but not in others where multiple cues are present. Additionally,  
473 and in contrast to previous studies, we measured SCR responses during trials involving the  
474 three empathy components and OXT only increased the SCR in EE and not CE trials. Thus,  
475 OXT enhancement of EE is paralleled by increased physiological arousal not only in EEI  
476 trials (where participants are asked to score how aroused they are by the stimulus picture) but  
477 also in EED trials (where they are scoring the strength of their feelings towards to protagonist  
478 in the picture).

479

480 In line with the specific, and critical contribution of the amygdala to emotional, rather than  
481 cognitive aspects of empathy (Hurlemann, et al., 2010), OXT's enhancement of EE was  
482 accompanied by a reduction of associated amygdala activity. Exploratory analyses revealed  
483 that EED scores were positively associated with the magnitude of amygdala responses during  
484 positive valence trials in the PLC group, whereas this association was absent under OXT,  
485 possibly reflecting an enhancement of amygdala processing efficiency. While some previous  
486 studies found that OXT specifically reduced amygdala responses to negative emotional  
487 stimuli (Gamer, et al., 2010; Kirsch, et al., 2005), the suppression of EED-associated  
488 amygdala activity was observed irrespective of valence. A similar pattern of OXT-induced  
489 valence-independent suppression of amygdala activity has previously been suggested to  
490 reflect reduced uncertainty of a social stimulus which in turn motivates approach behavior  
491 (Domes, et al., 2007a). In line with this interpretation, the valence-independent EED-  
492 associated amygdala suppression may reflect that OXT's approach-facilitating properties  
493 (Arakawa, et al., 2010) promote EE regardless of whether the emotions expressed by the  
494 protagonist are positive or negative, which is also in line with a rodent study reporting an  
495 overall reduction of amygdala EEG power following OXT (Sobota, et al., 2015). Other  
496 studies have found that OXT's modulation of amygdala responses dependent upon sex (Gao,  
497 et al., 2016, Luo, et al., 2017) and it is generally considered that the salience of cues as well  
498 as their context may play an important role in determining OXT's effects (Shamay-Tsoory  
499 and Abu-Akel, 2016). In the present study, neither sex nor valence influenced amygdala  
500 reactivity. This possibly reflects the fact that both salience and context are broadly similar for  
501 EE responses in the two sexes.

502

503 OXT also differentially altered the functional connectivity between the right amygdala and  
504 bilateral insula in a valence-dependent manner. In EED trials, the strength of the functional  
505 connectivity between the right amygdala and insula following OXT was significantly  
506 increased during positive valence stimuli but decreased during negative ones. A few previous  
507 studies have also reported OXT effects on functional connectivity between the insula and  
508 amygdala (Gao, et al., 2016; Hu, et al., 2015; Rilling, et al., 2012; Striepens, et al., 2012) and  
509 these two regions are key hubs of the brain salience network (Uddin, 2015). Thus, in the  
510 current context OXT may have acted to increase the salience of both positive and negative  
511 valence stimuli during EED trials by differentially altering the functional connectivity  
512 between the amygdala and insula. Rilling et al., (2012) have also previously suggested that

513 the stronger the functional coupling between amygdala and insula, the more able the  
514 amygdala is to elicit subjective feeling states in response to salient social stimuli.  
515 The effect of OXT on increasing functional connectivity between the right amygdala and  
516 bilateral PCC for positive valence stimuli and decreasing it for negative ones in EED trials  
517 may similarly reflect a modulatory influence on salience processing. A previous study has  
518 reported that OXT enhanced functional connectivity between amygdala and PCC during  
519 exposure to infant laughter (Riem, et al., 2012), suggesting that it increased the incentive  
520 salience of infant laughter. In our current study, the consistent patterns of functional  
521 connectivity changes elicited by OXT for positive and negative valence stimuli for amygdala  
522 functional connectivity with the insula and PCC may indicate that these three regions  
523 comprise an integrated network mediating valence-dependent OXT effects.  
524

