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**WASH OUT KINETICS AND EFFICACY OF A MODIFIED LAVAGE  
TECHNIQUE FOR PULMONARY ALVEOLAR PROTEINOSIS**

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## **CONTENTS:**

<b>1. INTRODUCTION.....</b>	<b>7</b>
1.1. Definition of Pulmonary alveolar proteinosis.....	7
1.2. Epidemiology.....	7
1.3. Pathology.....	8
1.4 Classification and pathogenesis.....	9
1.5. Clinical presentation.....	15
1.6. Diagnosis and differential diagnosis.....	16
1.7. Clinical course and treatment .....	19
1.8. Outcome and prognosis.....	21
1.9. Aim of the study.....	22
<b>2. METHODS.....</b>	<b>23</b>
2.1. Study population.....	23
2.2. Whole lung lavage techniques.....	23
2.2.1 Classical whole lung lavage technique.....	25
2.2.2. Modified whole lung lavage technique.....	27
2.3. Laboratory measurements.....	29
2.3.1 GM-CSF autoantibody in serum.....	29
2.3.2. Biomarkers in serum and BAL.....	29
2.3.3. Rapid turbidity assessment.....	29
2.3.4. Protein concentration.....	29
2.4. Statistical analysis.....	30

<b>3. RESULTS.....</b>	<b>31</b>
3.1. Kinetics of the wash out process.....	31
3.1.1. Protein concentration.....	32
3.1.2. Protein amount.....	32
3.1.3. Other results.....	33
3.2. Comparison of the whole lung lavage techniques.....	34
<b>4. DISCUSSION.....</b>	<b>39</b>
<b>5. SUMMARY.....</b>	<b>43</b>
<b>6. REFERENCES.....</b>	<b>44</b>
<b>7. APPENDIX.....</b>	<b>60</b>
7.1 Tables.....	60
7.2 Figures.....	60
<b>8. ABBREVIATIONS.....</b>	<b>61</b>
<b>9. ACKNOWLEDGMENTS.....</b>	<b>62</b>
<b>10. CURRICULUM VITAE.....</b>	<b>63</b>
<b>11. PUBLICATIONS.....</b>	<b>64</b>

## **1. INTRODUCTION**

### **1.1. Definition of Pulmonary alveolar proteinosis**

Pulmonary alveolar proteinosis (PAP), first described in 1958 by Rosen and Castelman (Rosen et al., 1958), is a rare diffuse parenchymal lung disease characterised by abundant accumulation of surfactant-derived phospholipids and protein components within the alveoli and the distal airways. This leads to a progressive impairment of gas exchange and respiratory insufficiency. PAP has been reported in the medical literature under various terms: alveolar proteinosis, alveolar lipoproteinosis, alveolar phospholipidosis, pulmonary alveolar lipoproteinosis, and pulmonary alveolar phospholipoproteinosis. PAP is best viewed as a syndrome composed of a heterogeneous group of disorders (Huizar and Kavuru, 2009).

### **1.2. Epidemiology**

The true prevalence of PAP is unknown, with current understanding based on about 900 reported cases (Inoue et al., 2008; Seymour and Presneill, 2002; Xu et al., 2009). Through a national registry in Japan the prevalence of human alveolar proteinosis has been estimated to be 6.2 per 1.000.000. The median age at onset is 51 years in the Japanese cohort (Inoue et al., 2008), 10 years older than previously reported (Seymour and Presneill, 2002; Xu et al., 2009). A few cases have been reported in infants and children. The reported male to female

ratio varies from 2:1 (Inoue et al., 2008; Xu et al., 2009) to 3:1 (Seymour and Presneill, 2002), and smokers are predominantly affected (reported rate: 56-80%) (Inoue et al., 2008; Seymour and Presneill, 2002). Secondary PAP is much rarer than the primary PAP, which comprises 90 % of all reported cases (Carey and Trapnell, 2010; Huizar and Kavuru, 2009; Ishii et al., 2011).

### **1.3. Pathology**

PAP is a prototypical example of an alveolar filling process. Macroscopically the lung shows yellow-tan color and filled alveolar spaces (Travis et al., 2002.). On histopathology, the alveolar spaces are filled with a characteristic eosinophilic acellular, finely granular material that stains with periodic acid-Schiff (PAS) stain and is diastase-negative (Costabel et al., 2007; Travis et al., 2002.). Usually the lung is diffusely affected, but in some cases a patchy involvement is found. Typically there is little inflammation or interstitial fibrosis. Hyperplastic or detached Type II pneumocytes, foamy macrophages, cholesterol clefts and ghost cells can be found (Rosen et al., 1958; Travis et al., 2002.). The alveolar filling material stains with antibodies to surfactant apoprotein.

On electron microscopy, the abnormal material consists predominantly of unusual tubular, myelin-like, multilamellated structures, which are similar to the tubular myelin found in normal lungs but without the intersecting membranes of normal tubular myelin. Structures that relate to cell debris are also present. Lamellar bodies of normal lungs are only minor components (Carey and Trapnell,

2010; Costabel and Guzman, 2005; Seymour and Presneill, 2002). Biochemical analysis of the material, mainly obtained from bronchoalveolar lavage (BAL) fluid, demonstrated that total phospholipids are increased, with a relative decrease in phosphatidylcholine and phosphatidylglycerol, and a relative increase in sphingomyelin and phosphatidylinositol. The proteins are mainly of molecular weights between 30,000 and 62,000, typical of glycoproteins and Immunoglobulins (IgA and IgG) (Onodera et al., 1983). Surfactant proteins (SP) A, B and D are increased. The relative abundance of SP- A isoforms varies markedly from patient to patient and is different from normals (Carey and Trapnell, 2010; Honda et al., 1995; Seymour and Presneill, 2002).

#### **1.4 Classification and pathogenesis**

Recently a new PAP classification has emerged based on the important progress in our understanding of the pathogenesis (**table 1**).

Primary PAP disorders are caused by impaired Granulocyte macrophage colony-stimulating factor (GM-CSF) signaling. GM-CSF plays a critical role in the regulation of surfactant homeostasis, alveolar macrophage maturation and function, lung host defense, and innate immunity (Carey and Trapnell, 2010).

Autoimmune PAP is characterized by the loss of GM-CSF signaling due to the presence of neutralizing anti GM-CSF antibodies (Carey and Trapnell, 2010; Costabel and Guzman, 2005; Kitamura et al., 1999). GM-CSF is essential for normal surfactant turnover by activating the alveolar macrophages and increasing

**Table 1** PAP classification according to the pathogenesis

Clinical type	Pathogenesis
<b>Primary PAP</b> Autoimmune Hereditary	<b>Impaired GM-CSF signaling:</b> GM-CSF autoantibody GM-CSF receptor α/β chain mutations
<b>Secondary PAP</b> Inhalation exposure	<b>Reduction in number and function of alveolar macrophages</b> Inorganic dust: Aluminum Cement Silica Titanium Indium Tin  Organic dust: Sawdust Fertilizer/agricultural dust Bakery flour  Fumes: Synthetic plastic Gasoline  Others: Varnish Chlorine Petroleum Cleaning products
Infections	Cytomegalovirus <i>Mycobacterium tuberculosis</i> Nocardiosis <i>Pneumocystis jiroveci</i> HIV
Hematologic disorders	Myelodysplastic syndrome Acute lymphatic leukemia Acute myeloid leukemia Chronic myeloid leukemia Hairy cell leukemia Hodgkin's disease Non-Hodgkin's lymphoma Multiple myeloma Essential thrombocythemia Polycythemia vera Amyloidosis Fanconi's anemia Adenocarcinoma Glioblastoma Melanoma
Other malignancies	
Immunologic diseases	Monoclonal gammopathy Selective IgA deficiency Severe combined immunodeficiency
Miscellaneous	Membranous nephropathy Dermatomyositis Lung transplantation Lysinuric protein intolerance
<b>PAP-like diseases</b> SP-B and SP-C mutations ABCA3 mutations	<b>Impaired surfactant production</b> SP-B and SP-C deficiency Abnormal surfactant

the alveolar macrophages and increasing their rate of surfactant clearance (Trapnell and Whitsett, 2002). In-vivo and in-vitro data showed that GM-CSF binding to specific receptors on alveolar macrophages stimulates the terminal differentiation of the macrophages through the nuclear transcription factor PU.1 (Bonfield et al., 2003). This GM-CSF signaling is the critical process for the catabolism of surfactant by alveolar macrophages. It is likely that the anti-GM-CSF antibody is pathogenic in the development of the disease through its ability to inhibit the activity of endogenous GM-CSF, leading to a state of functional GM-CSF deficiency (Trapnell and Whitsett, 2002). The summary of current evidence suggests that adult idiopathic PAP is an autoimmune disease caused by decreased availability of functional GM-CSF due to CM-CSF blocking activity of a neutralizing autoantibody (Carey and Trapnell, 2010; Costabel and Guzman, 2005; Kitamura et al., 1999).

