

**TABLE 3. RELATIVE RISK FOR RAPID DECLINERS VERSUS SLOW DECLINERS USING LOGISTIC REGRESSION ANALYSES**

|  | %Kco Excluded |           |         | Emphysema Scores Excluded |           |         |
|--|---------------|-----------|---------|---------------------------|-----------|---------|
|  | Odds Ratio    | 95% CI    | P Value | Odds Ratio                | 95% CI    | P Value |
| Emphysema score                                    | 1.46          | 1.01–2.11 | 0.047   |                           |           |         |
| %Kco, 10%  |               |           |         | 0.84                      | 0.73–0.96 | 0.014   |
| Post-bronchodilator FEV <sub>1</sub> , % predicted | 1.00          | 0.99–1.02 | 0.66    | 1.00                      | 0.99–1.02 | 0.75    |
| Reversibility of airflow limitation                | 1.01          | 0.98–1.05 | 0.45    | 1.02                      | 0.98–1.06 | 0.36    |
| Blood neutrophil count, 100 cells/ $\mu$ l         | 1.03          | 1.00–1.07 | 0.036   | 1.04                      | 1.01–1.07 | 0.021   |
| Blood eosinophil count, 10 cells/ $\mu$ l          | 0.98          | 0.95–1.01 | 0.12    | 0.98                      | 0.95–1.01 | 0.12    |
| Chronic bronchitis symptom                         | 1.47          | 0.50–4.36 | 0.49    | 1.34                      | 0.44–4.11 | 0.61    |
| MRC dyspnea scale $\geq$ 2                         | 0.85          | 0.33–2.23 | 0.75    | 0.77                      | 0.30–2.02 | 0.60    |
| Continuous vs. noncontinuous smokers               | 0.84          | 0.35–1.98 | 0.68    | 0.70                      | 0.30–1.76 | 0.42    |
| Exacerbation frequency, events/yr                  | 1.17          | 0.54–2.54 | 0.69    | 1.16                      | 0.54–2.52 | 0.70    |
| Age, yr  | 0.99          | 0.94–1.03 | 0.52    | 0.98                      | 0.94–1.03 | 0.39    |
| Female sex   | 0.20          | 0.02–1.67 | 0.14    | 0.22                      | 0.03–1.85 | 0.16    |

Definition of abbreviations: CI = confidence interval; %Kco = carbon monoxide transfer coefficient (% predicted); MRC = Medical Research Council.

as low as only about 15% in each during the follow-up period because of our intense advice of cessation of smoking before they entered the study. Another reason may be the unique clinical characteristics observed in Japanese patients with COPD, because Japanese subjects participating in the recent UPLIFT study also showed a much smaller annual decline in FEV<sub>1</sub> (27 ml/yr with tiotropium) compared with the overall average (42). It is not clear whether this is caused by ethnic or genetic differences, or by environmental differences, including socioeconomic factors. Another unique finding of this study is the very low incidence of exacerbation during the study period in all subject groups. This was again observed in the Japanese participants in the UPLIFT study and another study only recently published (43). Whatever the reason, the low incidence of exacerbation during the study period may help to elucidate the independent effects of emphysema severity on annual decline in FEV<sub>1</sub> in this study. It is of note that we have seen a dramatic decrease in chronic bronchitis symptoms in patients with COPD for the last two or three decades that certainly contributed low incidence of exacerbation in our population. It may be surprising that we did not see any deleterious effect of continuous smoking on annual decline of FEV<sub>1</sub>. We examined the background of the groups classified by smoking behavior (*see* Table E1); however, we could not identify any reasons. The results might be a simple consequence that Rapid decliners were more willing to quit smoking in response to physicians' advice and their worsening symptoms.

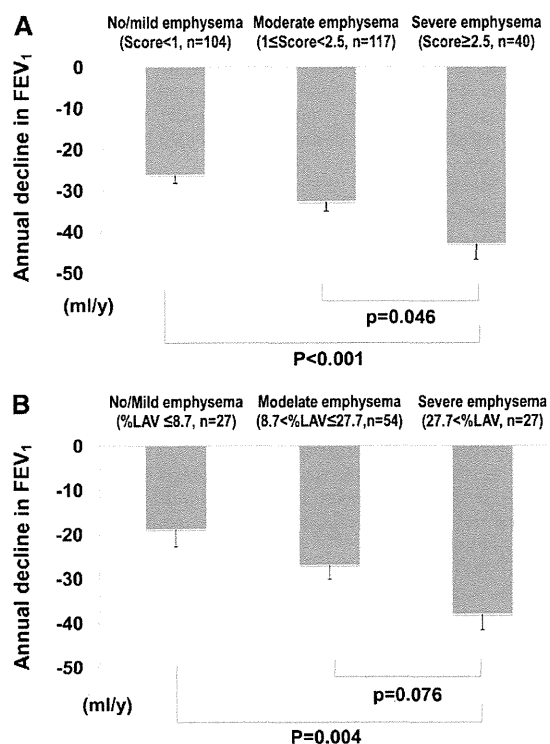
It must be noted that a significant proportion of the subjects maintained pulmonary function over a period of 5 years (annual decline,  $-2 \pm 1$  ml/yr). Characteristics that significantly discriminate the Sustainers from the others were higher, but within the normal range, levels of eosinophils in blood and more frequent chronic bronchitis symptoms. They had lower levels of emphysema, and slightly but significantly greater BMI. Considering these clinical features, one can speculate that there were some patients with asthma in this group; however, we clinically excluded patients with asthma at entry (Table 1). Furthermore, we did not observe any significant differences in reversibility of airflow limitation among the three groups during the entire follow-up period (*see* Figure E5). Nevertheless, clinicians should pay closer attention to the presence of those patients with COPD who maintain pulmonary function over the long-term in daily practice and future clinical trials.

