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Interrelationships between small airways dysfunction, neutrophilic inflammation and exacerbation frequency in COPD

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PII: S0012-3692(20)35299-5

DOI: <https://doi.org/10.1016/j.chest.2020.11.018>

Reference: CHEST 3797

To appear in: *CHEST*

Received Date: 19 March 2020

Revised Date: 3 November 2020

Accepted Date: 8 November 2020

Please cite this article as: Day K, Ostridge K, Conway J, Cellura D, Watson A, Spalluto CM, Staples KJ, Thompson B, Wilkinson T, On behalf of the MICA II study group-Anna Freeman and Hannah Burke, Interrelationships between small airways dysfunction, neutrophilic inflammation and exacerbation frequency in COPD, *CHEST* (2020), doi: <https://doi.org/10.1016/j.chest.2020.11.018>.

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1 Abstract word count: 238

2 Text word count: 3380

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4 Interrelationships between small airways dysfunction, neutrophilic  
5 inflammation and exacerbation frequency in COPD

6 Short title/running head: Small airways disease and exacerbations in COPD

7

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**26 Summary conflict of interest statements**

27 KD, KJS, JC, TW, AW, CMS and DC report grants from Astrazeneca, during the conduct of the study.  
28 JC reports personal fees from Trudell Medical, outside the submitted work and TW reports personal  
29 fees and other from MyMHealth, grants from GSK, grants and personal fees from AstraZeneca,  
30 grants and personal fees from Synairgen, personal fees from BI, outside the submitted work. KO is a  
31 paid employee of Astrazeneca. Prof Thompson has nothing to disclose.

**32 Funding information**

33 The study was funded by AstraZeneca. AstraZeneca reviewed the publication, without influencing  
34 the opinions of the authors, to ensure medical and scientific accuracy, and the protection of  
35 intellectual property. The corresponding author had access to all data in the study, and had the final  
36 responsibility for the decision to submit the manuscript for publication

**37 Notation of prior abstract publication/presentation**

38 Preliminary data from this study was presented in abstract form at the ERS conference 2019,  
39 Madrid.

40

## 41 Abbreviation list

42

43 BAL: Bronchoalveolar lavage

44 BAL Neutrophil %: The average of the percentage of neutrophils from the sampling of two lobes  
45 during bronchoscopy

46 CT: Computed Tomography

47 FE: Frequent exacerbator subgroup

48 FOT: Forced Oscillation Technique

49 ICS: Inhaled Corticosteroids

50 IFE: Infrequent exacerbator subgroup

51 %LAA: Percentage Low Attenuation Area &lt;-950HU

52 MBNW: Multiple Breath Nitrogen Washout

53 MLD E/I: The ratio of the Mean Lung Density (MLD) of expiration to inspiration (MLD E/I)

54 RV/TLC: The ratio of residual volume to total lung capacity

55  $S_{acin}$ : Acinar ventilation heterogeneity

56 SAD: Small Airways Disease

57 TLCO: Transfer factor for carbon monoxide

## 58 Abstract

59 **Background**

60 Small airways disease (SAD) is a key component of COPD and is a main contributing factor to lung  
61 function decline.

62 **Research Question**

63 Is small airways disease a key feature of frequent COPD exacerbators and is this related to airway  
64 inflammation?

65 **Study Design and Methods**

66 Thirty nine COPD subjects defined as either frequent exacerbators ( $\geq 2$  exacerbations per year,  $n =$   
67 17) and infrequent exacerbators ( $\leq 1$  exacerbation per year,  $n = 22$ ) underwent Forced Oscillation  
68 Technique (R5-R19, AX), multiple breath nitrogen washout ( $S_{\text{cond}}$ ,  $S_{\text{acin}}$ ), plethysmography (RV/TLC),  
69 single breath transfer factor (TLCO), spirometry ( $FEV_1\%$ ,  $FEV_1/FVC$ ) and paired inspiratory –  
70 expiratory CT scans to ascertain small airways disease. A subpopulation underwent bronchoscopy to  
71 enable enumeration of BAL cell proportions.

72 **Results**

73 Acinar ventilation heterogeneity ( $S_{\text{acin}}$ ) was significantly higher in COPD FE compared to IE ( $P = .027$ ).  
74 In the FE group, markers of SAD were strongly associated with BAL neutrophil proportions, R5-R19 ( $P$   
75  $= .001$ ,  $r = 0.795$ ), AX ( $P = .049$ ,  $\rho = 0.560$ ), RV/TLC ( $P = .004$ ,  $r = 0.730$ ) and the mean lung density  
76 of the paired CT scans ( $P = .018$ ,  $r = 0.639$ ).

77 **Interpretation**

78 Increased acinar ventilation heterogeneity may be a consequence of previous exacerbations or  
79 highlight a group of patients prone to exacerbations. Measures of SAD were strongly associated with  
80 neutrophilic inflammation in the small airways of FE supporting the hypothesis that frequent  
81 exacerbations are associated with small airway disease related to increased cellular inflammation.

