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3 **SEVERITY GRADING OF CHRONIC OBSTRUCTIVE PULMONARY DISEASE: THE**

4 **CONFOUNDING EFFECT OF PHENOTYPE AND THORACIC GAS COMPRESSION**

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## 27 ABSTRACT

28 Current guidelines recommend severity of chronic obstructive pulmonary disease be graded  
29 using forced expiratory volume in 1 s ( $FEV_1$ ). But this measurements is biased by thoracic gas  
30 compression depending on lung volume and airflow resistance. The aim of this study was to test  
31 the hypothesis that the effect of thoracic gas compression on  $FEV_1$  is greater in emphysema than  
32 chronic bronchitis due to larger lung volumes and this influences severity classification and  
33 prognosis.  $FEV_1$  was simultaneously measured by spirometry and body plethysmography ( $FEV_{1-pl}$   
34  $_{pl}$ ) in 47 subjects with dominant emphysema and 51 with dominant chronic bronchitis. Subjects  
35 with dominant emphysema had larger lung volumes, lower diffusion capacity and lower  $FEV_1$   
36 than those with dominant chronic bronchitis. However,  $FEV_{1-pl}$ , patient-centered variables  
37 (dyspnea, quality of life, exercise tolerance, exacerbation frequency), arterial blood gases, and  
38 respiratory impedance were not significantly different between groups. Using  $FEV_{1-pl}$  instead of  
39  $FEV_1$  shifted severity distribution towards less severe classes in dominant emphysema more than  
40 chronic bronchitis. The Body mass, Obstruction, Dyspnea, and Exercise (BODE) index was  
41 significantly higher in dominant emphysema than chronic bronchitis but this difference  
42 significantly decreased when  $FEV_{1-pl}$  was substituted for  $FEV_1$ . In conclusion, the  $FEV_1$  is biased  
43 by thoracic gas compression more in subjects with dominant emphysema than in those with  
44 chronic bronchitis. This variably and significantly affects the severity grading systems currently  
45 recommended.

46

## 47 INTRODUCTION

48           Ever since the pioneering work of Tiffeneau (34), the forced expiratory volume in 1 s  
49 (FEV<sub>1</sub>) has been used as the key measurement of lung function for both diagnosis and severity  
50 assessment of obstructive lung disorders. The underlying rationale is grounded on the concept  
51 that maximal expiratory flow and thus the FEV<sub>1</sub> decreases in disease and this is the result of a  
52 variable combinations of decrease in lung elastic recoil, decrease in airway size at choke point,  
53 increase in resistance upstream from the flow limiting segment, and increased airway  
54 collapsibility downstream from this segment (17). However, this analysis does not consider that  
55 during forced expiration thoracic gas is compressed because the expiratory pressure is well in  
56 excess to that necessary to generate maximal flow (17). As a result of the large effort, lung  
57 volume and thus recoil will decrease. This will cause a decrease of driving pressure and  
58 transmural pressure at choke point, which can explain why the FEV<sub>1</sub> is systematically less than  
59 that measured in body plethysmograph (FEV<sub>1-pl</sub>) by the amount of thoracic gas compression  
60 volume (TGCV) (21). Confirmatory evidence for this has been brought by Krowka et al. by  
61 showing that with decreasing expiratory effort TGCV to a minimal value the FEV<sub>1</sub> becomes  
62 similar to FEV<sub>1-pl</sub> (21). In addition to the expiratory effort, airflow resistance and absolute lung  
63 volume crucially contribute to increase TGCV (17, 18), and thus the difference between FEV<sub>1-pl</sub>  
64 and FEV<sub>1</sub> (32, 33).

65           Current international guidelines and strategy documents (9, 10, 26, 29, 31, 35)  
66 recommend severity of chronic obstructive pulmonary disease (COPD) be graded by the FEV<sub>1</sub>  
67 reduction below predicted values, irrespective of the underlying mechanisms. This is justified by  
68 the fact that expiratory flow limitation in COPD may be equally due to intrinsic airway  
69 narrowing, the characteristic feature of chronic bronchitis, or reduced lung elastic recoil, the  
70 characteristic feature of emphysema (6). However, emphysema is also characterized by an  
71 increase in absolute lung volume, thus exposing a larger amount of thoracic gas to compression  
72 during a forced expiratory maneuver. Therefore, it can be hypothesized that, for a given airway

73 resistance, the FEV<sub>1</sub> overestimates the magnitude of airflow limitation in subjects with dominant  
74 emphysema compared with those with dominant bronchitis and this may confound severity  
75 classification and prognosis (9, 10, 26, 29, 31, 35).

76 This study was designed to test this hypothesis by comparing FEV<sub>1</sub> and compression-free  
77 FEV<sub>1</sub> measured in a body plethysmograph (FEV<sub>1-pl</sub>) with absolute lung volumes, respiratory  
78 impedance, diffusion capacity, arterial gas tensions, dyspnea, quality of life, exercise  
79 performance, and exacerbations rate in two groups of COPD subjects with either dominant  
80 emphysema or chronic bronchitis. The impact of thoracic gas compression on different severity  
81 classification systems was estimated by substituting FEV<sub>1-pl</sub> for FEV<sub>1</sub>.

82

## 83 METHODS

### 84 *Subjects*

85 The study included 98 subjects with a clinical diagnosis of COPD (31) and not  
86 completely reversible airflow obstruction documented by a post-bronchodilator FEV<sub>1</sub> to vital  
87 capacity (VC) ratio (FEV<sub>1</sub>/VC) below the lower limit of normality and total lung capacity within  
88 or above the limits of normality (27). Severity of disease was graded using the criteria proposed  
89 by the Global Initiative for Obstructive Lung Disease (GOLD) in 2007 (31) and 2013 (35), and  
90 the Body mass index, Obstruction, Dyspnea, and Exercise capacity (BODE) index (8).

91 All subjects were required to be in stable clinical conditions and not to have suffered from  
92 respiratory exacerbations in the previous four weeks. Subjects with a history suggestive of bronchial  
93 asthma were excluded. Prior to each study session, long-acting  $\beta_2$ -agonists (salmeterol or  
94 formoterol) were suspended for at least 12 h and tiotropium for 24 h. No subject was taking  
95 indacaterol or muscarinic antagonists other than tiotropium. The study protocol was approved by  
96 the S. Luigi Hospital Ethics Committee (Orbassano, Torino) (number 103, 23-06-2006) and written  
97 informed consent was obtained from each subject prior to the study.