Heredity PAP occurs in children and is caused by mutations in genes encoding for the GM-CSF receptor (Carey and Trapnell, 2010; Suzuki et al., 2010). The GM-CSF receptor  $\beta$  chain plays a critical role in surfactant homeostasis in humans (Carey and Trapnell, 2010). Hereditary PAP associated with absence of GM-CSF receptor  $\beta$  chains on blood leukocytes was reported in infants presenting with respiratory failure (Dirksen et al., 1997). A point mutation within CSF2RB encoding the GM-CSF receptor  $\beta$  chain has been sporadically detected in children with PAP (Suzuki et al., 2011). Hereditary PAP caused by

abnormalities or absence of the GMCSF receptor  $\alpha$  chain has also been reported (Suzuki et al., 2008; Suzuki et al., 2010).

Secondary PAP may develop in association with inhalation of dusts and fumes, with infections such as nocardiosis, histoplasmosis, mycobacteriosis and pneumocystosis, with malignancies, particularly lymphoma and leukemia, and finally in association with immunodeficiency (table 1).

The pathogenesis of secondary PAP is poorly understood. The associated diseases presumably cause the syndrome by reducing either the number or certain functions of alveolar macrophages, thereby impairing alveolar-macrophage mediated surfactant clearance. Another pathogenetic hypothesis is based on an acquired loss of GM-CSF signaling. In children with acute myeloid leukemia and PAP, the loss of GM-CSF stimulation of alveolar macrophage-mediated surfactant clearance was due to defective expression of the GM-CSF receptor (Dirksen et al., 1998).

Hematological disorders constitute 90% of all secondary PAP causes (Ishii et al., 2011). Among these, myelodysplastic syndrome (MDS) is the most frequent accounting for 65% of secondary PAP (Ishii et al., 2011). In one patient with acute lymphoid leukemia, PAP occurred after marked decrease of myeloid cell numbers during the neutropenic stage of consolidation chemotherapy (Pamuk et al., 2003). This suggests that the reduction of the number of alveolar macrophages affects the capacity of removing surfactant from the lungs. In support of this, a recent

study reported that depletion of alveolar macrophage numbers increased pulmonary surfactant levels in rats (Forbes et al., 2007). PAP also develops in mice with severe combined immunodeficiency (Jennings et al., 1995).

With respect to dust and fume exposure, PAP developed in rats exposed to inhaled silica although the mechanism was not determined (Heppleston et al., 1970). Patients with secondary PAP have been considered autoantibody-negative, primarily based on studies of the large cohort of Japanese patients (Inoue et al., 2008). However, the secondary cases in the Japanese cohort which were all tested negative for the autoantibody have been limited to those with hematologic or autoimmune comorbidity. A recent report by Cummings et al (Cummings et al., 2010) about the occurrence of autoimmune alveolar proteinosis in indium workers supports the hypothesis that an inhaled agent may be the trigger for the development of autoimmune PAP. The mechanism by which dust exposure may induce GM-CSF antibody formation needs further investigation. Therefore it is essential to obtain a detailed occupational and environmental history in every patient newly diagnosed with PAP.

With regard to other forms of secondary PAP, lysinuric protein intolerance is a very rare disease caused by mutations in the SLC7A7 gene, mainly occurring in Finnish children (Torrents et al., 1999). PAP and interstitial lung disease represent the major cause of an unfavorable clinical course and fatal outcome (Ceruti et al., 2007).

The prognosis of secondary PAP is worse than that of autoimmune PAP (Huizar and Kavuru, 2009; Ishii et al., 2011). Ishii et al observed a median survival time of only 20 months (Ishii et al., 2011). In our cohort of 70 patients we registered a death rate of 50 % in patients with secondary PAP most of them secondary to hematological disorders (Bonella et al., 2011).

PAP-like conditions are due to impaired surfactant production. Such disorders include recessive mutations in the genes encoding for SP-B (Griese et al., 2005; Nogee et al., 1994; Tredano et al., 1999), SP-C (Griese et al., 2005; Stevens et al., 2005; Tredano et al., 2004) or ABCA3 (Saugstad et al., 2007; Weichert et al., 2011).

SP-B deficiency caused by SP-B mutations presents as unexplained acute respiratory failure in full-term neonates. Since SP-B is required for processing of pro-SP-C, mature SP-C is also reduced, thus impairing alveolar surface tension (Carey and Trapnell, 2010). This condition is incompatible with life.

Spontaneous and hereditary mutations in the gene encoding for SP-C result in a poorly defined interstitial lung disease in children and adults that can cause respiratory failure and death (Brasch et al., 2004; Griese et al., 2005; Stevens et al., 2005; Tredano et al., 2004). This disease results in gross distortion of lung structure due to widening of alveolar walls and extensive fibrosis (Carey and Trapnell, 2010).

ABCA3 is an integral membrane lipid transporter located on the limiting membrane of lamellar vesicles in alveolar type 2 cells. Alterations in the gene encoding ABCA3 result in various clinical presentations ranging from respiratory failure and death in neonates to interstitial lung disease in adolescents (Carey and Trapnell, 2010; Saugstad et al., 2007; Weichert et al., 2011).

### **1.5. Clinical presentation**

The majority of patients (70-90%) suffers from slowly increasing dyspnea on exertion and cough (Inoue et al., 2008; Prakash UB, 1987; Shah et al., 2000). Less frequently (30-50%) fever, weight loss, fatigue and chest pain are seen.

The physical examination is typically unremarkable but may reveal inspiratory crackles and clubbing (15-20%). Cyanosis or evidence of cor pulmonale is rare (<5%) (Hazouard E, 2000; Inoue et al., 2008; Prakash UB, 1987; Seymour and Presneill, 2002; Shah et al., 2000).

Recently a Disease Severity Score, based on the presence of symptoms and degree of reduction in PaO<sub>2</sub>, has been proposed to stratify the patients, from least severe (DSS-1) to most severe (DSS-5) (Inoue et al., 2006; Inoue et al., 2008). Its utility needs to be further investigated.

### **1.6. Diagnosis and differential diagnosis**

The diagnosis can usually be established by BAL (Costabel et al., 2007; Inoue et al., 2008; Seymour and Presneill, 2002). In our centre which has a large

experience with BAL, the diagnosis was made by BAL in 74 % of our cohort of 70 patients with acquired PAP (Bonella et al., 2011). On gross examination, the BAL fluid has a characteristic milky appearance. On light microscopy, the striking features are: acellular globules (basophilic on May-Grünwald-Giemsa and positive with PAS staining), few and foamy macrophages, and large amounts of cell debris showing weak PAS staining.

Electron microscopy is not usually required to establish the diagnosis but if performed the BAL sediment shows characteristic myelin-like multilamellated structures, debris and foamy macrophages.

With regards to the radiology, chest radiograph is not pathognomonic. Typical are diffuse bilateral symmetrical alveolar infiltrates with air bronchograms. The shadowing may be cloudy and butterfly -or batwing- like, as a result of the more prominent involvement of the perihilar regions. Less commonly, unilateral infiltrates or a reticulonodular pattern may be seen. Lymphadenopathy and pleural lesions are rare (Goldstein et al., 1998; Lee et al., 1997).

The HRCT shows airspace filling in variable and patchy distribution. The distinctive features are ground-glass opacities (GGO) sharply demarcated from normal lung, creating a 'geographical' pattern, GGO with intralobular lines and interlobular septal thickening, often in polygonal shapes, called 'crazy paving', and areas of consolidation with air bronchograms, surrounded by GGO. Ishii et al recently compared HRCT scan findings between autoimmune PAP and secondary PAP (Ishii et al., 2009). Although the major HRCT scan finding was GGO in both

in patients with autoimmune and secondary PAP, the appearance of the GGO was distinctive: a patchy geographic pattern of crazy paving with lower lung field predominance was typical for autoimmune PAP (71%), whereas a diffuse pattern with even distribution was more common in secondary PAP (62%). Some cases showed overlapping features (Ishii et al., 2009).