82 **Keywords: Small airways, COPD, exacerbation, inflammation**

83 Chronic Obstructive Pulmonary Disease (COPD) is a heterogenous disease of the lungs that can  
84 comprise of different pathophysiological entities, including emphysema, chronic bronchitis and Small  
85 Airways Disease (SAD)<sup>1,2</sup>. COPD is also associated with chronic inflammation and this ongoing  
86 inflammation may result in airway remodelling and excessive mucus plugging within the small  
87 airways (those defined as < 2 mm in diameter)<sup>3,4</sup>. This leads to a loss of the support structures  
88 keeping these airways open, resulting in airway narrowing and increased small airways resistance<sup>5</sup>.  
89 Increased small airways resistance has been shown to be a main contributor to airflow limitation in  
90 COPD<sup>3,6</sup>. In the past, COPD patients were broadly split between an emphysematous phenotype and a  
91 chronic bronchitic phenotype, but not only can these features co-exist in the same patient but it is  
92 now recognised that COPD patients exhibit multiple phenotypes and endotypes. One such  
93 phenotype are those patients who experience frequent exacerbations ( $\geq 2$  exacerbations per  
94 year)<sup>1,7</sup>, which appears to be a relatively stable phenotype<sup>8</sup>. Exacerbations are an acute worsening of  
95 symptoms resulting in additional therapy and can be classified as mild, moderate or severe<sup>1</sup>.  
96 Exacerbations are associated with faster lung function decline<sup>8,9</sup> and hospital admissions due to  
97 exacerbations have major healthcare utilization implications<sup>10,11</sup>. During both stable periods and  
98 exacerbations, there is increased neutrophilic inflammation in the airways of COPD subjects<sup>12</sup>.  
99 Furthermore, frequent exacerbators have increased neutrophilic inflammatory markers over time  
100 and this inflammation is positively associated with bacterial load<sup>12</sup>. Exacerbations are associated  
101 with disease progression and work is ongoing to try to understand the mechanisms related to  
102 exacerbation susceptibility<sup>13</sup>. It is unclear what the relationship between SAD and exacerbation  
103 frequency is and what the mechanistic links between the two features of COPD are.

104 Changes in the small airways can be identified through increases in ventilation heterogeneity  
105 and gas trapping, however, there is no universally agreed gold standard for the measurement of this  
106 SAD. Gas trapping, an indirect measure of SAD, can be assessed using a paired high resolution  
107 computed tomography (HRCT) scan and/or body plethysmography<sup>14,15</sup>. The HRCT measure gives the  
108 ratio of the Mean Lung Density (MLD) of the expiratory scan to the inspiratory scan (MLD E/I),  
109 reflecting increased low attenuation areas after expiration due to incomplete volume reduction<sup>16</sup>.  
110 Body plethysmography yields a residual volume to total lung capacity ratio (RV/TLC) which is also  
111 raised due to incomplete volume reduction as a result of pathology within the small airways.  
112 Although not yet adopted into routine clinical practice, measures derived from the Forced Oscillation  
113 Technique (FOT) and the Multiple Breath Nitrogen Washout (MBNW) have been shown to associate  
114 with ventilation heterogeneity attributed to SAD in asthma and COPD with MBNW recently shown to  
115 be feasible in COPD populations<sup>17,18</sup>.

116 FOT uses pressure oscillations during normal breathing to examine the resultant flow  
117 pressure relationship and calculate resistance (R) and reactance (X) of the airways and lung tissue<sup>19</sup>.  
118 In COPD, narrowing of the small airways results in frequency dependence of resistance, denoted as  
119 R5-R19 and an increased low frequency reactance area (AX) due to oscillations being unable to  
120 access the smaller airways as peripheral lung units are derecruited<sup>19,20</sup>. R5-R19 may be elevated due  
121 to either upper airways shunting (especially during airways obstruction)<sup>21,22</sup>, widespread airways  
122 constriction, or heterogeneity of constriction<sup>23</sup> and studies using computational modelling have  
123 demonstrated that these measures are most impacted by narrowing of the small airways<sup>24</sup>. Both R5-  
124 R19 and AX have been shown to reflect small airways abnormalities and will therefore be used as a  
125 marker of small airways dysfunction in this analysis<sup>19</sup>. The MBNW test measures ventilation  
126 heterogeneity and is able to compartmentalize that within the conducting airways ( $S_{cond}$ ) and that  
127 within the acinar ( $S_{acin}$ ) regions of the lung<sup>25-27</sup>.  $S_{acin}$  is increased in COPD<sup>25,28</sup> and this can be due to  
128 uneven narrowing of small airways, parenchymal destruction and/or loss of patent terminal  
129 bronchioles<sup>27,29,30</sup>. An advantage of FOT over MBNW is that it is quick and easy for subjects to  
130 complete compared to MBNW which takes longer and may not be as repeatable<sup>31</sup>.