98

99 *Study design*

100 On a pre-study day, subjects underwent clinical examination, evaluation for inclusion and  
101 exclusion criteria, and assessment of clinical stability.

102 On a first study day, a 3-mL arterial blood sample was drawn for PaO<sub>2</sub> and PaCO<sub>2</sub>  
103 measurements (ABL 520, Radiometer, Copenhagen, Denmark). Then, Medical Research Council  
104 (MRC) questionnaire for dyspnea and Saint George's Respiratory Questionnaire (SGRQ) were  
105 administered. A chest X-ray with posterior-anterior and right-left projections was taken if not  
106 available over the previous 6 months. Exacerbations were defined according to Vestbo et al. (35)  
107 and their number recorded over the last two years.

108 On a second study day, the patients underwent full lung function examination. Spirometry  
109 and absolute lung volumes were obtained with the subjects sitting in a body plethysmograph  
110 (Autobox, SensorMedics Inc., CA, USA). After at least four regular breaths, thoracic gas volume  
111 was measured with the subject panting against a closed shutter at a frequency slightly <1 Hz with  
112 his/her cheeks supported by hands. Then, the shutter was opened and the subject took a full deep  
113 breath to total lung capacity (TLC) before forcefully expiring to residual volume (RV) for at least 6  
114 s. This maneuver allowed calculating functional residual capacity (FRC) from thoracic gas volume  
115 corrected for any difference between the volume at which the shutter was closed and the average  
116 end-expiratory tidal volume of the four preceding regular breaths, TLC, RV, vital capacity (VC),  
117 and FEV<sub>1</sub>. Compression-free FEV<sub>1</sub> was simultaneously obtained by plotting mouth flow against  
118 change in plethysmographic volume to measure FEV<sub>1-pl</sub> (Figure 1). Three sets of technically  
119 acceptable maneuvers were obtained and appropriately selected values (24, 36) were retained for  
120 analysis. Respiratory impedance was measured by a forced-oscillation technique (FOT) previously  
121 described (12, 15). Sinusoidal pressure oscillations (5-Hz, ~ 2-cmH<sub>2</sub>O peak-to-peak) were  
122 generated by a loudspeaker with a diameter of 16-cm (model CW161N, Ciare, Italy) and applied at  
123 the mouth. The loudspeaker was mounted in a rigid plastic box and connected in parallel to a mesh  
124 pneumotachograph and mouthpiece on one side and to a low-resistance high-inertance tube (overall

125 load at tidal breathing frequency,  $0.98 \text{ cm H}_2\text{O}\cdot\text{L}\cdot\text{s}^{-1}$ ) on the other side. Airway opening pressure  
126 and flow were measured by piezoresistive transducers (DCXL10DS and DCXL01DS  
127 Sentechnics, Germany, respectively) and sampled at 200 Hz. A  $15\text{-L}\cdot\text{min}^{-1}$  bias flow of air  
128 generated by an air pump (CMP08, 3A Health Care, Italy) was used to reduce dead space to about  
129 35 mL. Respiratory resistance and reactance were computed by a least squares algorithm (19, 20) at  
130 5 Hz ( $R_5$  and  $X_5$ , respectively) and 19 Hz ( $R_{19}$  and  $X_{19}$ , respectively). Artifacts due to glottis closure  
131 or expiratory airflow limitation were avoided by discarding breaths showing any of the following: i)  
132 tidal volume  $<0.1 \text{ L}$  or  $>2.0 \text{ L}$ , ii) difference between measured flow oscillation and ideal sine wave  
133 with the same Fourier coefficients  $>0.2$  (23), and iii) ratio of minimum to average  $X > 3.5$  (14).  
134 Measurements were taken during two sets of maneuvers, each consisting of 2-min tidal breathing on  
135 which mean  $R_5$ ,  $R_{19}$ ,  $R_{5-19}$ , and  $X_5$  were retained for analysis. Of the main function parameters of  
136 the FOT,  $R_5$  was taken as an index of overall airflow resistance of the respiratory system,  $R_{19}$  as an  
137 index of central airways resistance,  $R_{5-19}$  as an index of serial or peripheral heterogeneous  
138 ventilation and  $X_5$  as an index of capacitative component of the respiratory system. Tidal volume  
139 ( $V_T$ ), breathing frequency (BF), and minute ventilation ( $\dot{V}_E$ ) were averaged over the same tidal  
140 breaths used for FOT data collection. Single-breath  $D_L\text{CO}$  was measured following the  
141 recommendation of the American Thoracic Society and European Respiratory Society (22) and  
142 6MWD according to ATS guidelines (3).

143 Predicted values for the spirometry and lung volumes were from Quanjer et al. (30). To  
144 estimate predicted  $\text{FEV}_{1-\text{pl}}$ , the predicted  $\text{FEV}_1$  was increased by 4.5%. This was the difference  
145 between  $\text{FEV}_{1-\text{pl}}$  and  $\text{FEV}_1$  observed in a group of 81 healthy subjects (31 females and 50 males,  
146 aged  $46\pm 12 \text{ yr.}$ , with a BMI of  $24\pm 3 \text{ kg}\cdot\text{m}^{-2}$ ), independent of anthropometric data. Predicted values  
147 for  $D_L\text{CO}$  were from Cotes et al. (11) and those of 6MWD from the ATS guidelines (3).

148

149 *Data analysis*

150 At the end of studies, subjects were grouped depending on dominant phenotype, i.e.,  
151 chronic bronchitis or emphysema (Table 1), based on the clinical and radiological score (CRS)  
152 proposed by Pistolesi et al. (28) This score was obtained by a multivariate model with the  
153 following independent variables: sputum purulence, adventitious chest sounds, chest  
154 hyperresonance, FEV<sub>1</sub>/VC, and radiographic signs of increased vascular markings, bronchial  
155 wall thickening, reduced lung density, increased lung volume. A score >0.56 was taken as  
156 suggestive of dominant emphysema and ≤0.56 of dominant chronic bronchitis (28).

157 Differences in baseline characteristics between groups were assessed for statistical  
158 significance by unpaired t-test. Between-within group data were tested by a mixed repeated-  
159 measure ANOVA. Categorical data were compared by Fischer exact test with Freeman-Halton's  
160 extension for 2x4 contingency tables when appropriate. Values of p<0.05 were considered  
161 statistically significant. Data are presented as mean ± standard deviation. Statistical analyses  
162 were done by StatSoft Statistica and VassarStats website packages.