This study has several limitations. First, most of the subjects were male, and findings may not necessarily be extrapolated to female patients with COPD. This biased sex ratio simply reflects the marked difference in prevalence of smoking between men and women in Japanese society. Second, emphysema severity on CT was visually assessed. However, it was shown that visual emphysema scoring for three CT slices was strongly correlated with objective volume-based computerized assessment for the whole lung in a limited number of subjects (*see* Figure E1). We also found very similar findings (Figure 5), even for those

**TABLE 4. RELATIVE RISK FOR SUSTAINERS VERSUS DECLINERS USING LOGISTIC REGRESSION ANALYSES**

|  | %Kco Excluded |           |         | Emphysema Scores Excluded |           |         |
|--|---------------|-----------|---------|---------------------------|-----------|---------|
|  | Odds Ratio    | 95% CI    | P Value | Odds Ratio                | 95% CI    | P Value |
| Emphysema score                                    | 0.68          | 0.47–0.99 | 0.042   |                           |           |         |
| %Kco, 10%  |               |           |         | 1.21                      | 1.06–1.38 | 0.004   |
| Post-bronchodilator FEV <sub>1</sub> , % predicted | 1.00          | 0.98–1.01 | 0.58    | 1.00                      | 0.98–1.02 | 0.90    |
| Reversibility of airflow limitation                | 0.98          | 0.95–1.01 | 0.23    | 0.98                      | 0.94–1.01 | 0.19    |
| Blood neutrophil count, 100 cells/ $\mu$ l         | 1.01          | 0.98–1.04 | 0.51    | 1.01                      | 0.98–1.04 | 0.71    |
| Blood eosinophil count, 10 cells/ $\mu$ l          | 1.04          | 1.01–1.06 | 0.007   | 1.03                      | 1.01–1.06 | 0.013   |
| Chronic bronchitis symptom                         | 2.68          | 1.14–6.30 | 0.024   | 2.97                      | 1.24–7.12 | 0.014   |
| MRC dyspnea scale $\geq$ 2                         | 0.84          | 0.37–1.91 | 0.67    | 0.91                      | 0.39–2.11 | 0.82    |
| Continuous vs. noncontinuous smokers               | 0.99          | 0.48–2.07 | 0.99    | 1.23                      | 0.59–2.57 | 0.58    |
| Exacerbation frequency, events/yr                  | 0.98          | 0.41–2.34 | 0.97    | 1.04                      | 0.43–2.50 | 0.94    |
| Age, yr  | 0.97          | 0.93–1.01 | 0.13    | 0.98                      | 0.94–1.02 | 0.29    |
| Female sex   | 1.14          | 0.31–4.20 | 0.84    | 1.01                      | 0.27–3.72 | 0.99    |

Definition of abbreviations: CI = confidence interval; %Kco = carbon monoxide transfer coefficient (% predicted); MRC = Medical Research Council.



**Figure 5.** Annual declines in post-bronchodilator FEV<sub>1</sub> among three groups classified by emphysema severity at baseline. Emphysema severity on computer tomography was assessed (A) by visual assessment (n = 261) and (B) by computerized analysis (n = 108). Subjects with emphysema severity were defined as follows: no or mild emphysema (emphysema score <1, % of low attenuation area [LAA] in the assessed lung <12.5% on average); moderate emphysema (emphysema score <2.5, 12.5% <% of LAA <50%); and severe emphysema (emphysema score <2.5, 50% <% of LAA) (19.) In case of computerized assessment, subjects were classified as no or mild emphysema, less than the 25th percentile; moderate emphysema, the 25th to 75th percentile; and severe emphysema, greater than the 75th percentile of percent low attenuation volume (%LAV). Data show means with SEM.

subjects in whom computerized analysis could be performed. Both K<sub>CO</sub> and DL<sub>CO</sub> data are definitely complementary for evaluation of emphysema severity in this study. Finally, the sample size in this study was not so large compared with previous large-scale studies, such as the Lung Health Study (4) and the UPLIFT study (36) in which the rate of annual decline in FEV<sub>1</sub> was also the primary endpoint. Thus, the lack of adequate power as a result of the small sample size may well explain some of the failures in detecting the factors, such as exacerbation and chronic bronchitis syndrome, which would potentially influence natural history of COPD.

In conclusion, we demonstrated that emphysema severity is independently associated with a rapid annual decline in FEV<sub>1</sub> in COPD. We also confirmed the presence of Sustainers who can maintain pulmonary function over a period of 5 years provided that they receive appropriate therapy. Emphysema severity and presence of Sustainers should thus be considered in daily practice and in future clinical trials where annual decline in FEV<sub>1</sub> is a primary outcome measurement.