131 Significant small airways dysfunction has been described in COPD compared to health<sup>2,27,28,32</sup>  
132 but there is mixed literature about the clinical relevance of small airways dysfunction in COPD<sup>18</sup>.  
133 Furthermore, there is limited information about how measures of SAD may differ between  
134 exacerbation phenotypes of COPD. There are also a lack of studies examining the relationship  
135 between these physiological tests and airway inflammation with most studies using resected lung  
136 tissue or sputum<sup>32,33</sup>. Exploring the associations between indices derived from non-invasive  
137 measures of SAD and distal lung inflammation would provide insight into the physiological  
138 manifestations of inflammation and help in our understanding of disease processes.

139 The use of FOT and MBNW in COPD is not fully understood and there is a significant global  
140 interest and debate about the future of these two tests within respiratory medicine<sup>34</sup>. Markers of  
141 SAD measure different aspects of this disease process and because there is no gold standard  
142 measure, we chose to examine indices derived from lung function tests and HRCT to provide a non-  
143 biased comprehensive assessment. The use of FOT and MBNW indices in addition to gas trapping  
144 markers provides information about heterogenous small airways constriction and ventilation  
145 heterogeneity in the peripheral airways. In order to gain insight into the mechanisms leading to  
146 frequent exacerbation in COPD and the potential role of the small airways within this pathology, this  
147 study aimed to compare markers of SAD between infrequent (IFE) and frequent exacerbators (FE) to  
148 understand if SAD is a key feature of frequent exacerbators. Furthermore, it aimed to examine the  
149 relationships between these SAD markers and neutrophilic inflammation to test the hypothesis that

150 COPD frequent exacerbators have increased SAD resulting from increased lower airways  
151 inflammation. This study used a well characterised cohort of COPD patients which has previously  
152 been used to compare two CT quantitative analysis techniques<sup>2</sup>. Furthermore, cells purified from  
153 bronchoscopy of this cohort of patients, have been used to model the dynamics of IFN- $\beta$  responses  
154 during respiratory viral infection<sup>35</sup>.

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## 156 Methods and Materials

157 COPD and healthy controls were recruited into the study as previously described<sup>2</sup>. As this analysis  
158 focuses on small airways disease and COPD exacerbations only the 39 COPD subjects were included.  
159 These subjects were GOLD Stage I and II former smokers with at least a 10 pack year history. Briefly,  
160 subjects were recruited from various sources including a research database, study advertisements,  
161 local healthcare facilities or contacted by clinicians involved in or aware of the study. Subjects had  
162 quit smoking at least 6 months before enrolment and non-smoking status was confirmed by urine  
163 cotinine testing. For this analysis, subjects were classified as either frequent exacerbators (defined as  
164 those with a history of frequent exacerbations ( $\geq 2$  per year in the preceding 12 months before  
165 enrolment)<sup>1,7</sup>,  $n = 17$  or infrequent exacerbators (defined as with a history of infrequent  
166 exacerbations ( $\leq 1$  per year in the preceding 12 months before enrolment),  $n = 22$ . Exacerbations  
167 were considered as moderate exacerbations (those requiring oral steroids and/or antibiotics) or  
168 severe exacerbations defined as those requiring steroid and/or antibiotics plus hospital admission.  
169 Subjects were free of exacerbations for a minimum of 1 month before enrolment. All subjects gave  
170 written informed consent and the study was approved by the South Central Research Ethics  
171 Committee C (REC number 15/SC/0528).

172 Following administration of 400  $\mu\text{g}$  of salbutamol, subjects performed spirometry as per guidelines  
173 at study enrolment<sup>36</sup>. Subjects then underwent a visit with extensive lung function testing which has  
174 previously been described in detail<sup>2</sup>. Briefly, pre-bronchodilator, single breath diffusion was  
175 performed as per guidelines<sup>37</sup>, with percent-predicted carbon monoxide transfer coefficient  
176 calculated (TLCO%). Following administration of 400  $\mu\text{g}$  of salbutamol, the tidal breathing tests,  
177 MBNW ( $S_{\text{cond}}$  and  $S_{\text{acin}}$ ) and oscillometry (R5-R19, AX) were performed before plethysmography, with  
178 subjects allowed sufficient recovery time between testing.

179 HRCT analysis was performed by VIDA Diagnostics with emphysema measured as the percent of  
180 voxels with attenuation values less than -950 HU on the inspiratory scan (%LAA). MLD E/I, a CT  
181 marker of gas trapping was calculated as the ratio of mean lung density on paired expiratory and  
182 inspiratory scans.