163

## 164 RESULTS

165 The two groups were well matched for anthropometric characteristics except than for  
166 body mass index (BMI), which was slightly lower in dominant-emphysema group (Table 1).  
167 Subjects with dominant emphysema had significantly lower D<sub>L</sub>CO, D<sub>L</sub>CO/V<sub>A</sub>, and FEV<sub>1</sub> and  
168 significantly larger TLC, FRC and RV than subjects with dominant chronic bronchitis (Table 1).  
169 However, neither FEV<sub>1-pl</sub> nor FVC, nor impedance components, i.e., respiratory resistance and  
170 reactance, were significantly different between groups either before or after albuterol  
171 administration (Table 2). Analysis of the main quality control indexes such as back-extrapolation  
172 volume, time to peak flow, and tidal breathing pattern, viz., breathing frequency and minute  
173 ventilation ( $\dot{V}_E$ ) did not reveal significant differences between groups (Table 3). Moreover, there  
174 were no significant differences between groups concerning arterial blood gases, degree of  
175 dyspnea (MRC score), quality of life (SGRQ), physical performance (6MWD), and number of

176 exacerbations per year (Table 4). Post- bronchodilator  $FEV_{1-pl}$  was significantly larger than  $FEV_1$   
177 ( $p<0.0001$ ) in both groups, but this difference was significantly larger in dominant emphysema  
178 than chronic bronchitis group ( $p=0.0026$ ). Consistent with these data, post-bronchodilator  $FEV_{1-}$   
179  $pl$  was not significantly different between dominant emphysema and chronic bronchitis groups  
180 (Table 2 and Figure 2).

181 Grading the severity of disease using old GOLD score by  $FEV_1$  led to a significant  
182 ( $p=0.0115$ ) excess of III-IV classes in dominant emphysema compared with chronic bronchitis  
183 group (Figure 3). By using  $FEV_{1-pl}$  the class distribution was not significantly different between  
184 groups ( $p=0.3162$ ) and the proportion of subjects shifting from III-IV to I-II classes was  
185 significantly ( $p=0.0348$ ) larger in dominant emphysema (16 out of 47) than chronic bronchitis (8  
186 out of 51) group. With the new GOLD grading system, the distribution of A-B and C-D stages  
187 was insignificantly different between groups using either  $FEV_1$  or  $FEV_{1-pl}$ .

188 The BODE score was significantly higher in subjects with dominant emphysema than  
189 those with chronic bronchitis using either spirometric  $FEV_1$  or  $FEV_{1-pl}$  ( $p=0.0079$ ) (Figure 4), but  
190 the difference between groups became significantly less (interaction  $p=0.0168$ ) when  $FEV_{1-pl}$   
191 was substituted for  $FEV_1$ . There was a prevalence of more severe BODE stages in dominant  
192 emphysema than chronic bronchitis group using either  $FEV_1$  ( $p=0.0111$ ) or  $FEV_{1-pl}$  ( $p=0.0324$ ).  
193 But the proportion of subjects shifting from III-IV to I-II stages using  $FEV_{1-pl}$  instead of  
194  $FEV_1$  was significantly ( $p=0.0180$ ) larger in dominant emphysema (9 out of 47) than chronic  
195 bronchitis (2 out of 51) group (Figure 5).

196

## 197 DISCUSSION

198 The main results of the present study are the following: 1)  $FEV_1$  was significantly less in  
199 subjects with dominant emphysema than those with chronic bronchitis, 2)  $FEV_{1-pl}$ , respiratory  
200 impedance parameters, arterial blood gases, and patient-centered variables, namely, dyspnea,  
201 quality of life, physical performance, and number of exacerbations/yr were similar between



202 groups, 3) using  $FEV_{1-pl}$  instead of  $FEV_1$  resulted in a significant shift towards lower severity  
203 classes more in dominant emphysema than chronic bronchitis group, and 4) BODE index was  
204 significantly higher in dominant emphysema than chronic bronchitis group using  $FEV_1$  but this  
205 difference was significantly attenuated by using  $FEV_{1-pl}$ .

206

### 207 *Interpretation of results*

208 The use of  $FEV_1$  as an index of severity of pulmonary disorders stems from the paper by  
209 Fletcher and Peto (13) suggesting that this parameter may decline with age at the faster rate in  
210 smokers than in healthy subjects. Further longitudinal studies in COPD showed indeed that  $FEV_1$   
211 is a predictor of either respiratory or all-cause mortality (4, 35). Therefore, current guidelines and  
212 strategy documents have recommended the use of  $FEV_1$  to stratify COPD subjects by severity (9,  
213 10, 26, 29, 31, 35). However, the observation that  $FEV_1$  is weakly correlated with patient-  
214 centered variables, such as dyspnea (37), exercise tolerance (5), and health-related quality of life  
215 (16), has prompted the introduction of composite classification criteria (8, 35). Furthermore, it  
216 has been recently proposed that a classification based not only on severity but also on phenotype  
217 may represent a step forward for personalized treatment of COPD patients (25).

218 In whatever stratification system, the severity of lung function abnormality has been  
219 graded based on the  $FEV_1$  (1, 2, 9, 25, 26, 27, 29, 31, 35). In theory, this is justified by the fact  
220 that the  $FEV_1$  reflects expiratory flow limitation, which is a marker of the disease. Yet, forced  
221 expiratory flow and thus  $FEV_1$  are determined by different yet indistinguishable mechanisms,  
222 such as lung elastic recoil, resistance upstream from the flow limiting segment, and airway size  
223 and stiffness (17). In addition, during a forced expiratory maneuver, part of intrathoracic gas is  
224 compressed as a result of an excess in alveolar pressure with respect to critical pressure  
225 necessary to generate maximal flow (17, 18, 21), thus causing the  $FEV_1$  measured at the mouth  
226 to be lower than the simultaneous change in chest wall volume measurable by a body

227 plethysmograph. This difference is small in healthy subjects but it may become large in disease  
228 as a result of the increase in airflow resistance, or lung volume, or both (21, 32, 33).