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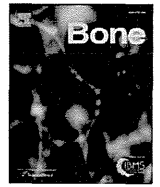
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## Original Full Length Article

## A clinical study of alveolar bone tissue engineering with cultured autogenous periosteal cells: Coordinated activation of bone formation and resorption

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## ABSTRACT

In ongoing clinical research into the use of cultured autogenous periosteal cells (CAPCs) in alveolar bone regeneration, CAPCs were grafted into 33 sites (15 for alveolar ridge augmentation and 18 for maxillary sinus lift) in 25 cases. CAPCs were cultured for 6 weeks, mixed with particulate autogenous bone and platelet-rich plasma, and then grafted into the sites. Clinical outcomes were determined from high-resolution three-dimensional computed tomography (3D-CT) images and histological findings. No serious adverse events were attributable to the use of grafted CAPCs. Bone regeneration was satisfactory even in cases of advanced atrophy of the alveolar process. Bone biopsy after bone grafting with CAPCs revealed prominent recruitment of osteoblasts and osteoclasts accompanied by angiogenesis around the regenerated bone. 3D-CT imaging suggested that remodeling of the grafted autogenous cortical bone particles was faster in bone grafting with CAPCs than in conventional bone grafting. The use of CAPCs offers cell-based bone regeneration therapy, affording complex bone regeneration across a wide area, and thus expanding the indications for dental implants. Also, it enables the content of particulate autogenous bone in the graft material to be reduced to as low as 40%, making the procedure less invasive, or enabling larger amounts of graft materials to be prepared. It may also be possible to dispense with the use of autogenous bone altogether in the future. The results suggest that CAPC grafting induces bone remodeling, thereby enhancing osseointegration and consequently reducing postoperative waiting time after dental implant placement.

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**Abbreviations:** ALP, Alkaline phosphatase; CAPC, Cultured autogenous periosteal cell; SL, Maxillary sinus lift; PRP, Platelet rich plasma; TRAP, Tartrate-resistant acid phosphatase; 3D-CT image, three-dimensional CT image.

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## Introduction

Diseases affecting the maxillofacial region often cause defects in alveolar or gnathic bone. The maxillofacial bones are an important determinant of facial features and play a pivotal role in mastication and articulation. Thus, rehabilitation therapy that helps morphological and functional recovery of the maxillofacial bones is an important component of the strategies required after the diseases have been treated. Autogenous bone grafting is the most realistic and effective method for regenerating bone tissue in defect sites and is therefore widely used. However, the bone harvesting that is needed to prepare graft materials is accompanied by donor site morbidity such as pain

and increased risk of infection, and such morbidity itself sometimes extends the duration of treatment.

To improve the effectiveness of bone tissue engineering, bone graft substitutes, growth factors, and cell-based approaches have been tested. Calcium phosphate-based materials are the most widely used bone graft substitutes, but their efficacy in restoring the maxillofacial region remains unclear; consequently, the host sites and grafting amounts should be carefully evaluated before use. The efficacy of bone morphogenetic proteins (BMPs) in bone regeneration has been well documented in animal models as well as clinical studies. However, their actual clinical use is still limited. The high costs of BMP-2 and BMP-7 formulations may, at least in part, explain the limited indications for BMP therapy [1,2]. Another well-studied growth factor related to osteoinductive activity is fibroblast growth factor 2 (FGF2). It was experimentally revealed that sustained release of FGF2 induces bone regeneration via a mechanism that activates the proliferation and differentiation of periosteal cells around the bone [3]. A clinical study of FGF2 for treating bone in the oral region is ongoing [4], and will hopefully lead to clinical application of FGF2 in alveolar bone regeneration in the near future. Although it is convenient to use growth factor formulations in clinics, a disadvantage is that growth factor administration cannot promote bone regeneration in a wide area.

In cell-based regenerative therapy, grafted cells supply the cell population responsible for tissue regeneration and also serve as growth factor producers. With this in mind, cell-based regenerative therapy is expected to allow for the regeneration of tissues with low regenerative potential. After examining existing studies, reported by our group and others [3,5–10], in our search for a new approach to bone regeneration in a wide area in the maxillofacial region, we have developed a tissue-engineering approach aided by the administration of cells derived from autogenous periosteum. Compared to highly pluripotent mesenchymal stromal cells (MSCs) [11,12], periosteum and periodontium contain more cells that are committed to bone tissue maintenance. So, it is noteworthy that these cells provide osteoblasts responsible for bone formation, and also can promote favorable regeneration of blood vessels and nerve filaments and the recruitment of cells responsible for bone resorption [13,14]. In addition, the periosteum is freely accessible via the superficial layer in the oral cavity throughout the life span, and this is another important advantage of using periosteum. In this study, we examine the treatment outcomes of 25 patients who underwent autogenous bone grafting with CAPCs at our institute, and discuss the effects and principles of this cell therapy in bone regenerative medicine.

## Materials and methods

### Patients

From among 40 patients scheduled to undergo alveolar bone augmentation prior to dental implant placement between April 2007 to July 2011, 25 patients without major organ failure, metabolic disorder, or infectious disease provided informed consent to participate in this preliminary clinical study of alveolar bone engineering with administration of CAPCs. The remaining 15 patients who underwent conventional bone grafting, because either they did not consent to the use of CAPCs or the procedure could not be undertaken due to time constraints or a failure of CAPC culture, served as the reference group and were examined by morphometric analysis and biopsy.

The study protocol was approved by the Institutional Review Board of the Niigata University Medical and Dental Hospital. The work described here was carried out in accordance with The Code of Ethics of the World Medical Association (Declaration of Helsinki) for experiments involving humans.