With regards to the laboratory tests, although GM-CSF autoantibodies can be detected in healthy individuals, they appear at very low levels (<3 mcg/ml) (Uchida et al., 2009). Serological diagnosis of primary PAP by demonstration of autoantibodies against GM-CSF has an excellent sensitivity and specificity for the autoimmune variant of primary PAP. Interestingly, some studies have identified GM-CSF neutralizing antibodies in patients with malignancies (Sergeeva et al., 2008), inflammatory conditions (Han et al., 2009), or secondary alveolar proteinosis due to dust exposure (Cummings et al., 2010). The prognostic value of GM-CSF antibodies needs to be further investigated.

Serum lactate dehydrogenase (LDH) is increased in 82 % of patients (Seymour and Presneill, 2002), but is nonspecific for PAP. LDH has been found to reflect the dynamic changes in disease severity during treatment after therapeutic lavage or spontaneous resolution (Seymour et al., 2003; Seymour and Presneill, 2002).

Elevation of serum and BAL tumor biomarkers such as carcinoembryonic antigen (CEA) may also reflect the severity of disease (Hirakata et al., 1995). Serum levels of SP-A and SP-D can be increased but this is also not specific for

the disease, since high levels have also been reported in patients with idiopathic pulmonary fibrosis (Honda et al., 1995). SP-A has been found to correlate with the severity of disease (Seymour et al., 2003).

At present, the most promising diagnostic and prognostic biomarker for PAP is KL-6, a mucin-like glycoprotein. Serum and BAL levels are extremely high in PAP, higher than in patients with other interstitial lung disease (Nakajima et al., 1998), independently from the nature of PAP. Recently, Inoue et al (Inoue et al., 2008) reported a good correlation of KL-6 with the disease severity score in 284 patients with autoimmune PAP (Inoue et al., 2008). Serum levels of KL-6, SP-D, SP-A, and CEA are elevated to a similar degree in autoimmune and secondary PAP (Inoue et al., 2008; Ishii et al., 2011).

Taken together, the diagnosis of PAP should be suspected in a patient with slowly developing dyspnea, a 'butterfly' pattern of acinar shadowing on the chest radiograph and characteristic findings on HRCT (crazy paving) pattern. The introduction of a simple blood test for measuring GM-CSF autoantibody levels facilitates the diagnosis of autoimmune PAP (Bonfield, Russell, et al., 2002; Kitamura et al., 1999; Kitamura et al., 2000; Uchida et al., 2009; Uchida et al., 2004). The test has a reported sensitivity and specificity for autoimmune PAP close to 100% (Presneill et al., 2004). Other blood tests like LDH, CEA, SP-A, SP-D or KL-6 are not yet validated for diagnostic purposes. Bronchoscopy with BAL, cytological analysis and transbronchial biopsy should be performed early in most patients, and special stains and cultures should be performed to rule out

infection by common and opportunistic microbial pathogens (Costabel et al., 2007). The diagnosis is usually confirmed by the characteristic BAL findings.

### **1.7. Clinical course and treatment**

Spontaneous remission is rare in PAP, occurring in only 5-10 % of patients (Bonella et al., 2011; Inoue et al., 2008; Seymour and Presneill, 2002). Treatment is indicated when respiratory symptoms impair the quality of life or when lung function deteriorates, but established criteria do not exist.

The treatment of choice is whole lung lavage (WLL), which is almost always effective (Huizar and Kavuru, 2009; Luisetti et al., 2010) but is adopted as an institutional procedure in only a limited number of specialized clinical centers. WLL is not standardized and no prospective clinical trials have been performed. Since its introduction in the 1960s by Ramirez et al (Ramirez et al., 1963), the technique has been improved through the application of manual or mechanical chest percussion (Hammon et al., 1993), also in combination with postural changes (Perez and Rogers, 2004). Clinically significant improvement in radiologic appearance,  $\text{PaO}_2$ , lung volumes and DLCO is seen in 84 % of patients following the first therapeutic lavage (Seymour and Presneill, 2002). In secondary PAP, WLL, although feasible, usually provides only transient benefit (Luisetti et al., 2010). Recently WLL has been reported as ineffective in a patient exposed to indium being GM-CSF antibody negative (Cummings et al., 2010). However, at

least one case of long-lasting remission following WLL has been described in PAP associated with lysinuric protein intolerance (Ceruti et al., 2007).

The treatment with exogenous GM-CSF has still to be considered experimental. Two prospective, open-label, uncontrolled trials (Seymour et al., 2001; Venkateshiah et al., 2006) and several anecdotal reports have shown that daily subcutaneous administration of recombinant human GM-CSF is effective in about 50 % of patients with autoimmune PAP. The administration of aerosolized GM-CSF seems to be more effective, as shown in a retrospective case series (Wylam et al., 2006), and recently in a controlled prospective trial of 50 patients with a response rate of 62% (Tazawa et al., 2010). It is unclear, whether the pre-treatment blood levels of GM-CSF antibodies are able to predict a response to such treatment since two groups reported conflicting data (Bonfield, Kavuru, et al., 2002; Seymour et al., 2003; Venkateshiah et al., 2006).

A combined therapy with WLL and plasmapheresis is able to reduce the titer of GM-CSF antibodies (Kavuru et al., 2003; Luisetti et al., 2009), but the data on clinical efficacy are controversial (Kavuru et al., 2003; Luisetti et al., 2009).

B-lymphocyte depletion is an interesting option for autoimmune PAP. Rituximab is a humanized monoclonal antibody that by binding CD20 selectively decreases the B-cell pool. Rituximab has been administered in one PAP patient at the dose of 1 g i.v. on days 1 and 15 (Borie et al., 2009). A long-lasting depletion of B Lymphocytes was achieved; titer and activity of neutralizing GM-CSF antibodies were markedly decreased. The clinical picture and gas exchange

parameters were also improved. A prospective, nonrandomized, open-label trial of rituximab in 10 patients with primary PAP showed that this drug was well-tolerated and effectively ameliorated lung disease; a reduction in anti-GM-CSF IgG levels in the lung correlated with disease changes, suggesting that disease pathogenesis is related to autoantibody levels in the target organ (Kavuru et al., 2011; Malur et al., 2012).

### **1.8. Outcome and prognosis**

Prognosis of PAP has improved considerably with introduction of whole lung lavage. Seymour and Presneill (Seymour and Presneill, 2002) reported a significantly ( $p<0.04$ ) greater survival rate in 146 of 231 PAP patients who underwent WLL than in the 85 who did not (94±2% versus 85±5%, respectively). The median number of lavages was two, with a median interval of 15 months between the two procedures, and disease recurrence was observed in 80% of PAP patients within 3 years of the procedure. In our series 52% of patients achieved remission after 1 WLL (Bonella et al., 2011), similarly to the 55% reported by Luisetti et al (Luisetti et al., 2010).

Comparing the demographic and disease-related features of patients who did or did not respond to therapeutic lavage, there are no differences in gender, region of origin, duration of symptoms, smoking status, and time from diagnosis to lavage (Seymour and Presneill, 2002). In our series of 70 patients, nonsmokers needed an average number of 2.4 lavages per patient, exsmokers an average

number of 3.8, and smokers required 5 lavages per patient to achieve long lasting remission (Bonella et al., 2011).

PAP may be complicated by infections such as nocardiosis, cryptococcosis, mucormycosis and others. In the era of therapeutic lavage these complications are rare. There have been single reports of progressive interstitial pulmonary fibrosis developing in patients previously affected by alveolar proteinosis. Lung transplantation may be an option for these patients, although recurrence of disease has been reported in one patient 3 years after double-lung transplantation (Parker and Novotny, 1997).

The data about the clinical course of secondary PAP are poor. In our centre we noted a marked difference in the incidence of PAP related death between primary PAP and secondary PAP (8 % vs 50 %) (Bonella et al., 2011). For secondary PAP associated with hematologic malignancy, the prognosis is linked to the underlying disease and is generally worse than in autoimmune PAP (Huizar and Kavuru, 2009; Ishii et al., 2011). For PAP associated with exposure, data on prognosis and treatment are scarce.

### **1.9. Aim of the study**

This study aimed to provide data about kinetics of the protein wash out during WLL, to identify factors influencing the protein concentration in the recovered fluid, and to assess the efficacy of a modified lavage technique (MLT) in comparison to the classical lavage technique (CLT)

## **2. METHODS**

### **2.1. Study population**

This study was conducted at the Ruhrlandklinik, a referral centre for the diagnosis and therapy of PAP in Germany. The characteristics of the 42 PAP patients (14 male, 28 female) are summarized in the table 2. The study was approved by the Ethic Committee of the University of Duisburg-Essen (approval number 06-3170 and 10-4397 for the subjects included in the project EuPAPNet). Informed consent was obtained from the patients.