525 Both the behavioral and neural effects of OXT were modified to some extent by trait autism  
526 scores, as measured by the ASQ. In both experiments OXT tended to produce a negative  
527 correlation between EE and ASQ scores, whereas this correlation was absent in the PLC  
528 group. However, this effect of OXT only achieved significance in Exp 1, which included only  
529 male participants, and indicates that increased EE scores were more evident in individuals  
530 with lower ASQ scores. For the neural associations functional connectivity between the  
531 amygdala and insula was positively associated with total ASQ scores for positive valence EE  
532 trials in the PLC group, but this was absent in the OXT group. This indicates that OXT  
533 effects on functional connections between the right amygdala and left insula (for positive  
534 valence stimuli) were also strongest in individuals with lower ASQ scores. Thus overall,  
535 while both behavioral and neural OXT effects on EE were modified by ASQ scores, the  
536 extent to which these findings represent support for possible therapeutic use in ASD remains  
537 unclear. Indeed, a recent study on OXT enhancement of behavioral and neural responses to  
538 affective touch also reported stronger effects in individuals with lower ASQ scores (Scheele,  
539 et al., 2014).  
540

541 There are several limitations which should be acknowledged in the current study. Firstly, we  
542 were unable to directly compare behavioral and neural responses during the MET task in  
543 Caucasian as well Chinese participants, so we cannot totally exclude the possibility that some  
544 cultural differences in response to OXT during empathic processing may exist. Secondly, we  
545 only investigated effects using the MET paradigm and it is possible that OXT effects on CE  
546 as well as EE would have been found using other paradigms. Lastly, the absence of sex-  
547 differences in OXT effects in the current study might have been contributed to by our  
548 Chinese male and female participants exhibiting similar EE scores, in contrast to Caucasian  
549 participants (Hurlemann, et al., 2010), and also similar ASQ scores.  
550

551 In summary, in the current study we have shown that in the MET paradigm, OXT enhances  
552 EE but not CE in Chinese participants, similar to Caucasian ones, and additionally that this  
553 occurs in female as well as male participants. Furthermore, we have shown for the first time

554 that this EE effect of OXT is associated with decreased amygdala responses and differentially  
555 altered functional connectivity between the amygdala and insula and PCC for positive and  
556 negative valence stimuli. Finally, we have shown that both behavioral and neural effects of  
557 OXT are modified to some extent by trait autism scores, although behavioral and functional  
558 connectivity effects were strongest in individuals with lower scores.

559

560

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564

565 **Author Contributions Statement**

566 Geng, Hurlemann and Kendrick designed this experiment, Geng collected the data, Geng,  
567 Zhao, Zhou, Kendrick and Becker analysed the data, Geng, Zhao, Ma, Yao, Becker and  
568 Kendrick interpreted the results. Geng, Becker and Kendrick wrote the paper.