183 A subpopulation of subjects underwent flexible video bronchoscopy and bronchoalveolar lavage  
184 (BAL) sampling ( $n = 17$  for IFE,  $n = 13$  for FE). Two lobes were sampled per subject with 100 ml 0.9%  
185 (w/v) saline being instilled into each lobe and recovered by aspiration. The BAL was filtered using a  
186 100  $\mu\text{m}$  cell strainer and centrifuged at 400 g for 10 min and room temperature to isolate the cell  
187 pellet. Cytospin slides were generated and 500 cells were counted to obtain a differential cell count.

188 BAL neutrophil proportions and eosinophil proportions were averaged from differential cell counts  
189 from both lobes as previously described<sup>38</sup>.

190 Data were analysed using IBM SPSS Statistics 24 and Graphpad prism 8.2.0. Each variable was  
191 checked for normality by plotting histograms and either mean and standard deviation or median and  
192 interquartile range were reported, as appropriate. A *P* value of < .05 was considered statistically  
193 significant. A two sample t-test or Mann-Whitney U test was used to test for differences between  
194 the infrequent and frequent exacerbator groups, as appropriate. Due to the categorical nature of  
195 gender and of ICS usage, chi square tests were used to test for any differences between the groups.  
196 Bivariate associations were determined using either Pearson's correlation or Spearman's rank  
197 correlation analyses, as appropriate.

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## 199 Results

200 Table 1 shows the demographic, lung function and emphysema scores for the COPD subjects  
201 included in this analysis and has some overlap with previously published work<sup>2,35</sup>. The use of ICS was  
202 higher in FE vs IFE, however there was no difference in any of the other demographic, spirometry or  
203 emphysema scores between the infrequent and frequent exacerbator groups (Table 1).

204 To understand if small airways disease is a key feature of frequent COPD exacerbators, physiological  
205 and CT parameters were compared between the IFE and FE groups. Of the six parameters  
206 investigated, only  $S_{acin}$  was significantly different between infrequent and frequent exacerbators,  
207 with FE having higher median values than IFE (Table 2).

208 We next investigated the association between exacerbation phenotype and neutrophilic  
209 inflammation. There were more BAL neutrophils in FE (median 9.40, IQR 29.40) compared to IFE  
210 (median 3.10, IQR 7.50, one tailed  $P = .036$ ) (Figure 1). For comparison of other BAL cell types and for  
211 total BAL cell count see supplement- e-Table 1 and e-Appendix 1. Figure 1 indicates a sub-cluster of  
212 FE with excessive neutrophilic inflammation (values above the median of the FE group),  $n = 6$ .  
213 However, no differences in small airways measures between this sub-cluster and other FE was found  
214 except for MLD E/I which was significantly higher in the excessive neutrophilic group compared to  
215 other FE (e-Table 2). In order to understand how markers of small airways dysfunction relate to BAL  
216 neutrophilic inflammation, bivariate correlations with BAL neutrophil proportions were then  
217 conducted. When all COPD subjects were analysed, only R5-R19 and RV/TLC were significantly  
218 associated with BAL neutrophils (Table 3). Regarding eosinophilic inflammation, there was no  
219 difference in BAL eosinophil proportions between IFE and FE and no significant correlations between  
220 any markers of SAD and BAL eosinophil proportions (e-Table 3 and e-Appendix 1).

221 Bivariate correlations were next analysed in the infrequent and frequent exacerbator groups  
222 separately to determine if associations between markers of SAD and BAL neutrophil proportions  
223 differed by exacerbation phenotype. There were no significant associations between any markers of  
224 SAD and BAL neutrophil proportions in the infrequent group (e-Table 4). For the FE group,  
225 scatterplots were visualised (Figure 2A-D) if there were significant associations between markers of  
226 SAD and BAL neutrophil proportions. In frequent exacerbators, there were significant moderate to  
227 very strong associations between R5-R19, AX, MLD E/I, RV/TLC and BAL neutrophil proportions.  
228 There was a trend towards an association between  $S_{acin}$  and BAL neutrophil proportions ( $P = .067$ ).  
229 There were no significant associations between  $S_{cond}$  and BAL neutrophil proportions in this  
230 subgroup (all  $P > .05$  – data not shown). For eosinophil proportions, there were no significant  
231 correlations with markers of SAD in the infrequent or frequent exacerbator subgroups except for

232  $S_{\text{cond}}$  in the FE group (e-Table 3). Sub-group analyses of only subjects on ICS revealed similar results  
233 as described when COPD subjects irrespective of ICS usage were analysed (see e-Appendix 1 for full  
234 results of this sub-analysis).

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## 235 Discussion

236 To our knowledge this is the first study using both physiological and CT measures of SAD to  
237 demonstrate small airways dysfunction is strongly associated with BAL neutrophil not eosinophil  
238 proportions in frequent but not in infrequent COPD exacerbators. These data highlight the important  
239 interrelationship between neutrophilic inflammation, exacerbation frequency and small airways  
240 disease in COPD. Furthermore, it is the first to describe increased acinar ventilation heterogeneity in  
241 COPD patients who are frequent exacerbators. This is not purely driven by airflow limitation or  
242 disease severity as there was no significant difference in FEV<sub>1</sub>/FVC or FEV<sub>1</sub>%, as determined by  
243 spirometry, between the two exacerbation groups. SAD may be either a cause or consequence of  
244 frequent exacerbations and associated neutrophilic inflammation and the measurement of acinar  
245 ventilation heterogeneity may help in identifying subjects who experience frequent exacerbations as  
246 a guide to patient management.