### **2.2. Whole lung lavage techniques**

110 WLLs were performed in 33 patients according to the classical technique described by Ramirez et al (Ramirez, 1966; Ramirez et al., 1963). 70 WLLs in 9 patients were performed with a modification reported by Bingisser et al (Bingisser et al., 1998) (**table 3**). Most of the patients received consecutive WLLs during the course of their disease. WLL with both techniques were performed using the same materials (tube, instilled solution) and following the same anesthesiological protocol (drugs and monitoring procedures). For one complete WLL procedure, both lungs were lavaged separately on two different days. The mean interval was  $10\pm3$  days.

**Table 2** Demographics and features of the cohort.

<b>Characteristics</b>	<b>N=42</b>
<b>Smoking habits at first lavage</b>	
-never	5
-ex	20
-current	17
<b>Previous dust/fume exposure*</b>	23
<b>Pulmonary function at diagnosis</b>	
FEV1, %pred. (n=42)	73 ± 15**
FVC, % pred. (n=42)	75 ± 15**
TLC, % pred. (n=38)	77 ± 16**
DLCO, % pred. (n=38)	45 ± 17**
<b>Blood gas analysis at diagnosis</b>	
PaO <sub>2</sub> , mmHg (n=39)	66 ± 15**
PaCO <sub>2</sub> , mmHg (n=39)	35 ± 4**
(A-a)DO <sub>2</sub> , mmHg (n=39)	36 ± 15**
<b>DSS grade at first lavage</b>	
DSS 1 (no symptoms and PaO <sub>2</sub> ≥ 70 mmHg)	0
DSS 2 (symptomatic and PaO <sub>2</sub> ≥70 mmHg)	14
DSS 3 (60mmHg ≤ PaO <sub>2</sub> < 70 mmHg)	10
DSS 4 (50mmHg ≤ PaO <sub>2</sub> < 60 mmHg)	9
DSS 5 (PaO <sub>2</sub> < 50 mmHg)	6
<b>Serum biomarkers†</b>	
GM-CSF Ab, mcg/mL (n=18)	52 ± 16 (28-86)***
LDH, U/L (n=40)	360 ± 171 (126-894)***
CEA, ng/mL (n=32)	14 ± 10 (2-27)***
KL-6, U/mL (n=22)	2978 ± 2488 (830-6950)***

N= number of patients.

DSS= disease severity score (Inoue et al., 2008).

\*Aluminum dust, bakery flour dust, cement dust, cleaning products, gasoline fumes, paint, petroleum, saw dust, silica (glass grinding), synthetic plastic fumes, varnish.

\*\* Data are mean ± SD

\*\*\*Data are mean ± SD (range)

† Reference values for serum biomarkers are indicated in the methods.

**Table 3** Allocation of the patients and patients' features according to WLL technique.

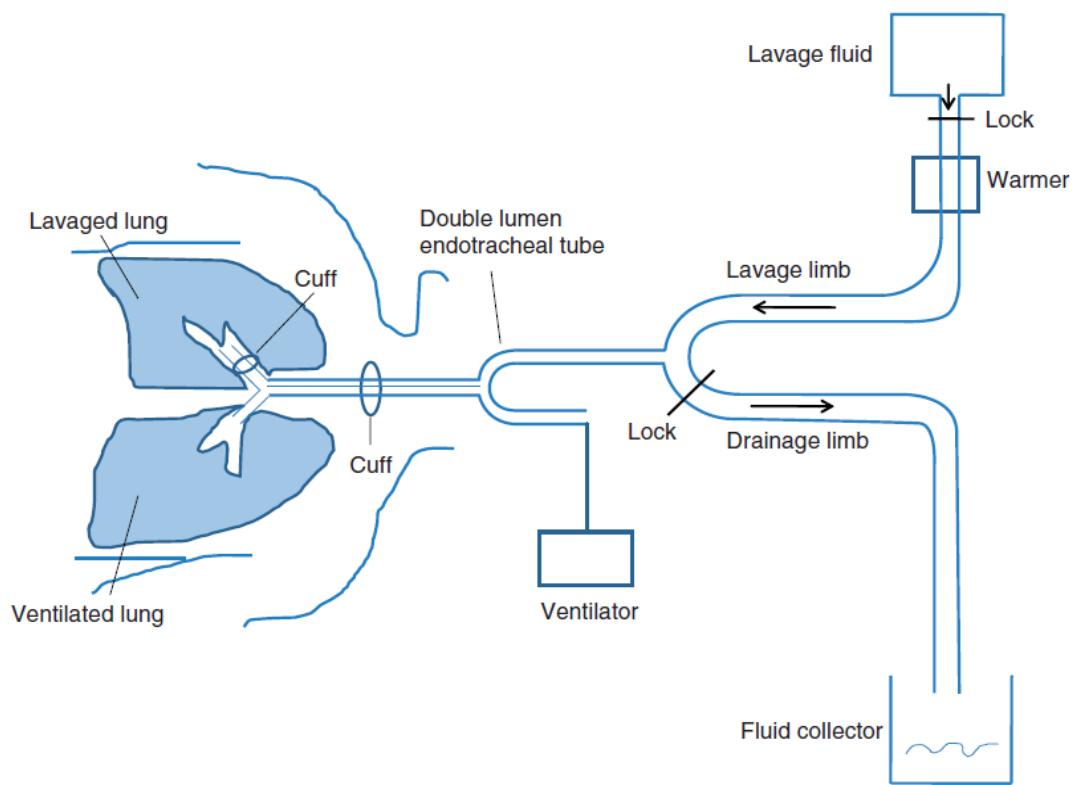
	CLT	MLT	p
<b>Patients (n)</b>	33	9	
<b>Gender (M/F)</b>	23/10	5/4	ns
<b>Age, years (mean ± SD)</b>	44 ± 11	43 ± 9	ns
<b>BMI, kg/m<sup>2</sup> (mean ± SD)</b>	25 ± 4	25 ± 5	ns
<b>Current smokers (n)</b>	14	3	ns
<b>Previous dust/fumes exposure (n)</b>	20	3	ns
<b>TLC, % pred (mean ± SD)</b>	77± 10	77± 27	ns
<b>DLCO, % pred (mean ± SD)</b>	48 ± 20	41 ± 10	ns
<b>PaO<sub>2</sub>, mmHg (mean ± SD)</b>	65 ± 15	69 ± 18	ns
<b>Time from diagnosis to first WLL, days (mean) (range)</b>	530 (5-3691)	261 (5-876)	ns
<b>Lavaged lung (right/left)</b>	55/55	33/37	

CLT=classical lavage technique; MLT=modified lavage technique; ns=not significant

### 2.2.1 Classical whole lung lavage technique

The procedure is illustrated in the **figure 1**. The patient underwent double-lumen intubation. Ventilation with 100% oxygen using a volume-controlled ventilator (Servo; Siemens; Danvers, Mass) was started. An indwelling arterial catheter was placed. The tube was tested for leaks by single-lung ventilation. A flexible fiberoptic bronchoscope was used to ascertain proper tube position initially and during the procedure. The lung to be washed was clamped for 5 min to allow oxygen absorption. Saline solution at body temperature was instilled into the non-ventilated lung with a tidal washing volume of 1000 ± 200 mL during each cycle. After recovering the opaque fluid over a closed silicone tube system, the next washing cycle was begun. The optical density (OD) was measured in each

recovered tidal volume to monitor the progress of the lavage procedure (Paschen et al., 2005). The recovery rate of each cycle was accurately documented. The lavage cycles were continued until the optical density reached the target value of < 0.4 OD, or until a plateau was reached. In general, 30 to 60 L were needed to achieve this.