229         The present study is the first one in which the impact of thoracic gas compression on the  
230 severity classification of COPD has been examined in relation to dominant phenotypes. The  
231 findings show that FEV<sub>1</sub> measured at the mouth was consistently lower in subjects with  
232 dominant emphysema with respect to those with dominant chronic bronchitis despite similar  
233 patient-centered variables, blood gas data, and indexes of respiratory mechanics measured during  
234 tidal breathing by FOT. The fact that the two phenotypes did not differ for R<sub>5</sub>, R<sub>19</sub>, R<sub>5-19</sub> and X<sub>5</sub>,  
235 which are very sensitive indexes of airway mechanics and FEV<sub>1-pl</sub> strongly suggests that the  
236 more severe reduction of FEV<sub>1</sub> observed in emphysema than chronic bronchitis phenotype is not  
237 a reflection of greater degree of airflow obstruction but rather a greater amount of thoracic gas  
238 compression volume. Although such a difference of FEV<sub>1</sub> could be due to different expiratory  
239 efforts, this possibility is presumably ruled out by the similarities of time to peak flow and back  
240 extrapolation volume between groups. More likely, the differences in FEV<sub>1</sub> between phenotypes  
241 were due to larger lung volume in emphysema, as predicted on the ground of the wave-speed  
242 theory of expiratory flow limitation. During a forced expiration, alveolar pressure increases and  
243 gas is compressed within the lung, thus causing lung volume and lung elastic recoil to decrease.  
244 A reduction of elastic recoil pressure will result in a reduction of driving pressure and transmural  
245 pressure at choke point, which can explain why FEV<sub>1</sub> was systematically less than FEV<sub>1-pl</sub>.  
246 Being the amount of thoracic gas compression larger in larger than smaller lungs, for a given  
247 pressure and airflow resistance, this would explain why the difference between FEV<sub>1-pl</sub> and FEV<sub>1</sub>  
248 was greater in dominant emphysema than chronic bronchitis group.

249         The present results are in keeping with previous studies. Krowka et al (21) found that  
250 decreasing expiratory effort was associated with a tendency of FEV<sub>1</sub> to increase above the  
251 threshold of natural variability and suggested that this negative effort-dependence of forced  
252 expiratory flow may confound the interpretation of spirometry and bronchomotor tests if

253 maneuvers are performed with different efforts. Sharafkhaneh et al. (32) measured  
254 simultaneously FEV<sub>1</sub> and FEV<sub>1-pl</sub> in COPD subjects undergoing lung volume reduction surgery  
255 and found that about 40% of the increase in FEV<sub>1</sub> after surgery was explained by the reduction in  
256 the amount of thoracic gas compression.

257

#### 258 *Limitations of the study*

259 The present study has limitations. First, no quantitative assessment of emphysema was  
260 made by high-resolution computed-tomography (HRCT). However, the clinical and radiological  
261 score model was validated against HRCT (28) and, although a zone of overlap may be present,  
262 the two groups of this study exhibited values quite far from the cutoff value. Moreover, there  
263 were significant differences between groups in TLC and D<sub>L</sub>CO, which are strong correlates of  
264 anatomical emphysema (7) that were not included in the model. Thus, it seems justified to  
265 assume that the method used for grouping subjects with dominant emphysema or chronic  
266 bronchitis was adequate for the purposes of this study. Second, predicting equations for FEV<sub>1-pl</sub>  
267 are not available and therefore predicted values were obtained by increasing predicted FEV<sub>1</sub> by a  
268 fixed amount determined in a group of healthy subjects. This might have determined systematic  
269 over- or under-estimation of severity in both groups, but this would unlikely explain differences  
270 between groups. Third, because of its cross-sectional nature, the study cannot provide direct  
271 information on the prognostic role of different pulmonary function tests. Nevertheless, the  
272 present data show that thoracic gas compression could potentially affect BODE index, which has  
273 been proposed as a sensitive predictor of mortality.

274

#### 275 *Clinical and therapeutic implications*

276 The results of the present study have practical implications owing to the use of severity  
277 grading for choice of treatment (9, 10, 26, 29, 31, 35) and prognosis (8). Indeed, using FEV<sub>1-pl</sub>  
278 instead of FEV<sub>1</sub> caused a shift from GOLD III-IV to GOLD I-II classes in a larger number of

279 subjects with dominant emphysema than dominant chronic bronchitis. Were this classification  
280 used as a treatment guidance, more subjects with dominant emphysema would have received  
281 combined treatment with inhaled steroids than subjects with dominant chronic bronchitis even if  
282 clinical variables and airway mechanical conditions were not dissimilar. With the 2013 GOLD  
283 classification based on the FEV<sub>1</sub>, dyspnea, and exacerbation number, using FEV<sub>1-pl</sub> instead of  
284 FEV<sub>1</sub> did not lead to significant differences between subjects with dominant chronic bronchitis  
285 or emphysema. We speculate that this is because of a relatively minor role for lung function  
286 with respect to dyspnea and exacerbations in this multidimensional grading system. The BODE  
287 index albeit multidimensional was affected by gas compression more in dominant emphysema  
288 than chronic bronchitis group. Using FEV<sub>1-pl</sub> instead FEV<sub>1</sub> the difference between dominant  
289 emphysema and chronic bronchitis group was significantly reduced but still significant,  
290 presumably because of the lower BMI in dominant emphysema group. Indeed, when a score  
291 including FEV<sub>1-pl</sub>, MRC and 6MWD but not BMI was calculated there was no difference  
292 between dominant emphysema and chronic bronchitis group (p=0.3249).

293

#### 294 *Conclusions*

295 The present study challenges the use of FEV<sub>1</sub> as the sole lung function parameter for  
296 severity grading in COPD, because of its dependence on dominant phenotype.

297 Assuming that lung function measurements are still needed to confirm objectively the clinical  
298 diagnosis COPD, the practical question is which tests are more adequate than spirometric FEV<sub>1</sub>  
299 to reflect COPD severity. An answer to this question will require longitudinal studies comparing  
300 the predicting value of different lung function tests on clinical outcomes in relation to the major  
301 phenotypes of this complex disease. These should include not only the classical measurements of  
302 lung volumes and D<sub>L</sub>CO, but also tests that are independent of thoracic gas compression and  
303 sensitive to airway caliber and ventilation heterogeneity.

304

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427

## 428 FIGURE LEGENDS

429 Figure 1. Representative flow-volume curves of a COPD subject with dominant emphysema. Flow  
430 is plotted against expired volume (dashed line) or plethysmographic volume (continuous  
431 line). Forced expiratory volume in 1 s measured at mouth ( $FEV_1$ ) was 1.26 L and by  
432 plethysmography ( $FEV_{1-pl}$ ) 1.75 L.