247 Our first observation was of increased  $S_{\text{acin}}$  in the FE subjects. No differences in  $S_{\text{cond}}$  were  
248 noted between the two groups suggesting the increased ventilation heterogeneity is in the acinar  
249 region and not in the more proximal conducting airways. Increased ventilation heterogeneity occurs  
250 due to non-uniform emptying of the lungs potentially as a result of some areas being less ventilated  
251 than others<sup>39</sup> and therefore an increased  $S_{\text{acin}}$  may arise due to structural changes in the acinar  
252 region leading to acinar ventilation heterogeneity<sup>26</sup>. Such changes could be due to emphysema<sup>40</sup>.  
253 However, in our cohort, there is no difference in either %LAA or TLCO, both indicative of  
254 emphysema. This lack of difference between IE or FE subjects suggests that destruction of the lung  
255 parenchyma is not the sole reason for the increased acinar ventilation heterogeneity found in the FE  
256 phenotype. Verbanck *et al* has recently shown through simulation studies that reduction in the  
257 number of patent terminal bronchioles in COPD can increase acinar ventilation heterogeneity,  
258 however such analysis was not in the scope of our study<sup>30</sup>. Another cause for the increased  $S_{\text{acin}}$  may  
259 be uneven narrowing of respiratory bronchioles<sup>29,41</sup>, due to small airway lumen obstruction related  
260 to increased airway inflammation and/or mucus secretions. In addition, structural alterations as a  
261 result of either fibrosis/remodelling in the small airways may contribute to bronchiole narrowing<sup>42</sup>.  
262 Although,  $S_{\text{acin}}$  was higher in frequent exacerbators, it is not significantly associated with BAL  
263 neutrophil proportions although a positive trend was noted. One reason for this may be that the BAL  
264 sampled specific lobes and may not be reflective of the acinar ventilation heterogeneity throughout  
265 the lung. However, this data could also suggest that neutrophilic inflammation in the distal airways is  
266 a contributing factor, but not the only explanation for an increased acinar ventilation heterogeneity  
267 in frequent exacerbators.

268 In other diseases like Cystic Fibrosis (CF), measures of ventilation heterogeneity are  
269 predictors of pulmonary exacerbation and have been linked to changes in the microbiome of the  
270 airways<sup>43,44</sup>. Alterations in the microbiome of COPD frequent exacerbators have been described<sup>13</sup>  
271 and there is a possibility that such alterations may lead to increased airway wall inflammation and  
272 mucus exudate in the distal lung causing the increased  $S_{acin}$  in frequent compared to infrequent  
273 COPD exacerbators. In asthma, gas trapping, R5-R20 and  $S_{acin}$  are also associated with increased  
274 exacerbations<sup>45</sup>.

275 In contrast to the increased acinar ventilation heterogeneity observed in FE, there were no  
276 differences observed in gas trapping or FOT indices of small airways dysfunction between the IE and  
277 FE groups. Such discordance between MBNW and FOT has been previously described<sup>39,46</sup>. The  
278 R5-R19 may be thought of as more a measure of widespread/diffuse small airways constriction and  
279 may not reflect more localised small airways obstruction which can result in increased ventilation  
280 heterogeneity<sup>39</sup>. In addition, differences between the two techniques exist with FOT potentially  
281 being confounded by upper and larger airways shunts, an issue which does not affect MBNW<sup>22</sup>. The  
282 lack of standardisation in measuring SAD creates further complexity in the interpretation of such  
283 data and it is likely that such proposed markers of SAD measure a facet of a multifaceted  
284 dysfunction.

285 Our data found increased neutrophil proportions in the distal airways of frequent compared  
286 to infrequent exacerbators, confirming previous studies<sup>33</sup>. There is only one other study in COPD by  
287 Lapperre *et al*, which showed using physiological tests, such as single breath nitrogen washout, that  
288 markers of SAD were associated with neutrophilic inflammation in BAL<sup>47</sup>. Our data adds to the  
289 findings of the Lapperre study by using FOT, MBNW and HRCT markers of SAD to demonstrate the  
290 strong association between SAD by each of these measures and neutrophilic inflammation.  
291 Furthermore, it supports the study by Ostridge *et al*, who found associations between CT defined gas  
292 trapping (MLD E/I) and neutrophilic inflammatory markers (IL-8) and neutrophil-derived MMPs in  
293 BAL<sup>38,48</sup>. Although there was increased use of ICS in frequent compared to infrequent exacerbators,  
294 similar results and trends were noted when only subjects on ICS were analysed. This suggests ICS  
295 usage is unlikely to be a significant contributing factor to our findings and that SAD measures are  
296 associated with neutrophilic inflammation regardless of ICS use. However, the association between  
297 neutrophil proportions and small airways dysfunction in FE does not prove causation. Frequent  
298 exacerbations may cause small airway disease through increased inflammatory cell numbers and  
299 associated cytokines, leading to mucus production and airway thickening and occlusion<sup>3,8</sup>. Indeed, in  
300 our study, the sub-cluster of frequent exacerbators with excessive neutrophilic inflammation had  
301 significantly greater CT defined SAD than other frequent exacerbators. In addition, although not