569

570 **Conflicts of Interest Statement**

571 Authors declare no conflict of interest.

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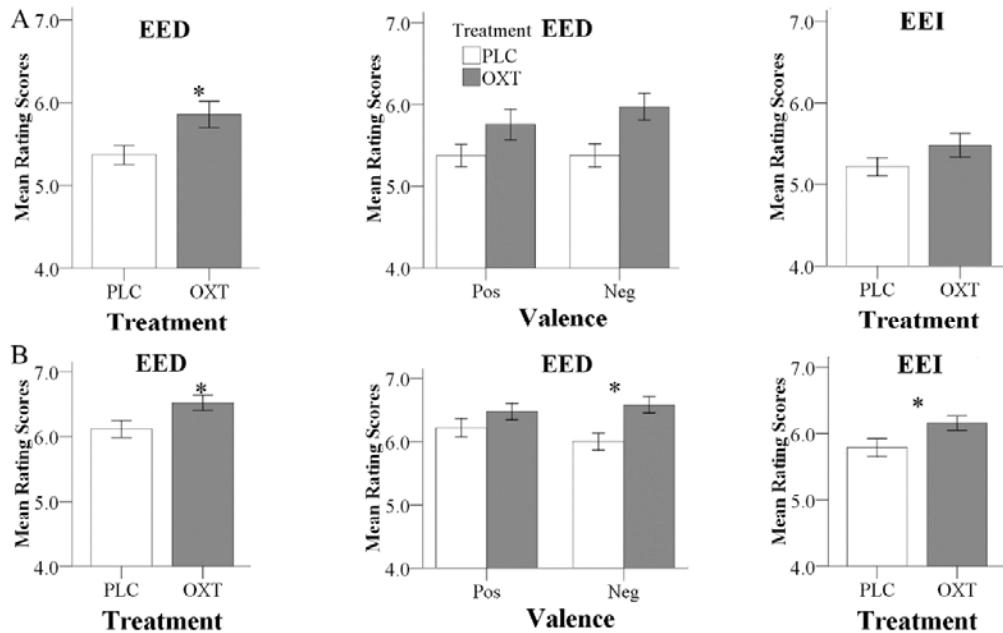
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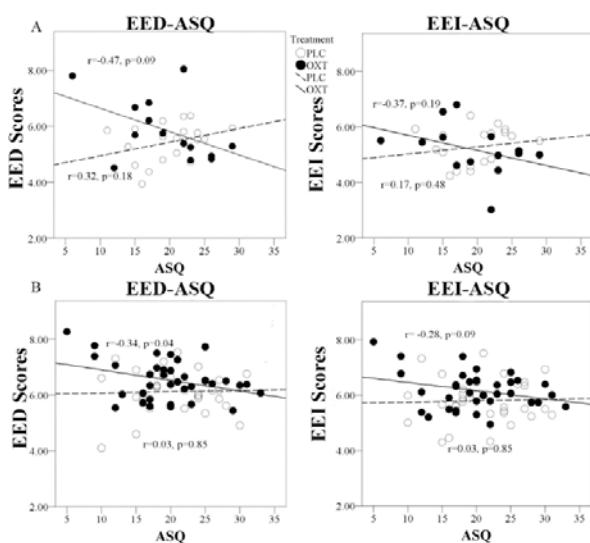
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863 **Fig. 1 Behavioral results for Exp 1 (A) and Exp 2 (B).** (A) In Exp 1, OXT significantly  
864 increased EED ratings. To allow for a better comparison with Exp 2, effects of OXT on  
865 positive and negative EED trials, as well as on EEI are also shown; (B) In Exp 2, OXT  
866 increased both EED and EEI ratings; an effect of oxytocin on negative EED drove the  
867 significant treatment by valence interaction. (\* $P < 0.05$ )

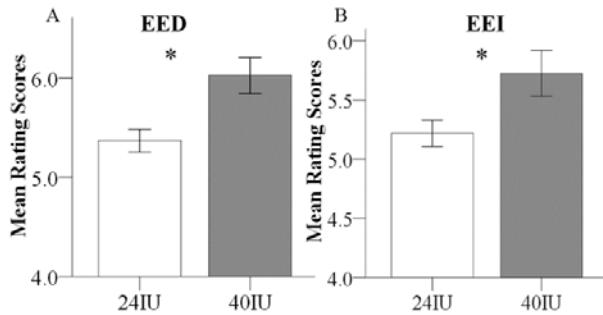
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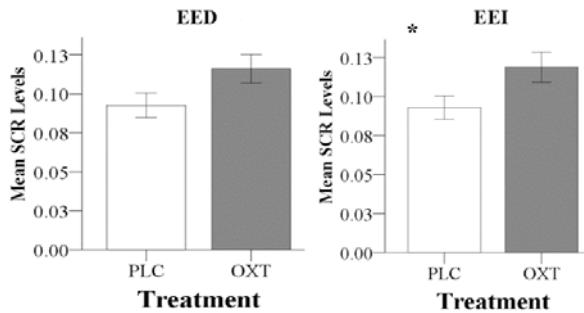
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871 **Fig. 2** Regression plots for ASQ score and EED and EEI ratings. Exp 1 (**A**) and Exp 2 (**B**) in  
872 OXT and PLC groups.