433 Figure 2. Post-bronchodilator  $FEV_{1-pl}$  in subjects with dominant emphysema (E+, n=47) or chronic  
434 bronchitis (CB+, n=51). E+ vs. CB+,  $p=0.1081$ ;  $FEV_1$  vs.  $FEV_{1-pl}$ ,  $p<0.0000$ ;  
435 interaction,  $p=0.0026$ . This would indicate that gas compression significantly affected  
436 forced expiratory volume in both groups, but significantly more in E+ than CB+. Values  
437 are mean and standard deviation.

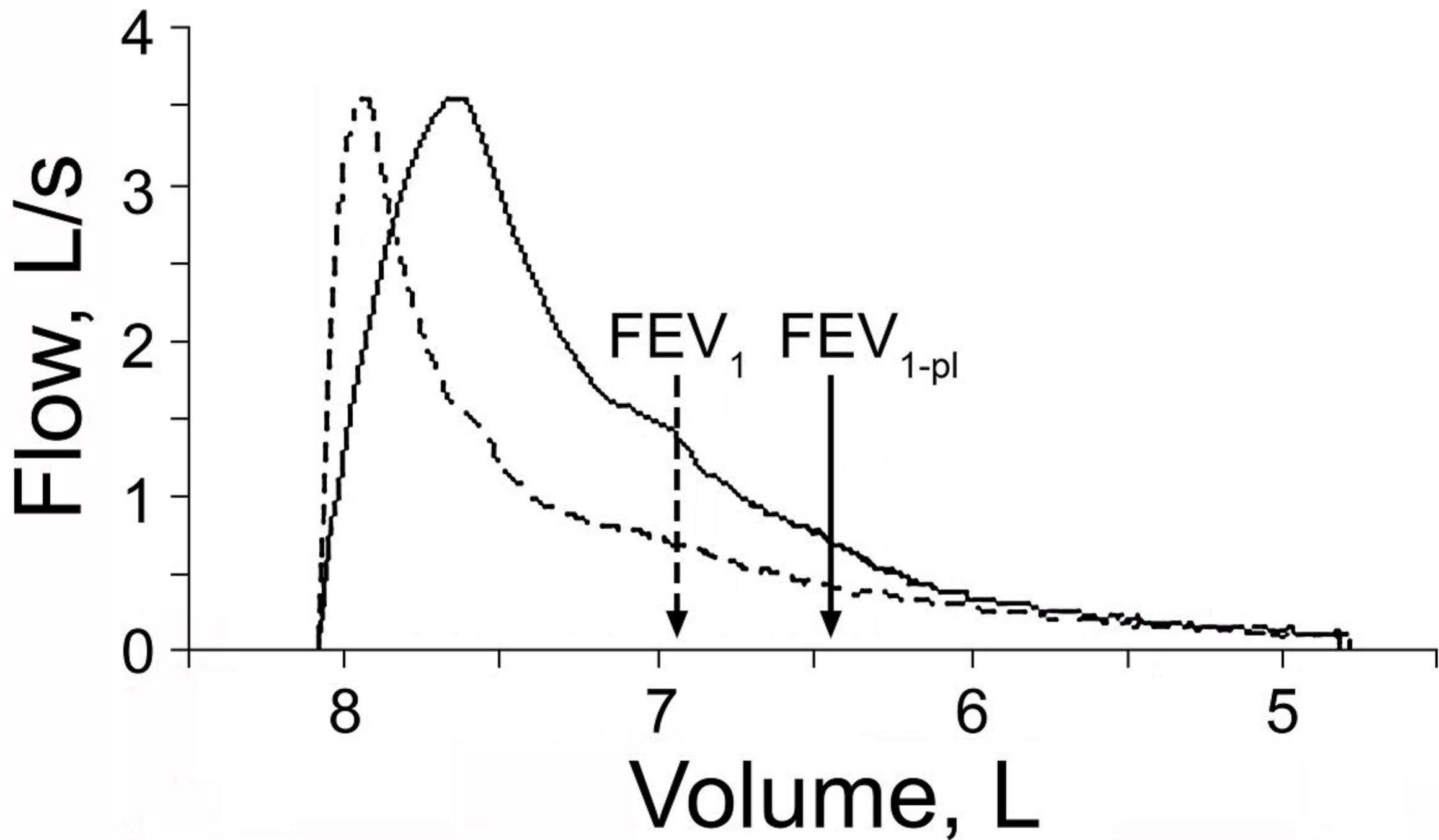
438 Figure 3. Effect of thoracic gas compression on severity classifications of subjects with dominant  
439 emphysema (E+, n=47) or chronic bronchitis (BC+, n=51) according to the 2007 GOLD  
440 criteria (left panel) and 2013 GOLD criteria (right panel). P values indicate significance  
441 of differences in categorical distributions between groups by using  $FEV_1$  or  $FEV_{1-pl}$ .