302 statistically significant, these subjects also showed a trend towards increased small airways  
303 dysfunction as measured by FOT and plethysmography defined gas trapping. These data do not  
304 prove causation but may further support the role of neutrophilic inflammation in small airways  
305 disease, especially in frequent exacerbators. However, the sample size in this present study was  
306 small and such findings should be confirmed in a larger population. Conversely, it is possible that  
307 SAD predisposes subjects to frequent exacerbations because of associated hyperinflation and  
308 dyspnea, resulting in exacerbations being more easily triggered in these subjects<sup>8</sup>.

309 We recognise that the main limitation of this study was the small sample size and that, with  
310 more power, other significant differences between frequent and infrequent exacerbators, or  
311 associations between markers of SAD and inflammation, may have been noted. Despite this, we  
312 have shown that both physiological and HRCT markers of SAD have moderate to strong associations  
313 with BAL neutrophil proportions in frequent exacerbators. Multiple comparisons between the  
314 frequent and infrequent exacerbator groups have been made and the chance of a Type I error is  
315 acknowledged. We compared 6 markers of SAD between infrequent and frequent exacerbator  
316 groups and tested 6 associations between physiology and CT measures of SAD and BAL neutrophil  
317 proportions in the frequent exacerbator group. At the 5% level, < 1 variable would be expected to be  
318 significantly different between the two groups and < 1 significant association would be expected just  
319 by chance. However, we found  $S_{acin}$  to be different between groups and 4 significant associations  
320 between physiological and CT measures of SAD and BAL neutrophil proportions. This is more than  
321 would be expected by chance alone. Our study subjects had mild or moderate disease and were not  
322 current smokers. Therefore, our results may not be generalizable as they may not reflect more  
323 severe disease or findings in smoking populations. In addition, patient reported retrospective  
324 exacerbation data was used which may have recall bias but these exacerbation groupings were  
325 based on accepted guidelines<sup>1,7</sup>.

## 326 Interpretation

327 Our study integrates three key features; physiology, imaging and inflammometry, to highlight the  
328 importance of neutrophils in small airways disease in frequent COPD exacerbators. The strong  
329 associations between neutrophilic inflammation and increased heterogeneous small airways  
330 resistance and gas trapping suggest these measures may provide useful insights into disease  
331 mechanisms, especially in targeting treatment and identifying mechanisms of susceptibility to  
332 frequent exacerbations. Increased ventilation heterogeneity ( $S_{acin}$ ) may be a consequence of  
333 previous exacerbations or highlight a group of patients prone to exacerbations and results should be  
334 confirmed in a larger prospective study. This data both supports the hypothesis that COPD patients

335 with frequent exacerbations are more likely to suffer from concomitant small airway disease as a  
336 result of chronic inflammation and encourages the measurement of physiological markers of SAD in  
337 clinical practice to help gain insight into disease phenotypes.

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## 338 Acknowledgements

### 339 Guarantor statement

340 KD had full access to the data in the study and takes responsibility for the integrity of the data and  
341 the accuracy of the data analysis.

### 342 Author's contributions

343 KD, KO, KJS and TW contributed substantially to the study design and all authors contributed to the  
344 writing of the manuscript. KD, KO, KJS, AW, CMS, DC and TW collected or generated the data. All  
345 authors analysed or interpreted the data.

### 346 Financial/nonfinancial disclosures

347 KD, KJS, JC, TW, AW, CMS and DC report grants from Astrazeneca, during the conduct of the study.  
348 JC reports personal fees from Trudell Medical, outside the submitted work and TW reports personal  
349 fees and other from MyMHealth, grants from GSK, grants and personal fees from AstraZeneca,  
350 grants and personal fees from Synairgen, personal fees from BI, outside the submitted work. KO is a  
351 paid employee of Astrazeneca. Prof Thompson has nothing to disclose.

### 352 Role of the sponsors

353 The study was funded by AstraZeneca. AstraZeneca reviewed the publication, without influencing  
354 the opinions of the authors, to ensure medical and scientific accuracy, and the protection of  
355 intellectual property. The corresponding author had access to all data in the study, and had the final  
356 responsibility for the decision to submit the manuscript for publication.