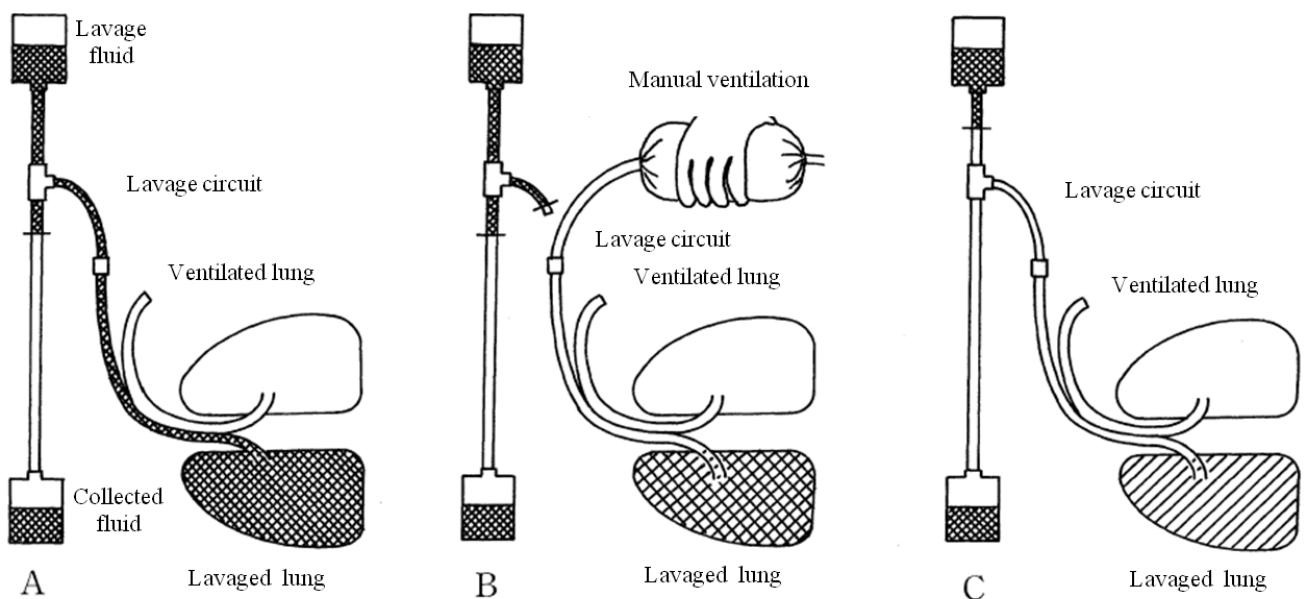


**Figure 1.** Classical whole lung lavage technique. For the description see the text.

Modified from Luisetti et al, 2010 (Luisetti et al., 2010).

### **2.2.2 Modified whole lung lavage technique**

The intubation procedure and the infusion-recovery cycle at the beginning of the lavage procedure were the same as for the CLT. When the target value of < 0.4 OD was reached with the classical procedure, controlled manual ventilation was applied during one infusion-recovery cycle as follows (see **figure 2**): at first 500 ml of saline solution were instilled, and then the ventilation was started. A tidal volume of 300 ml of room air was delivered by the bag 5 times consecutively, without fluctuations. After having recovered the first 500 ml of instilled saline solution, the rest of the fluid (500 ml) of this cycle was instilled to remove the foam in the lavaged lung and airways and recovered, and the next cycle was started. Subsequently, the lavage was continued until the target value 0.4 OD was reached for the second time.



**Figure 2** Modified whole lung lavage technique. A) The procedure begins according to the classical technique. B) When the target value of turbidity (< 0.4 OD) has been reached, 500 ml saline are instilled, the manual ventilation will be applied 5 times, and the fluid will be recovered. C) After instillation of further 500 ml of saline to remove the foam in the lavaged lung and airways, the fluid is recovered and the lavage continued according to the classical technique. Modified from Ishikawa et al 2002 (Ishikawa et al., 2002).

## **2.3. Laboratory measurements**

### **2.3.1 GM-CSF autoantibody in serum**

GM-CSF autoantibody concentration was measured by enzyme linked immunosorbent assay (ELISA) as previously reported (Latzin et al., 2005; Uchida et al., 2009). The detection limit of our assay is 0.2 mcg/mL. Values <10 mcg/mL are considered normal.

### **2.3.2. Biomarkers in serum and BAL**

KL-6 was measured by ELISA (Eisai Co. Ltd., Tokyo, Japan) as described previously (Takahashi et al., 1998) in serum and BAL. LDH and CEA were measured in serum only. Normal serum ranges in our laboratory are: < 620 U/ml for KL-6, < 200 IU/l for LDH and < 2.5 ng/mL for CEA .

### **2.3.3. Rapid turbidity assessment**

The optical density of the recovered fluid was measured at a wave length of 405 nm (EPAC 6140, Eppendorf, Germany).

### **2.3.4. Protein concentration**

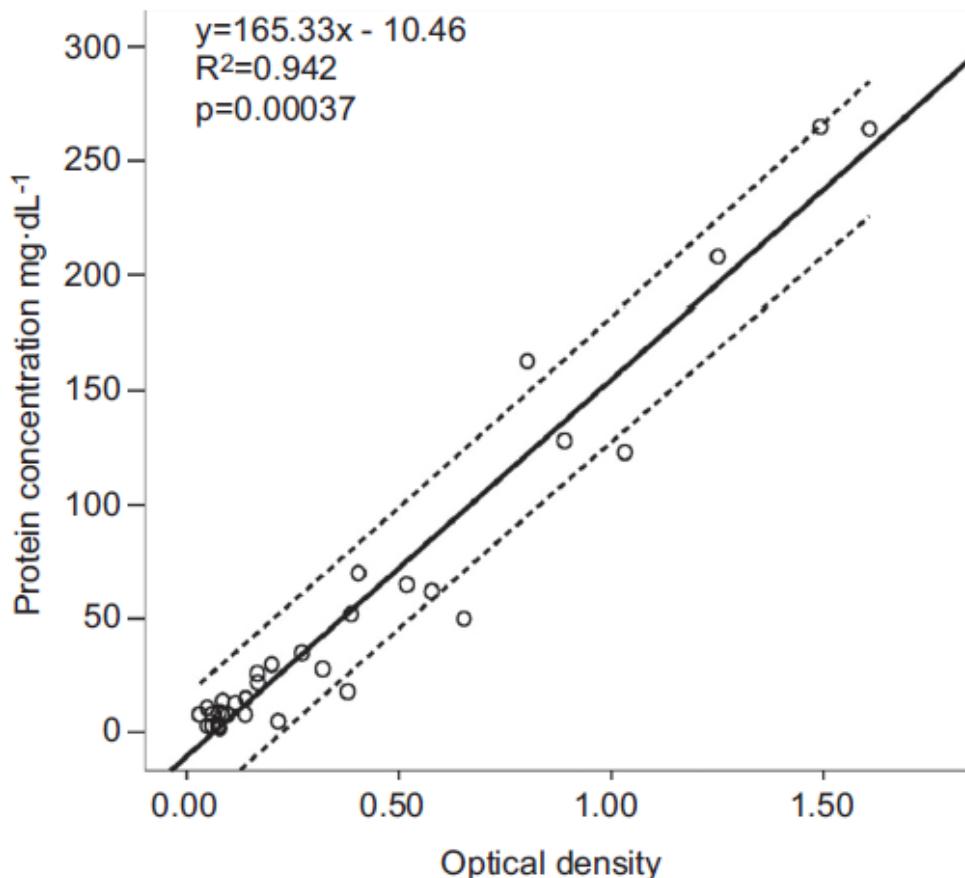
The recovered fluid was centrifugated at 1720 g for 10 minutes, in order to separate water insoluble particulate materials including cells and debris, as described before (Onodera et al., 1983). In the supernatant, the total protein concentration was measured with a spectrophotometer in portions standardized in amount (10 ml) and in duplicate (Konelab T series for U/CSF protein, Thermo Fisher Scientific, Finland).

### **2.3.5. Statistical analysis**

All variables were evaluated for a normal distribution using the Kolmogorov-Smirnov test and for equal variance using the Levene median test. The area under the curve was calculated with trapezoidal method and verified with integration of regression equation (IRE). The following variables had no normal distribution: Disease severity score (DSS), volume of instilled fluid, protein concentration and amount of removed proteins (AUC). Therefore these variables are expressed as median (50<sup>th</sup> percentile) and interquartile range (IQR) (25<sup>th</sup>-75<sup>th</sup> percentile). Categorical data are presented as either a percentage of the total or numerically, as appropriate. Statistical comparisons of parametric data were made with Student's t-test for two group comparisons. Nonparametric data were compared with the Wilcoxon test. Comparisons of categorical data were made with Chi-squared or Fischer's exact test. Longitudinal data of parametric data (biomarkers and lung function tests) were compared with the paired T-test. The comparison of the means in the same subjects at different times was performed with one way repeated measures ANOVA and the comparison of repeated measures between the techniques (MLT vs CLT) using general linear model (GLM) for repeated measures. Spearman's or Pearson's coefficient was obtained for all correlations. Partial correlation analysis (with covariates) and regression analysis were used to confirm the correlations. All tests were two sided and p values of less than 0.05 were considered to indicate statistical significance.