### Cultivation of periosteum

CAPCs were prepared in the bioclean room of the Cell Processing Center of Niigata University Medical and Dental Hospital, following the method described previously [7]. Briefly, periosteum samples (50 mm<sup>2</sup>, 5 × 10 mm) were harvested from the molar region of the mandible under local anesthesia. Small pieces of the periosteum specimen were placed directly onto 100 mm culture dishes with culture medium (Medium 199 with Earle's salts, Invitrogen, Carlsbad, CA) containing 10% fetal bovine serum (sourced in New Zealand, SAFC Bioscience, Inc., Tokyo, Japan), 25 mg ascorbic acid (Sigma Chemical, St. Louis, MO), 100 IU/ml penicillin (Invitrogen), 100 µg/ml streptomycin (Invitrogen), and 250 ng/ml amphotericin B (Invitrogen) and incubated at 37 °C in an atmosphere of 10% CO<sub>2</sub>. Culture medium was changed every 3 days. Periosteum samples were incubated for around 6 weeks until the cells formed a sheet. All equipment and procedures involved in the production of the CAPC sheet were maintained in accordance with the Standard Operating Procedures of our institute observing Good Manufacturing Practices.

### Preparation of graft materials and grafting procedure

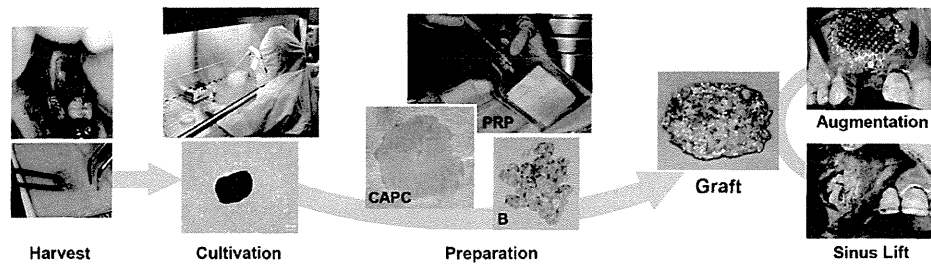
Two hundred milliliters of whole blood was collected into a citrate-containing blood bag (Terumo, Tokyo, Japan), and centrifuged at 1320 × g for 3 min. The resulting plasma was further centrifuged at 2690 × g for 4 min to obtain 30 ml of platelet-rich plasma (PRP). Because of the wide variance in blood composition, the eventual platelet count of PRPs varied around 80–200 × 10<sup>4</sup> µl, approximately 4- to 6-fold above the physiological level which is considered to be the platelet concentration required for a positive PRP effect on tissue regeneration [15]. CAPC sheet fragments were mixed with PRP and particulate autogenous bone, and then with 2% CaCl<sub>2</sub> (0.15 to 0.2 volume of PRP) to obtain a glue-like graft material in a few minutes [16] (Fig. 1). The amount of PRPs mixed was five to six times that of the bone weight of the grafts, but the composition of graft materials could not be strictly controlled due to differences in the amounts of harvested bone and CAPC sheets generated and also because of PRP glue formation. Types of grafting procedures and the composition and amounts of graft materials used in individual cases are summarized in Table 1.

### Three-dimensional analysis of augmented bone

CT scans of the maxillary sinus region were performed before treatment and at 3 months (3 M) and 1 year (1Y) after sinus floor lift. Scans were carried out using 64-multidetector CT (Aquilion, Toshiba, Tokyo, Japan) and data were acquired under the following protocol: 0.5 mm slice thickness, 0.3 mm slice interval, and 21 helical pitch. A total of 21 images were analyzed for 4 bone grafts with CAPCs and 3 conventional bone grafts for maxillary sinus lift (SL).

Three-dimensional (3D) images of the maxilla taken before treatment and at 3 M and 1Y were constructed from DICOM data. The images were adjusted and unified by superimposing the coordinates on anatomical landmarks using Real INTAGE (Cybernet Systems, Tokyo, Japan). Color mapping of the images was applied to identify bone quality according to the classification based on bone density as determined by Hounsfield units (HU) as follows: D1: >1250 HU; D2: 850–1250 HU; D3: 350–850 HU; D4: 150–350 HU; and D5: <50–150 HU [17].

Volumetric measurement of the augmented bone was obtained from DICOM data by Real INTAGE (Cybernet Systems). Data were transformed into isotropic voxel size and augmented bone volume was calculated from voxel number in the extracted images: HU > 50 as the total volume or <850 HU and > 850 HU as volumetric categories. Volume changes were calculated as ratios of the augmented bone volumes at 1Y to 3 M after the graft.



**Fig. 1.** Procedure of autogenous bone grafting with cultured autogenous periosteal cells (CAPCs). Periosteum specimens were harvested from the bone surface of the mandibular molar region. While culturing in the bioclean room, cells derived from the periosteum started to grow around the periosteum pieces, and then proliferated to form a multi-layer CAPC sheet. The CAPC sheet cultured to the size of 3–4 cm were blended with particulate autogenous bone (B), and then made into glue-like materials by mixing with PRP. The resulting grafting materials were used for alveolar ridge augmentation or maxillary sinus lift.