### 357 Other Contributions

358 The authors thank all the study volunteers for their contribution towards furthering knowledge  
359 about chronic obstructive pulmonary disease. They also thank the nursing staff in the Southampton  
360 Centre for Biomedical Research. The authors thank VIDA for the image analysis which formed part of  
361 an academic collaboration.

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## 479 Tables

480 *Table 1: Demographics, lung function and CT emphysema scores in infrequent and frequent COPD*  
 481 *exacerbators*

	Infrequent (N = 22)	Frequent (N = 17)	P value
Age	69.1 [8.2]	69.7 [7.9]	.974
Gender (% Male)	77.3	76.5	.953
% of subjects using ICS	42.9	88.2	<b>.004</b>
Pack Years	48.0 [20.9]	41.0 [29.3]	.574
BMI	29.48 [5.35]	28.36 [4.21]	.486
FEV <sub>1</sub> %	73.8 [18.2]	67.2 [12.7]	.406
FEV <sub>1</sub> /FVC	56.1 [10.0]	54.1 [9.3]	.751
TLCO%	72.7 [13.7]	68.9 [19.4]	.509
Emphysema (%LAA)	13.08 (9.97)	10.53 (9.30)	.714

482 Values are given as mean values [SD] or median (IQR). For ICS, n = 21 for IFE, n = 17 for FE. For pack years and %LAA, n = 21 for IFE, n = 17  
 483 for FE, for TLCO% n = 19 for IFE and n = 16 for FE. Chi-square tests to test for gender differences and differences in proportions of IFE and  
 484 FE taking ICS. Either a t-test or Mann–Whitney U test for all other variables, as appropriate. \*P < .05

485

486 *Table 2: Markers of SAD in infrequent and frequent COPD exacerbators*

	Infrequent (N = 22)	Frequent (N = 17)	P value
R5-R19	0.95 [0.61]	1.15 [1.05]	.687
AX	12.09 (13.91)	8.95 (29.1)	.869
S <sub>cond</sub>	0.022 (0.036)	0.024 (0.034)	.927
S <sub>acin</sub>	0.246 (0.209)	0.459 (0.320)	<b>.027</b>
RV/TLC	42.1 [7.4]	42.9 [9.9]	.956
MLD E/I	0.86 [0.05]	0.85 [0.06]	.783

487 Values are given as mean [SD] or median (IQR). For R5-R19 and AX, n = 18 for IFE, n = 17 for FE. For S<sub>acin</sub>, n = 14 for IFE and for FE. For  
 488 RV/TLC, n = 17 for IFE and for FE. For MLD E/I and %LAA, n = 21 for IFE, n = 17 for FE. Either a t-test or Mann–Whitney U test for all  
 489 variables

490

491 *Table 3: Correlation analysis between markers of SAD and BAL neutrophil proportions in all COPD*  
 492 *subjects*

<b>Index</b>	<b>BAL Neutrophil %</b>	<b>P value</b>
<b>R5-R19</b>	0.388	<b>.038</b>
<b>AX</b>	0.167	.387
<b>S<sub>cond</sub></b>	0.134	.541
<b>S<sub>acin</sub></b>	0.356	.095
<b>RV/TLC</b>	0.488	<b>.010</b>
<b>MLD E/I</b>	0.279	.135

493 For R5-R19, RV/TLC and MLD E/I, Pearson's r values reported. For AX and S<sub>acin</sub>, Spearman's rho reported. n = 29 for R5-R19 and AX, n = 23  
 494 for S<sub>acin</sub>, n = 27 for RV/TLC, n = 30 for MLD E/I.

495

## 496 Figure Legends

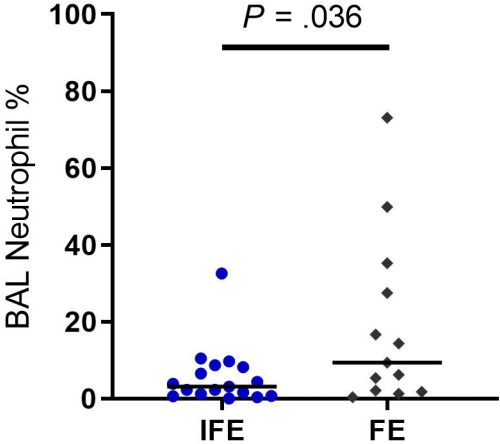
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498 *Figure 1: Bronchoalveolar lavage (BAL) neutrophil proportions in infrequent (IE) and frequent (FE)*  
499 *COPD exacerbators. Data represents median. Each dot represents the average neutrophil percentage*  
500 *for an individual patient, N = 17 (IFE), N = 13 (FE). Statistical analysis by Mann Whitney U test.*

501 *Figure 2: Scatterplots of COPD FE subjects showing indices of SAD vs BAL neutrophil proportions (A)*  
502 *R5-R19, (B) AX, (C) MLD E/I, (D) RV/TLC . All (Pearson's  $r$  reported) except Spearman's  $\rho$  reported for*  
503 *AX. N = 13.*