### 3. RESULTS

There was a linear correlation between the protein concentration determined with the quantitative method (Konelab) and the optical density (**figure 3**).



**Figure 3.** Regression curve fit showing the linear correlation (bold line) between the protein concentration (assessed by Konelab quantitative analysis) and the optical density of the spectrophotometric absorption in the first recovered portion of 6 consecutive WLL. Linear equation with 95% confidence interval (CI) (dashed lines), correlation coefficient and significance are also shown.

### **3.1. Kinetics of the wash out process**

#### **3.1.1. Protein concentration**

The median protein concentration in the first portion of the recovered fluid of 180 WLL was 460 (15-3907) mg/dL. There was no correlation of this initial protein concentration with age, BMI, smoking habits. An inverse correlation was seen with TLC (n=126,  $r=-0.222$ ,  $p=0.012$ ) and PaO<sub>2</sub> (n=142,  $r=-0.214$ ,  $p=0.01$ ). The initial protein concentration correlated with the DSS (n=142,  $r=0.3$ ,  $p=0.002$ ), and inversely with the duration of disease, defined as interval between the diagnosis and the first treatment with WLL (n=42,  $r=-0.4$ ,  $p=0.012$ ). There was also a correlation with serum LDH (n=149,  $r=0.5$ ,  $p=0.0001$ ) and BALF KL-6 concentration (n=26,  $r=0.44$ ,  $p=0.02$ ). No correlations were found with serum CEA or GM-CSF autoantibody levels.

The median protein concentration in the final portion of the recovered fluid was 26 (4-71) mg/dL.

#### **3.1.2. Protein amount**

The median amount of proteins removed from the lung by one WLL was 17.5 (7.2-41) g. This was not affected by gender, age, BMI, the WLL being performed in the left or right lung, smoking habits, or a history of dust exposure (data not shown).

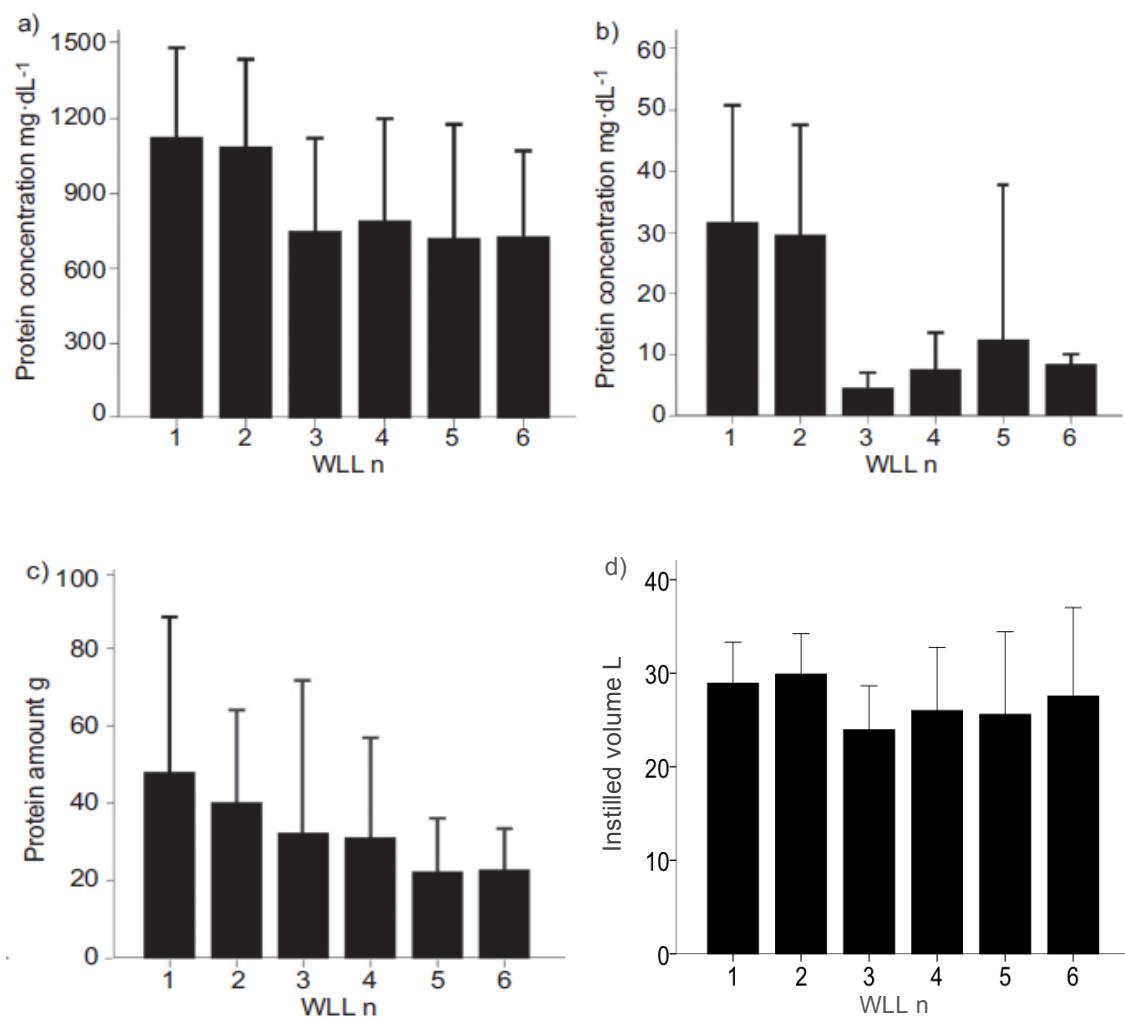
The removed protein amount correlated inversely with DLCO (n=54,  $r=-0.44$ ,  $p=0.001$ ) and PaO<sub>2</sub> (n=142,  $r=-0.243$ ,  $p=0.004$ ) and directly with the DSS

(n=142, r=0.3, p=0.0001), serum LDH (n=149, r=0.53, p=0.0001), and BAL KL-6 levels (n=26, r=0.533, p=0.005). No correlations were found with serum KL-6, CEA and GM-CSF antibodies.

### 3.1.3. Other results

The protein concentration in the last recovered portion was higher in patients exposed to dust/fume than in those not exposed, with a median value of 24 (9-57) mg/dL vs 9 (3-21) mg/dL (p=0.00013); the instilled volume per WLL between the two groups did not differ (25 (16-32) L vs 27 (20-4) L; p=0.08) and was not considered as covariate.

9 patients underwent 6 consecutive WLLs. 6 patients received CLT and 3 patients MLT. The mean interval between multiple WLLs in this subgroup of 9 pts that were lavaged 6 times was 138±105 days. The initial protein concentration in the recovered fluid did not change significantly from the first to the last WLL (**figure 4a**), but the final protein concentration significantly decreased with the third WLL (**figure 4b**). The amount of removed protein declined with consecutive WLLs (**figure 4c**) but the instilled volume did not change (p=0.2) (**figure 4d**).



**Figure 4.** Change of protein wash out kinetics in 9 patients who underwent 6 consecutive WLLs, independently from the technique applied: (a) initial protein concentration, (b) final protein concentration, (c) protein amount and (d) instilled volume.

### 3.2. Comparison of the whole lung lavage techniques.

The results from the comparison of the WLL techniques are summarized in **table 4**. The patients who received MLT had a significantly lower final protein

concentration (median 9 (3-20) mg/dL) than those receiving CLT (median 22 (5-58) mg/dL;  $p=0.0002$ ). The amount of proteins removed with WLL was significantly greater in patients who received MLT than in those receiving CLT (median 22.6 vs 13.7 g, respectively,  $p=0.0001$ ).

The time range between the first and second WLL was significantly prolonged in patients that underwent MTL in comparison to those receiving CLT (225 vs 84 days,  $p=0.011$ ) (Table 4).

In patients undergoing up to 6 consecutive WLLs, the amount of instilled volume necessary to reach the target final protein concentration remained higher for MLT than CLT. Only a tendency to decline was shown with the application of repeated modified WLLs (**figure 5**).

After the second WLL, only a tendency was seen for a negative correlation between initial protein concentration and the time to next WLL in the group receiving MLT, but not in those receiving CLT (first to second WLL:  $r=-0.5$ ,  $p=0.067$  for MLT vs  $r=-0.226$ ,  $p=0.36$  for CLT; second to third WLL:  $r=-0.5$ ,  $p=0.067$  for MLT vs  $r=0.007$ ,  $p=0.978$  for CLT).