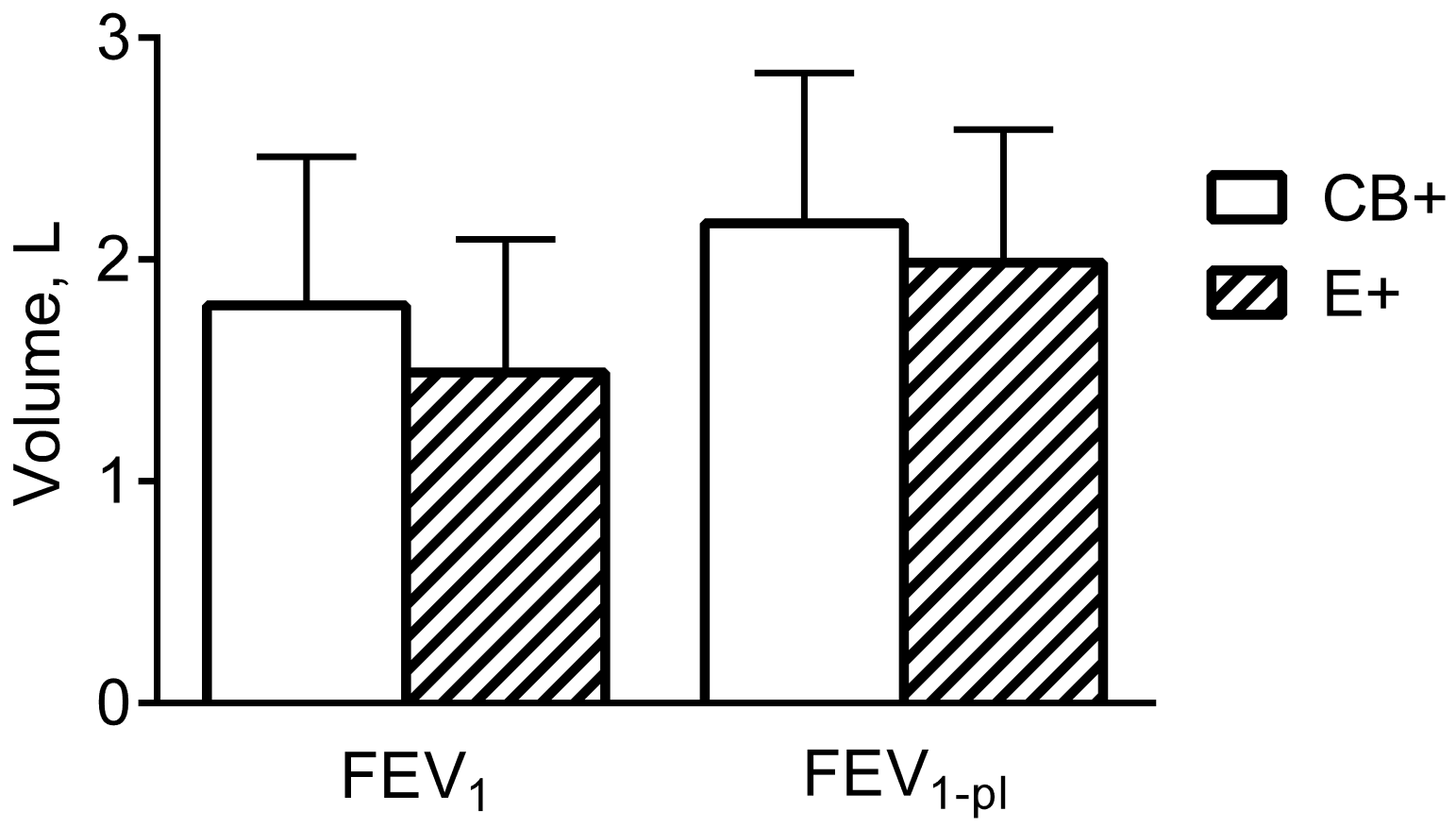
442 Figure 4. Effect of thoracic gas compression on BODE score in subjects with dominant  
443 emphysema (E+, n=47) or chronic bronchitis (CB+, n=51). E+ vs. CB+,  $p=0.0079$ ;  $FEV_1$   
444 vs.  $FEV_{1-pl}$ ,  $p<0.0000$ ; interaction,  $p=0.0168$ . This would indicate that gas compression  
445 significantly affected forced expiratory volume in both groups, but significantly more in  
446 E+ than CB+. Values are presented as mean and standard deviation.

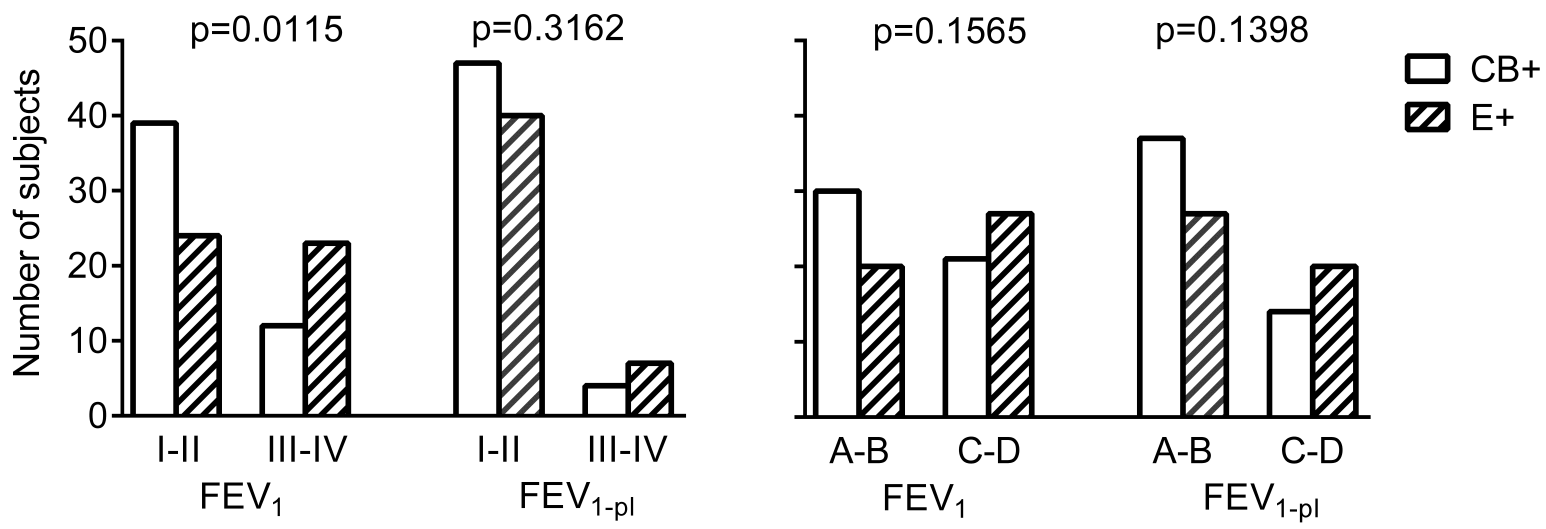
447 Figure 5. Effect of thoracic gas compression on distribution of BODE stages. P values indicate  
448 significance of differences in categorical distributions between groups.