### Histological and histomorphometric analyses

Four months after the graft, biopsies were obtained from the implant sites. The biopsy specimens were placed in 10% formaldehyde, followed by decalcification in 3% EDTA for 4 weeks. Then, 8- $\mu$ m paraffin sections were used for H-E staining, alkaline phosphatase (ALP) immunohistochemistry, and tartrate-resistant acid phosphatase (TRAP) enzyme histochemistry [18]. For ALP-TRAP double staining, deparaffinized sections were treated with 0.1% hydrogen peroxidase for 15 min to inhibit endogenous peroxidase, and pre-incubated with 1% bovine serum albumin in phosphate-buffered saline for 30 min at room temperature. Antisera against tissue non-specific ALP [19] were applied to the sections at a dilution of 1:200 overnight at 4 °C. Sections were then incubated with horseradish peroxidase-conjugated goat anti-rabbit IgG (Chemicon International Inc., Temecula, CA). Immune complexes were visualized using diaminobenzidine staining. Then, the TRAP activity was detected by incubating with a mixture of 2.5 mg naphthol AS-BI phosphate (Sigma), 18 mg red violet LB salt (Sigma), and 100 mM L (+) tartaric acid (0.76 g; Sigma) diluted in 0.1 M sodium acetate buffer (pH 5.0) for

15 min at 37 °C. The sections were counterstained faintly with methyl green.

The gross cross-sectional area of ALP-positive sites (shown in dark-brown) in the 870  $\times$  650  $\mu$ m<sup>2</sup> square view was histomorphometrically analyzed using image analysis software (WinROOF, Mitani Corp., Fukui, Japan). In brief, after RGB separation and manually adjusting threshold, images were binarized, and the ALP-positive area was calculated as a percentage of the whole square view area. TRAP-positive cells were counted per 870  $\times$  650  $\mu$ m<sup>2</sup> square view.

### Results

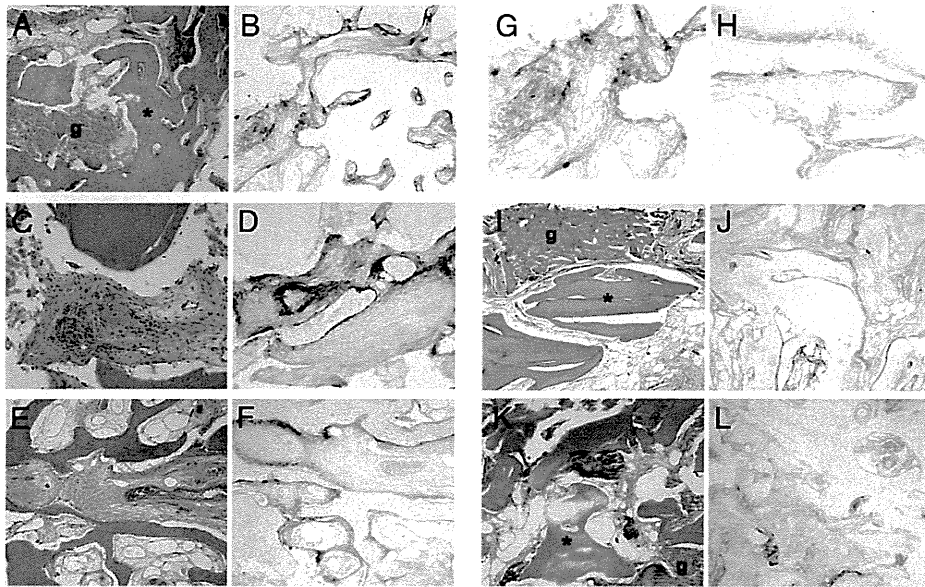
*CAPCs promoted good bone regeneration and reduced the amounts of bone required for harvesting*

Autologous bone grafting with CAPCs was performed at a total of 33 sites (15 for alveolar ridge augmentation and 18 for maxillary SL) in 25 patients. The bone was harvested from the anterior region of the mandibular ramus in the majority of cases and from the iliac crest in one case. Bone regeneration after autogenous bone grafting