**Table 4.** Results from the comparison of WLL techniques.

	CLT		MLT		p
	number of WLL	Mean* ± SD (range)	number of WLL	Mean* ± SD (range)	
<b>Instilled Volume, liter</b>	110	15 (4-40)	70	40 (21-71)	0.0003 <sup>†</sup>
<b>Initial protein concentration, mg/dL</b>	110	460 (15-3906)	70	458 (41-3810)	0.77 <sup>†</sup>
<b>Final protein concentration, mg/dL</b>	110	21 (1-593)	70	9 (1-39)	0.0002 <sup>†</sup>
<b>Amount of removed protein, mg</b>	110	13780 (350-32015)	70	22580 (2920-26860)	0.0001 <sup>†</sup>
<b>Time range 1<sup>st</sup> - 2<sup>nd</sup> WLL, days</b>	29	84 ± 168	9	225 ± 151	0.011 <sup>§</sup>
<b>Time range 2<sup>nd</sup> - 3<sup>rd</sup> WLL, days</b>	18	270 ± 276	3	260 ± 298	ns <sup>§</sup>
<b>Time range 3<sup>rd</sup> - 4<sup>th</sup> WLL, days</b>	13	236 ± 286	3	211 ± 120	ns <sup>§</sup>
<b>Number of WLL per patient, n</b>		3.2 ± 2		4.2 ± 5	ns <sup>§</sup>

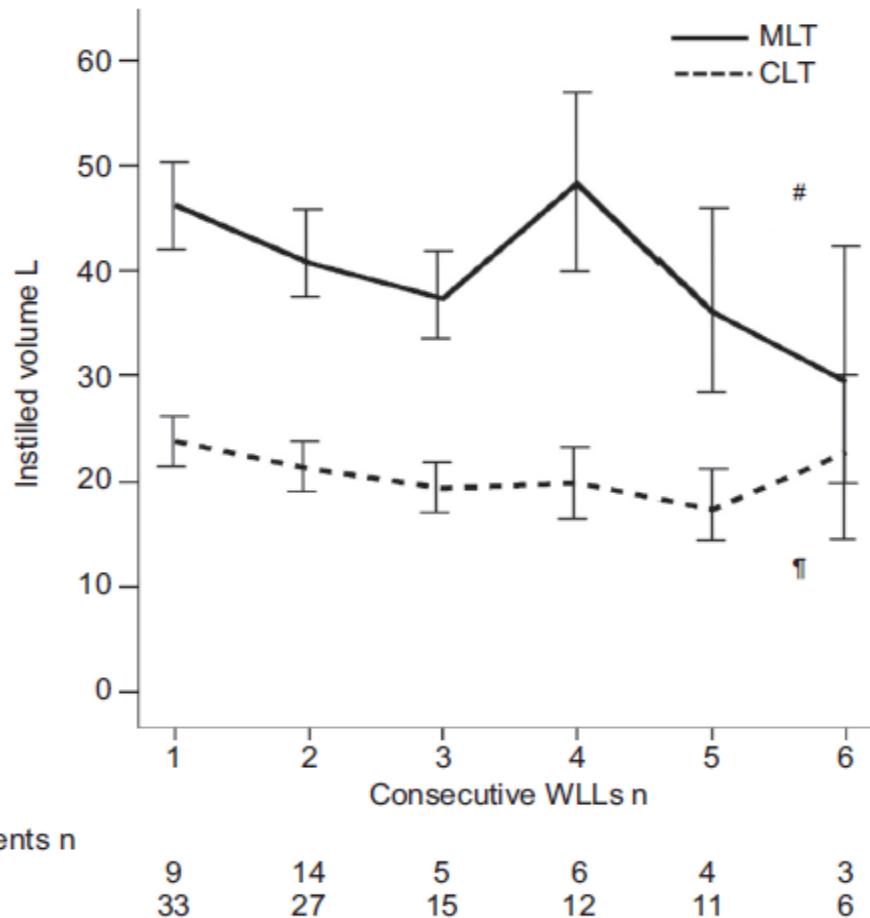
CLT=classical lavage technique; MLT=modified lavage technique; ns=not significant

\* or 50<sup>th</sup> percentile for non normal distributed variables

† Mann-Witney non parametric test

§ Student t-test

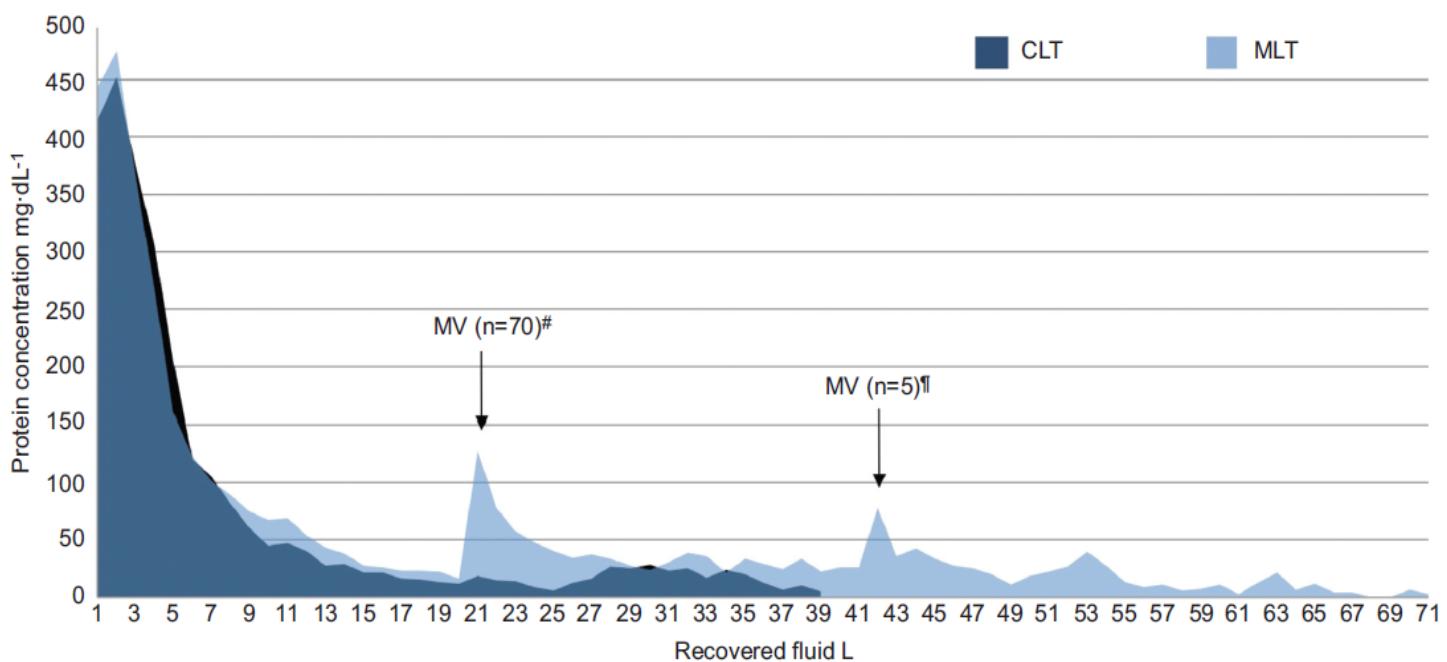
There was an inverse correlation between the final protein concentration and the total volume instilled ( $r=-0.257$ ,  $p=0.00049$ ). When corrected for volume, the difference in the final protein concentration between the two techniques still remained significant ( $p=0.001$ ).



**Figure 5.** Mean instilled volume in up to 6 consecutive WLLs, according to the applied technique. The error bars indicate the 95% CI of the mean. The p values in the graphic refer to the significance for the comparison in each group (ANOVA). The difference between groups remained significant in each measure (overall  $p=0.044$ ) (general linear model test between subjects). CLT=classical lavage technique; MLT=modified lavage technique.

The **figure 6** shows the effect of the manual ventilation on the protein wash out. The amount of removed proteins, represented by the area under the curve

(AUC) in figure 6, was significantly greater with MLT than with the CLT (see table 3). The volume instilled and recovered through CLT did not exceed 40 L, while the volume reached up to 84 L with MLT in one session, which is the reason why more material was removed with this technique. When corrected for volume, the difference in the amount of removed proteins between CLT and MLT was no longer significant ( $p=0.121$ ).