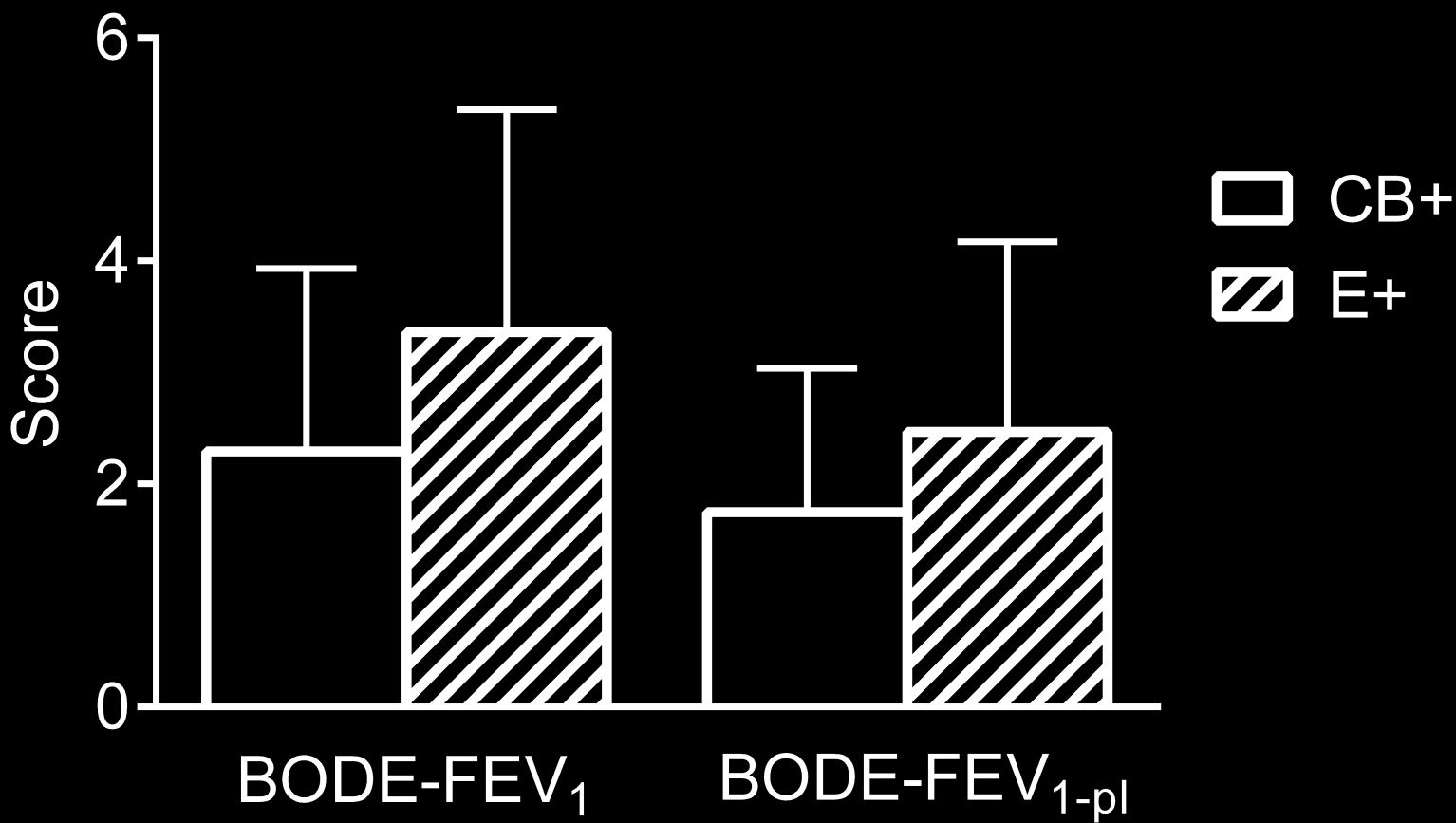
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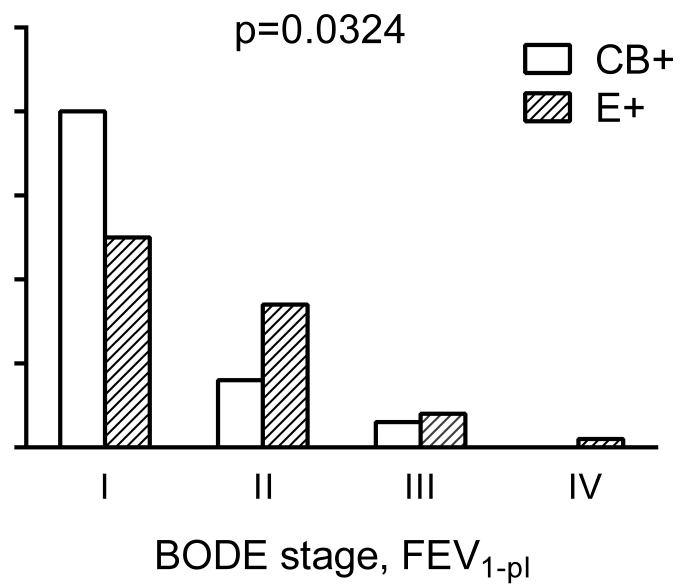
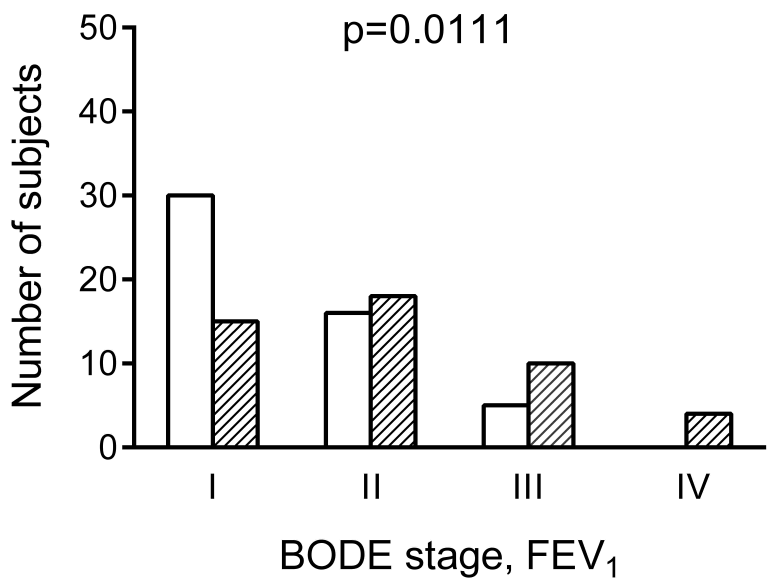


Table 1. Subjects' main anthropometric and lung function data.