**Table 1**  
Summary of grafting procedures and composition of graft materials used in individual cases.

| Case # | Age | Sex | Method   | Host site                                      | Doner site  | Bone (%) | Cultured periosteal cells (%) | PRP glue (%) | Total graft (g) | Findings                               |
|--------|-----|-----|----------|--|-------------|----------|-------------------------------|--------------|-----------------|--|
| 1      | 59  | M   | SL       | Maxillary sinus                                | Mandible    | 79       | 10                            | 11           | 5.6             |  |
| 2      | 56  | M   | SL       | Maxillary sinus                                | Mandible    | 73       | 8                             | 19           | 6.6             | Atrophic sinus floor <2 mm             |
| 3      | 52  | F   | SL + Aug | Maxillary sinus + molar                        | Mandible    | 36       | 23                            | 41           | 7.0             | Sinusitis, progressive bone resorption |
| 4      | 18  | M   | Aug      | Maxillary front                                | Mandible    | 35       | 23                            | 42           | 3.0             |  |
| 5      | 52  | F   | SL       | Maxillary sinus                                | Mandible    | 24       | 28                            | 49           | 4.0             |  |
| 6      | 60  | F   | Aug      | Maxillary front                                | Mandible    | 55       | 36                            | 9            | 2.2             |  |
| 7      | 61  | F   | Aug      | Mandibular molar                               | Mandible    | 26       | 55                            | 19           | 0.7             |  |
| 8      | 56  | F   | SL       | Maxillary sinus                                | Mandible    | 74       | 13                            | 13           | 3.8             |  |
| 9      | 63  | F   | Aug      | Mandibular molar                               | Mandible    | 61       | 25                            | 14           | 2.8             | Partial exposure of Ti-Mesh            |
| 10     | 57  | M   | SL + Aug | Maxillary sinus + molar                        | Mandible    | 60       | 11                            | 29           | 5.5             | Atrophic sinus floor <2 mm             |
| 11     | 62  | F   | SL       | Maxillary sinus                                | Mandible    | 55       | 17                            | 28           | 5.5             | Atrophic sinus floor <2 mm             |
| 12     | 57  | F   | SL       | Maxillary sinus                                | Mandible    | 46       | 25                            | 30           | 2.9             |  |
| 13     | 72  | F   | SL       | Bilateral maxillary sinuses                    | Iliac crest | 85       | 9                             | 7            | 6.9             | Atrophic sinus floor <2 mm             |
| 14     | 45  | M   | Aug      | Maxillary front                                | Mandible    | 44       | 25                            | 31           | 4.0             |  |
| 15     | 48  | M   | Aug      | Mandibular molar                               | Mandible    | 46       | 9                             | 45           | 3.7             |  |
| 16     | 45  | M   | SL + Aug | Maxillary sinus + molar                        | Mandible    | 58       | 17                            | 25           | 6.0             |  |
| 17     | 70  | M   | SL + Aug | Bilateral maxillary sinuses + mandibular molar | Mandible    | 71       | 10                            | 18           | 8.2             | Atrophic sinus floor <2 mm             |
| 18     | 76  | M   | Aug      | Mandibular molar                               | Mandible    | 40       | 37                            | 23           | 1.5             | Partial fibrosis of graft              |
| 19     | 52  | F   | Aug      | Maxillary front                                | Mandible    | 38       | 24                            | 38           | 2.1             |  |
| 20     | 65  | F   | SL       | Maxillary sinus                                | Mandible    | 40       | 37                            | 23           | 3.0             | Atrophic sinus floor <2 mm             |
| 21     | 52  | M   | Aug      | Bilateral mandibular molar                     | Mandible    | 53       | 13                            | 35           | 4.0             |  |
| 22     | 68  | M   | SL       | Maxillary sinus                                | Mandible    | 52       | 8                             | 40           | 5.2             | Atrophic sinus floor <2 mm             |
| 23     | 28  | F   | Aug      | Maxillary front-molar                          | Mandible    | 20       | 35                            | 45           | 2.0             |  |
| 24     | 57  | F   | SL       | Maxillary sinus                                | Mandible    | 48       | 13                            | 38           | 6.0             | Atrophic sinus floor <2 mm             |
| 25     | 59  | M   | SL       | Bilateral maxillary sinuses                    | Mandible    | 54       | 6                             | 40           | 7.4             | Atrophic sinus floor <2 mm             |

Aug: alveolar augmentation, SL: sinus lift, PRP glue: platelet-rich plasma glue, Ti-mesh: titanium mesh, (%): weight percentage, (g): weight in grams.



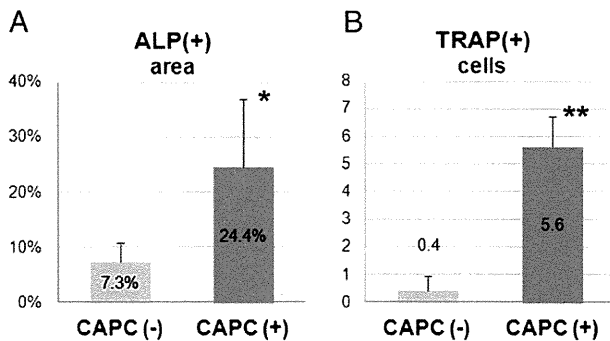
**Fig. 2.** Histological analysis of biopsy specimens recovered from the recipient sites at 4 months after bone grafting with CAPCs (A–H) or conventional bone grafting (I–L). A, C, E (H–E staining) and B, D, F, G, H (ALP–TRAP double staining): Active new-bone formation was observed in specimens recovered from the site of a bone graft with CAPCs. (A) Newly formed bone tissue surrounds the grafted particulate autogenous bone. (C) Deposition of the bone matrix is apparent inside the accumulated periosteal cell-like cells, which are similar to those observed during intramembranous bone formation. (B, D, F) Cells strongly immunopositive for ALP activity are distributed around the newly formed bone, and (C and E) blood vessels were often observed. G and H (enlarged images of B and F, respectively) show distribution of cells positive for TRAP activity (red) on the surface of the newly formed bone and grafted bone particles. I, K (H–E staining) and J, L (ALP–TRAP double staining): There are markedly fewer cells surrounding the newly formed bone in specimens recovered from the site of a conventional bone graft. (I, K) There are no blood vessels apparent and grafted autogenous bone particles remain inside the fibrous membrane. Line-like narrow areas on the surface of the newly formed bone were immunopositive for ALP, albeit more weakly than the signals observed at the site of the autogenous bone graft with CAPCs. (J, L) TRAP-positive cells are rarely seen. \*: newly formed bone, g: residual grafted autogenous bone particles.