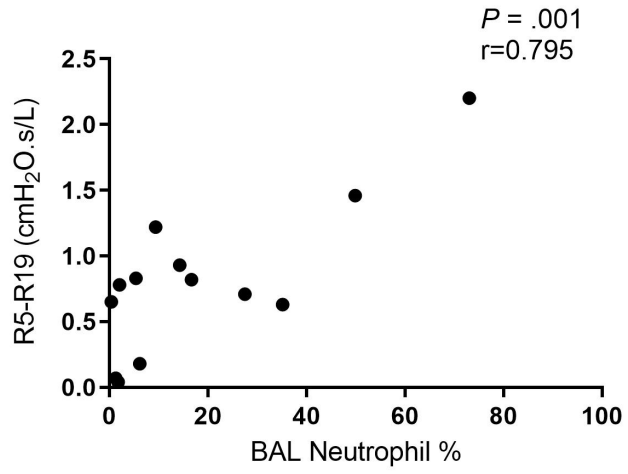
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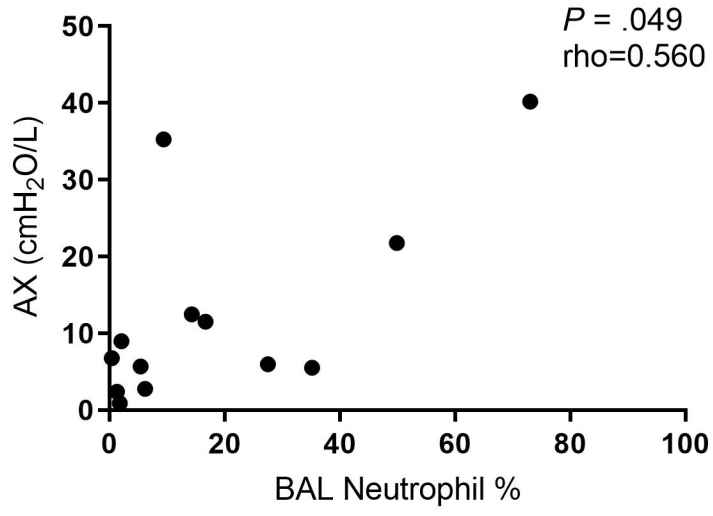


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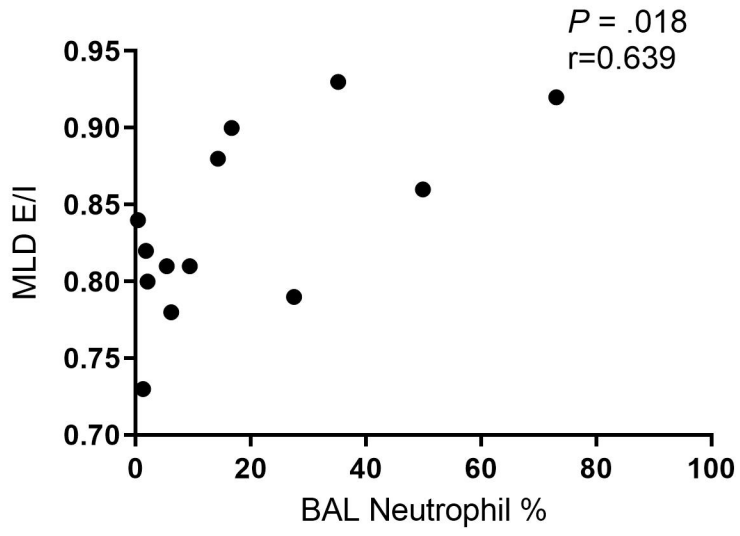




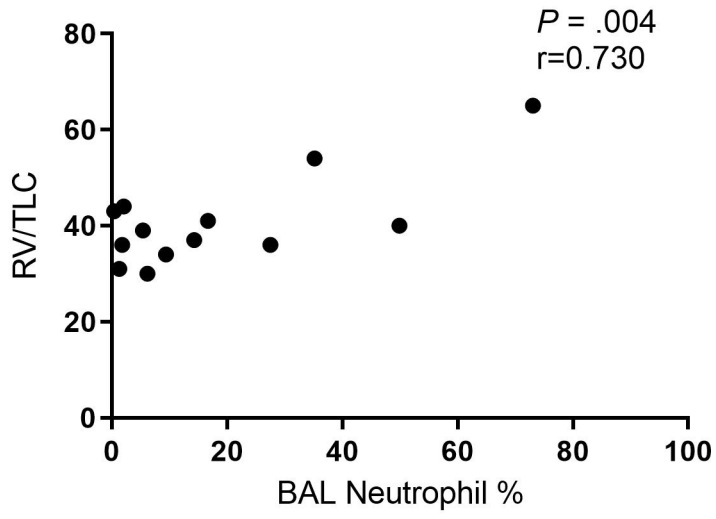
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