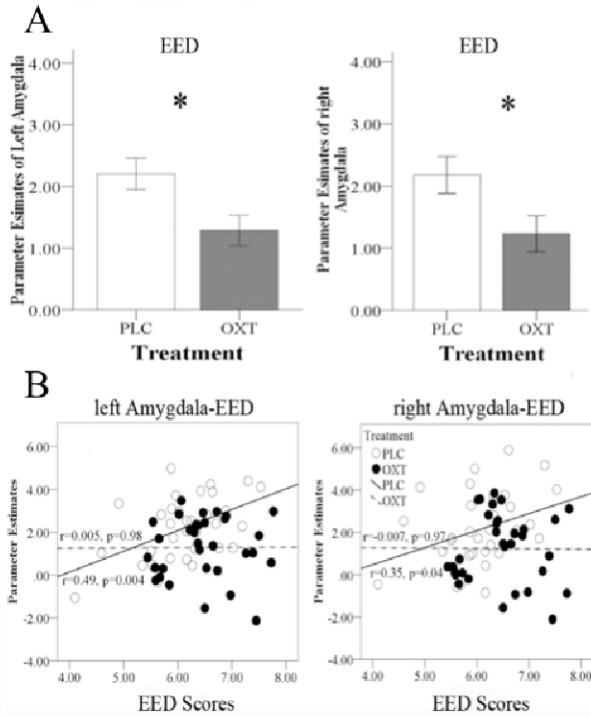
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874 **Fig. 3 EE differences between Exp 1 and Exp 2 in the placebo treated subjects.**  
875 Examining the placebo treated male subjects from the two experiments revealed that EE was  
876 significantly increased in the MRI environment (Exp 2, 40 IU) compared to the behavioral  
877 testing room (Exp 1, 24 IU).

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882 **Fig. 4 OXT effect on SCR in Exp 2.** In Exp 2, OXT increased the SCR during both EED ( $P$   
883  $= 0.06$ ) and EEI trials. (\*  $P < 0.05$ )

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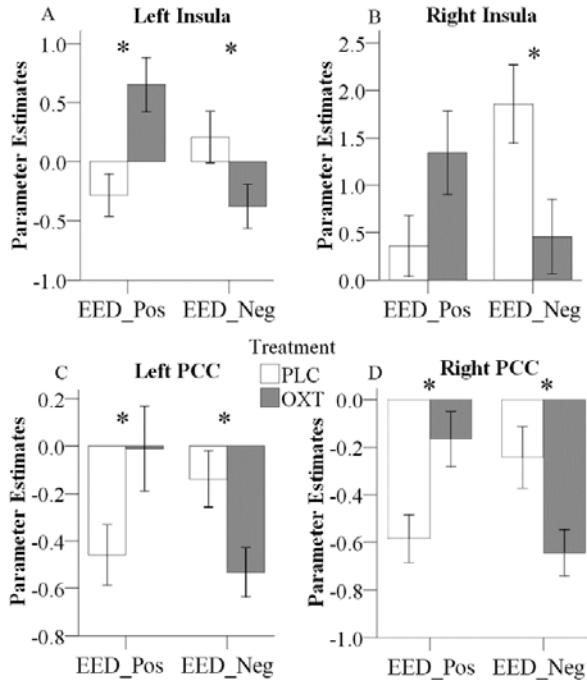


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893 **Fig. 5** Effects of OXT on bilateral amygdala responses. **(A)** Region of interest analysis results  
894 for left and right amygdala responses during EED trials; **(B)** Regression plots show  
895 correlations between left and right amygdala responses and EED scores in OXT and PLC  
896 groups. \* $P < 0.05$

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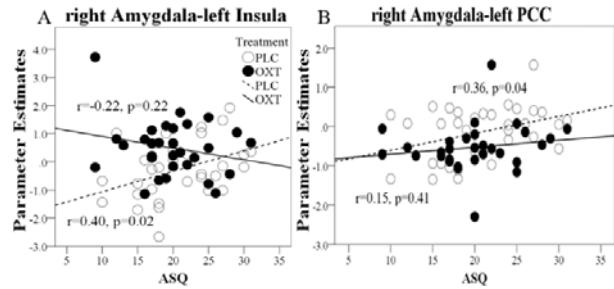


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899 **Fig. 6 Effects of OXT effect on right amygdala functional connectivity.** Effects of  
900 treatment on functional connectivity of the right amygdala, indicating valence-dependent  
901 effects of OXT on the coupling of the right amygdala with the left (A) and right (B), as  
902 well as the left (C) and right (D) PCC (\* $P < 0.05$ ). (Pos: Positive; Neg: Negative).

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906 **Fig. 7 Regression plots for correlations of ASQ scores with amygdala responses and**  
907 **functional connectivity during EE trials in OXT and PLC groups.** (A) Correlation between  
908 **right amygdala-left PCC functional connectivity during negative EED trials and total ASQ**  
909 **score; (B) Correlation of right amygdala functional connectivity with left insula cortex during**  
910 **positive EE trials and total ASQ score. In all cases, significant positive correlations during**  
911 **PLC administration are absent in the OXT group.**