with CAPCs was generally satisfactory, and the predictability of alveolar bone augmentation was high even in large recipient sites. Nine maxillary SL sites had a sinus floor thickness of  $\leq 2$  mm, but use of CAPCs resulted in alveolar ridge augmentation with satisfactory morphology and long-term stable bone volume in these advanced cases of atrophy. No adverse events attributable to the use of CAPCs were found. One case with a background of chronic sinusitis showed progressive alveolar resorption after the sinus lift procedure. One site of partial exposure of the titanium-mesh and one site of partial fibrosis were observed on grafts. Graft materials containing more than 50% of the PRP glue were used in some of participants in this clinical study, and it was found that using CAPCs was beneficial for the

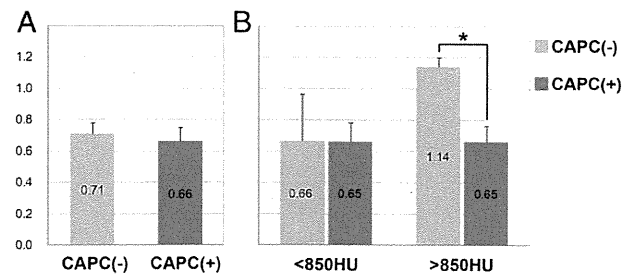
satisfactory formation and long-term maintenance of bone in these participants. In other words, use of CAPCs can reduce the amount of autogenous bone that needs harvesting.

*Recruitment of osteoblasts and osteoclasts to regenerating bone tissue*

Fig. 2A–H shows the results of the histological analysis of biopsy specimens recovered from the recipient sites at 4 months after bone grafting with CAPCs. Spaces between the autogenous bone particles were filled with newly formed bone tissue. Layers of cells strongly immunopositive for ALP were present on the surface of the newly formed bone. Recruitment of TRAP-positive cells was confirmed for autogenous bone particles and the newly formed bone. In clear

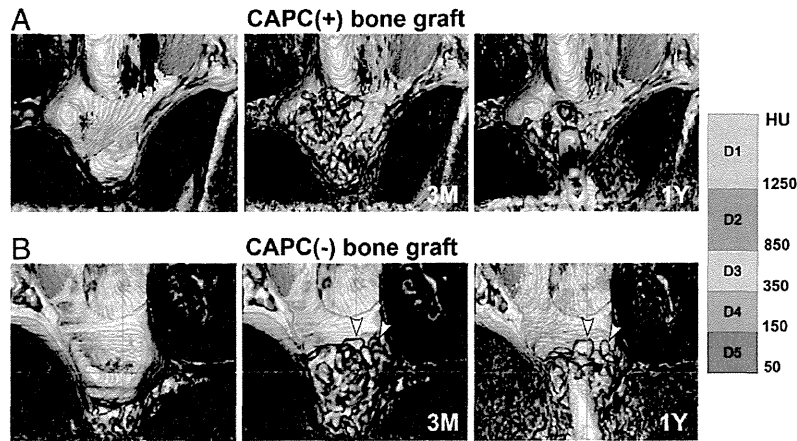


**Fig. 3.** Histomorphometric analysis of alkaline phosphatase (ALP) and the tartrate-resistant acid phosphatase activity (TRAP) of regenerated bone tissue. A: Comparative study by percentage of ALP-positive area between CAPC(+) bone grafts (n=4, 18–56 years, 44.5 years on average) and CAPC(–) bone grafts (n=4, 28–50 years, 39.0 years on average). B: Comparative study by the number of TRAP-positive cells per square between CAPC(+) bone grafts (n=5, 55–67 years, 55.6 years on average) and CAPC(–) bone graft (n=5, 28–64 years, 54.0 years on average). Analysis was done with a  $870 \times 650 \mu\text{m}^2$  square view of histological sections. \*:  $p < 0.05$ ; and \*\*:  $p < 0.001$  (by t-test).



**Fig. 4.** Volumetric measurement of augmented bone at 3 M and 1 Y after maxillary sinus lift. (A) Comparison of volumetric changes between cases of CAPC (+) bone grafting (n=4) and those of CAPC (–) bone grafting (n=3). There were no significant differences between the groups, and the volumes at 1 Y were reduced to around 70% of those at 3 M regardless of use of CAPCs. (B) Comparison of volumetric changes in the low CT density area (<850 HU) and high CT density area (>850 HU). Time-dependent volume reductions by approximately 35% were found in the low CT density area, regardless of the use of CAPCs (<850HU: left in B). In the high CT density area, similar time-dependent reductions were found only for CAPC (+) bone grafts, while time-dependent volume reductions were absent at the sites of CAPC (–) bone grafts (>850HU: right in B). HU: Hounsfield units, \*:  $p < 0.05$  (by t-test).