|  | Dominant Emphysema | Dominant Chronic Bronchitis | P       |
|--|--------------------|-----------------------------|---------|
| Sex, M/F                                       | 39/8               | 42/9                        | 0.9349  |
| Age, yr  | 66±9               | 67±8                        | 0.9080  |
| Height, cm                                     | 170 ±8             | 168±8                       | 0.1020  |
| Smoking habit, Yes/No                          | 46/1               | 51/0                        | 0.9672  |
| Pack-years                                     | 45±18              | 37±15                       | 0.0231  |
| BMI, kg·m <sup>-2</sup>                        | 23±4               | 26±4                        | <0.0001 |
| FEV <sub>1</sub> , % of predicted              | 48±17              | 60±17                       | 0.0016  |
| FEV <sub>1</sub> /VC, %                        | 46±11              | 55±9                        | <0.0001 |
| FRC % of predicted                             | 148±29             | 131±29                      | 0.0046  |
| RV, % of predicted                             | 179±45             | 155±40                      | 0.0067  |
| TLC, % of predicted                            | 115±14             | 108±12                      | 0.0145  |
| D <sub>L</sub> CO, % of predicted              | 60±20              | 84±22                       | <0.0001 |
| D <sub>L</sub> CO/V <sub>A</sub> , % predicted | 74±24              | 98±26                       | <0.0001 |
| CRS, units                                     | 0.71±0.06          | 0.42±0.06                   | <0.0001 |
| PaO <sub>2</sub> , mmHg                        | 70±8               | 72±8                        | 0.3239  |
| PaCO <sub>2</sub> , mmHg                       | 38±4               | 39±5                        | 0.4456  |

BMI, body mass index; FEV<sub>1</sub>, forced expiratory volume in 1 s; VC, vital capacity; FRC, functional residual capacity; RV, residual volume; TLC, total lung capacity; D<sub>L</sub>CO, single-breath lung diffusion capacity; V<sub>A</sub>, alveolar volume; CRS, clinical and radiological score. Data are mean ± standard deviation. P, significance levels by Student's unpaired t test or Chi-square test with Yates' correction where appropriated.



Table 2. Lung function data before and after bronchodilator.

|   | Dominant Emphysema |            | Dominant Chronic Bronchitis |            | P      |          |
|---|--------------------|------------|-----------------------------|------------|--------|----------|
|   | Pre-BD             | Post-BD    | Pre-BD                      | Post-BD    | Groups | Pre-Post |
| FEV <sub>1</sub> , L                                    | 1.36±0.57          | 1.50±0.60  | 1.64±0.65                   | 1.79±0.67  | 0.0210 | <0.0001  |
| FEV <sub>1-pl</sub> , L                                 | 1.90±0.58          | 1.99±0.60  | 2.02±0.66                   | 2.16±0.68  | 0.2391 | <0.0001  |
| FVC, L  | 2.90±0.90          | 3.16±0.94  | 2.93±0.96                   | 3.14±0.97  | 0.9703 | <0.0001  |
| R <sub>5</sub> , cmH <sub>2</sub> O·s·L <sup>-1</sup>   | 3.78±1.15          | 3.22±1.03  | 4.08±1.81                   | 3.28±1.45  | 0.5998 | <0.0001  |
| R <sub>19</sub> , cmH <sub>2</sub> O·s·L <sup>-1</sup>  | 2.91±0.67          | 2.60±0.61  | 3.13±0.92                   | 2.76±0.75  | 0.2014 | <0.0001  |
| R <sub>5-19</sub> , cmH <sub>2</sub> O·sL <sup>-1</sup> | 0.87±0.84          | 0.62±0.71  | 0.96±1.16                   | 0.52±0.92  | 0.8176 | <0.0001  |
| X <sub>5</sub> , cmH <sub>2</sub> O·s·L <sup>-1</sup>   | -1.61±0.95         | -1.36±0.90 | -1.76±1.41                  | -1.30±1.07 | 0.9722 | <0.0001  |

BD, bronchodilator; FEV<sub>1-pl</sub>, forced expiratory volume in 1 s measured in the body plethysmograph; R<sub>5</sub> and R<sub>19</sub>, inspiratory resistance at 5 and 19 Hz, respectively; X<sub>5</sub>, inspiratory reactance at 5 Hz; Data are mean ± standard deviation. P, significance levels by two-factor repeated-measure ANOVA.

Table 3. Spirometry quality control additional data and breathing pattern.

|                                   | Dominant Emphysema |           | Dominant Chronic<br>Bronchitis |           | P      |          |
|-----------------------------------|--------------------|-----------|--------------------------------|-----------|--------|----------|
|                                   | Pre-BD             | Post-BD   | Pre-BD                         | Post-BD   | Groups | Pre-Post |
| PEFT, ms                          | 0.06±0.02          | 0.06±0.02 | 0.06±0.02                      | 0.06±0.02 | 0.9291 | 0.8769   |
| BEV, L                            | 0.05±0.02          | 0.06±0.03 | 0.06±0.03                      | 0.07±0.03 | 0.3081 | 0.5416   |
| BF, min <sup>-1</sup>             | 16±4               | 16±4      | 16±4                           | 15±4      | 0.6014 | 0.5416   |
| $\dot{V}_E$ , L·min <sup>-1</sup> | 15±5               | 15±5      | 13±4                           | 14±4      | 0.1063 | 0.3492   |

PEFT, time to peak flow; BEV, back extrapolation volume; BF, breathing frequency;  $\dot{V}_E$  minute ventilation. Data are mean ± standard deviation.

Table 4. Patient-centered variables.

|                     | Dominant Emphysema | Dominant Chronic Bronchitis | P      |
|---------------------|--------------------|-----------------------------|--------|
| MRC score, units    | 2.4±0.9            | 2.2±0.7                     | 0.2646 |
| SGRQ                |                    |                             |        |
| Symptoms            | 33±21              | 37±18                       | 0.4140 |
| Activity            | 43±21              | 42±19                       | 0.9145 |
| Impact              | 23±16              | 20±14                       | 0.2269 |
| Total               | 31±16              | 30±14                       | 0.6096 |
| 6MWD                |                    |                             |        |
| Meters              | 489±101            | 480±110                     | 0.6939 |
| % predicted         | 92±18              | 96±18                       | 0.2802 |
| Exacerbations/yr, n | 1.2±0.8            | 1.1±0.9                     | 0.5071 |

MRC, Medical Research Council dyspnea score; SGRQ, Saint George's Respiratory Questionnaire; 6MWD, 6-minute walking distance. Data are mean ± SD. P, significance levels by Student's unpaired t test.