**Figure 6.** Comparison between the classical (CLT) ( $n=110$  procedures) and the modified (MLT) WLL technique ( $n=70$  procedures) in removing proteins from the lung. The amount of removed proteins is represented by the area under the curve (AUC). The arrows indicate when the manual ventilation (MV) was applied during the procedure, mostly after the 21st and the 41st liter. Statistics are described in the text. # In 70 WLL procedures the manual ventilation was applied only once

during the lavage.<sup>¶</sup> In 5 WLL procedures the manual ventilation was applied twice during the lavage.

#### **4. DISCUSSION**

Since its first application in the 1960's (Ramirez et al., 1963; Seard et al., 1970; Wasserman et al., 1968), WLL is still the treatment of choice in patients with PAP (Cheng et al., 2002; Ioachimescu and Kavuru, 2006; Kavuru and Popovich, 2002; Morgan, 2004; Paschen et al., 2005; Selecky et al., 1977; Seymour and Presneill, 2002; Shah et al., 2000; Trapnell et al., 2003). In this study, we provide detailed data on kinetics of protein wash out in the recovered fluid (initial and final protein concentration, amount of removed proteins) of 180 WLLs in a cohort of 42 adult PAP patients. We also compared the wash out efficacy of two different lavage techniques in terms of quantity of removed proteins from the lung and time interval from first to second WLL. To the best of our knowledge, this is the largest single centre study regarding WLL reported worldwide.

In our PAP cohort, we observed an exponential decay of the protein concentration during the lavage, similarly to data published before (Beccaria et al., 2004; Onodera et al., 1983; Perez and Rogers, 2004; Rodi et al., 1995): the median initial protein concentration was at least 20 fold higher than the final concentration. We did not find a correlation with age, BMI or lavaged side. The initial value of the protein concentration showed an inverse correlation with TLC

( $p=0.012$ ), PO<sub>2</sub> ( $p=0.01$ ) and a direct correlation with the disease severity score (DSS) ( $p=0.002$ ). This may be explained by the degree of filling of the alveolar space. The inverse correlation between the protein concentration in the initial recovered fluid and the duration of disease ( $p=0.012$ ), measured as time from diagnosis to first treatment with WLL, seems to indicate that patients with a more severe alveolar impairment, or higher protein accumulation speed, tend to undergo WLL earlier. Due to the low number of patients who received subsequent WLLs (21 patients received 2 WLL and 16 patient 3 WLL), only a tendency was seen for a negative correlation between initial protein concentration and time to next WLL in the group receiving MTL, but not in those receiving CLT. Therefore, it can only be speculated that a deeper removal of proteins during the first WLL through a more effective technique than CTL may result in a delayed accumulation of proteins in the alveoli over time.

Furthermore, the observed correlation between the initial protein concentration, duration of disease and well established biomarkers for PAP (serum LDH and BAL KL6 levels) (Lin et al., 2008; Seymour et al., 2003) suggests that also the initial protein concentration could have a role as biomarker.

The median protein concentration of 26 mg/dl at the end of the lavage is consistent with that reported by Paschen (10 mg/dL) (Paschen et al., 2005) and by Alberti (20-80 mg/dL) (Alberti et al., 1996). The amount of protein removed from the lungs (17.5 g) was compatible with the range reported by Paschen (2-33

g) (Paschen et al., 2005) and by Ceruti (6.5-8.5 g) (Ceruti et al., 2007), and was not affected by gender, age, BMI, dust exposure or smoking habits.

Moreover, we found that a history of dust exposure, but not smoking, was associated with a higher residual protein concentration in the recovered fluid. This needs further investigation because the protein concentration in the first recovered portion shows only a tendency to be higher in patients exposed to dusts and fumes.

The effect of consecutive WLL on the protein kinetics has not been investigated before. We found a progressive decline in the amount of removed protein and a better clearance with consecutive procedures.

Finally, we showed that a modified WLL technique with manual ventilation can remove a larger amount of protein and reduce the residual protein concentration in the fluid more than the classical technique. The amount of proteins removable from the lungs depends on the instilled volume. The manual ventilation in the middle of the procedure seems to mobilize additional proteins from the alveoli. The magnitude of the second protein concentration peak (after manual ventilation) was about one third of the initial (**figure 6**); then the wash out curve declined as usual. An ideal technique of WLL should remove the largest amount of protein with the lowest instilled volume, in order to reduce the duration of anesthesia and the risk of complications, like overspill of lavage fluid into the ventilated lung, barotrauma, hydropneumothorax and severe acidosis (Shah et al.,

2000). Even if MLT is not the ideal lavage technique, it seems to be more effective in prolonging the time to the second WLL compared to the classical technique

There are several limitations of this study. First, there is an imbalance in the number of patients that was assigned to the different technique. Second, we did not perform systematically gel electrophoresis/Western blot analysis to separate the proteins; therefore we cannot exclude an influence of aberrant lipoproteins on the kinetics of the procedure.

In summary, this study supports the concept that the kinetics of protein removal from the lungs can be easily estimated by spectrophotometry of the effluent and can provide biochemical variables of clinical interest for the outcome. The clearance of the fluid through WLL appears be affected by a history of dust exposure, but not by smoking. Applying manual ventilation during the procedure can enhance the efficacy of WLL, even if it does not reduce the amount of volume to be instilled.

## **5. SUMMARY**

Whole lung lavage (WLL) is the standard treatment for pulmonary alveolar proteinosis (PAP). This study aimed to provide data about kinetics of the protein wash out, to identify factors influencing the protein concentration in the recovered fluid, and to assess the efficacy of a modified lavage technique.

Samples from 180 WLLs of 42 adult PAP patients were collected. 110 WLL were performed according to the classical technique. In 70 WLL repeated manual ventilation was applied during the procedure. Spectrophotometry was used to measure the protein concentration in the recovered fluid.

The initial protein concentration in the recovered fluid was 460 mg/dL, the final concentration was 26 mg/dL, and the total amount of removed proteins during a lavage was 17.5 g. A history of dust exposure was associated with a higher residual protein concentration in the recovered fluid ( $p=0.00013$ ). The amount of removed proteins correlated inversely with the diffusing capacity of the lung for carbon monoxide (DLCO) ( $p=0.001$ ) and the partial pressure of oxygen in the blood (PaO<sub>2</sub>) ( $p=0.004$ ). The modified technique removed a greater amount of proteins than the classical technique and prolonged the time to relapse ( $p=0.011$ ).

The exposure to dust seems to influence the kinetics of the protein wash out. Applying manual ventilation during the procedure can enhance the efficacy of WLL.

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## **7. APPENDIX**

### **7.1. Tables**

Table 1:	PAP classification according to the pathogenesis	10
Table 2:	Demographics and features of the cohort	24
Table 3:	Allocation of the patients and patients' features according to WLL technique	25
Table 4:	Results from the comparison of WLL techniques	36

### **7.2. Figures**

Figure 1:	Classical whole lung lavage technique	26
Figure 2:	Modified whole lung lavage technique	28
Figure 3:	Correlation between protein concentration and optical density of the spectrophotometric absorption in the recovered lavage fluid	31
Figure 4:	Change of protein wash out kinetics in patients who underwent consecutive whole lung lavages	34
Figure 5:	Mean instilled volume in consecutive whole lung lavages, according to the applied technique	37
Figure 6:	Comparison between the classical and the modified whole lung lavage technique in removing proteins from the lung	38

## **8. ABBREVIATIONS**

BALF	Bronchoalveolar lavage fluid
CLT	Classical lavage technique
DLCO	Diffusing capacity of the lung for carbon monoxide
DSS	Disease severity score
ELISA	Enzyme-linked immunosorbent assay
FEV1	Forced expiratory volume in one second
GM-CSF	Granulocyte macrophage colony stimulating factor
HRCT	High resolution computed tomography
KL-6	Krebs von den Lungen-6
MLT	Modified lavage technique
OD	Optical density
PAP	Pulmonary alveolar proteinosis
ROC	Receiver operating characteristic
SP	Surfactant protein
TBB	Transbronchial biopsy
TLC	Total lung capacity
VC	Vital capacity
WLL	Whole lung lavage

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## **10. CURRICULUM VITAE**

Der Lebenslauf ist in der Online-Version aus Gründen des Datenschutzes nicht enthalten.

## **11. PUBLICATIONS**

### **Original Articles (first author)**

1. Bonella, F., Volpe, A., Caramaschi, P., Nava, C., Ferrari, P., Schenk, K., Ohshima, S., Costabel, U., Ferrari, M. (2011): Surfactant protein D and KL-6 serum levels in systemic sclerosis: correlation with lung and systemic involvement. *Sarcoidosis Vasc Diffuse Lung Dis* 28:27-33.
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