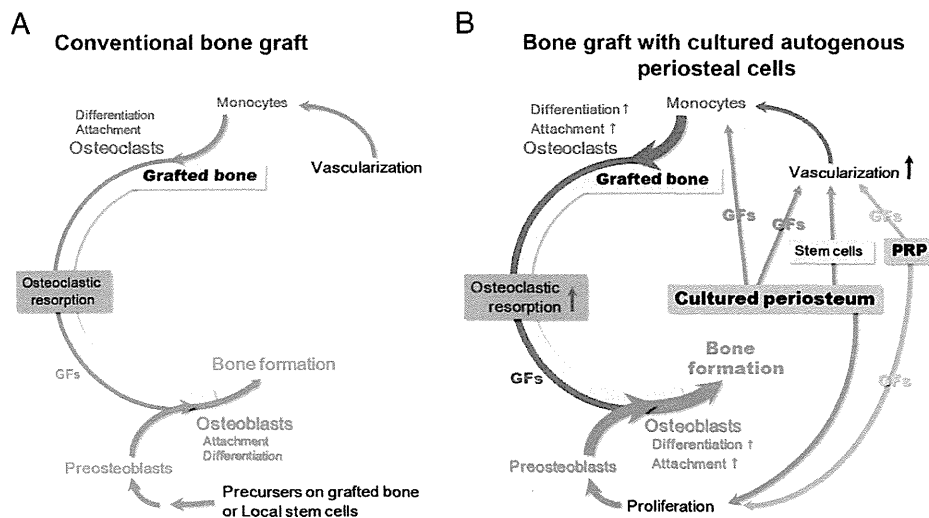
**Fig. 5.** 3D-CT images of the maxillary sinus constructed from DICOM data before surgery and at 3 months (3 M) and 1 year (1Y) after CAPC(+) bone graft (n=4, 55–59 years, 58.0 years on average) or conventional CAPC(–) bone grafting (n=3, age 35–64 years, 49.7 years on average). Color mapping of the images according to bone density as determined by Hounsfield units (HU) for CT data was applied to evaluate the quality of augmented bone. In the graft material at 3 M, many areas are depicted in light blue (D1) and blue (D2), indicative of autogenous cortical bone particles (A and B). (A) The formation of cortical bone layers with smooth surfaces is apparent on the upper surface of the augmented bone at 1Y after the CAPC (+) bone graft. (B) On the other hand, images of the site of the CAPC (–) bone graft reveals many D1 and D2 areas still remain at 1Y. Also, the same grafted cortical bone particles on the upper side of augmented bone at 3 M are exposed at 1Y after the graft (arrow heads in B).

contrast to these findings, in the biopsy specimens recovered 4 months after conventional bone grafting, markedly few cells were found around the newly formed bone, and ALP-positive signals, albeit weak, were found exclusively on the surface of the bone (Fig. 2I–L). Also, recruitment of TRAP-positive cells was negligible. Histomorphometric data revealed an increase in the ALP-positive area as well as the number of TRAP-positive cells with statistical significance (Fig. 3). These results indicate that the recruitment of both osteoblasts and osteoclasts to the regenerating bone tissue is markedly activated at the site of autogenous bone grafting with CAPC, compared to that of conventional bone grafting.

*CAPC-induced bone remodeling after autogenous bone grafting*

The volume of newly reformed bone tissue at 1Y was compared to that at 3 M in the 4 cases of maxillary SL with autologous bone and

CAPCs and in the 3 cases of maxillary SL with autologous bone only (Fig. 4). The net volume of augmented bone was obtained by subtracting the volume of the implant screw from the volume calculated from the corresponding reconstructed 3D-CT image. Change in the mean net volume of augmented bone between the two time points was similar regardless of whether CAPCs were used (Fig. 4A). When compared after categorizing the area of augmented bone according to CT density, the mean volume was 35% lower at 1Y than at 3 M in the area with a CT density <850 HU, regardless of whether CAPCs were used or not (Fig. 4B, left). On the other hand, in the high density area (CT density >850), marked time-dependent decreases were found only after bone grafting with CAPCs, while no decrease were found in conventional bone grafting with statistical significance (Fig. 4B, right). Color-coded reconstructed 3D-CT images supported these findings (Fig. 5). The D2 and D1 areas (CT density >850), depicted in blue and light blue, in the image taken at 3 M were



**Fig. 6.** Illustration of hypotheses for bone formation and resorption after (A) conventional bone grafting and (B) after bone grafting with CAPCs. (A) Bone tissue regeneration may rely on proliferation of a small population of osteogenic lineage cells after conventional bone grafting. The osteogenic and angiogenic cells are not active in the alveolar ridge, as it is surrounded by soft tissues, and therefore, recruitment and differentiation of osteoblasts and osteoclasts will be limited. (B) Grafted CAPCs may serve as a source of stem cells capable of giving rise to osteogenic progenitors and other cell types such as those necessary for angiogenesis, as well as serve as growth factor producers. Consequently, CAPCs play a comprehensive role in effectively promoting angiogenesis, and recruitment and differentiation of bone-resorbing cells. Grafted CAPCs will accelerate regeneration of functional bone with metabolic activity by supplying necessary cells and growth factors that activate both bone formation and bone resorption.



thought to correspond to cortical bone particles of mandibular origin contained in the graft material. These high CT density areas were almost absent in the 3D-CT images taken at 1Y after autogenous bone grafting with CAPCs, but a smooth surface area with high CT density areas with D1 and D2 levels was found on the surface of the augmented bone. At 1Y after conventional autogenous bone grafting, similar absorption of the augmented bone was observed, but cortical bone particles remained and were exposed at the surface of the augmented bone.

## Discussion

In this study, as part of our ongoing clinical research into CAPC use in bone augmentation prior to the placement of dental implants, we investigated the effects of CAPCs on bone regeneration in 25 patients (33 sites), and satisfactory bone regeneration was found in most cases. Augmentation that is difficult to achieve by conventional autogenous bone grafting, such as that to build bone in both the directions of height and width in the alveolar ridge or to conduct a SL of  $\geq 15$  mm in patients with a less than 2-mm-thick maxillary sinus floor, became feasible through the application of CAPCs, regardless of age and sex of the patients. Results of histological and 3D-CT analyses suggested that grafted CAPCs effectively recruited osteoblasts and osteoclasts, thereby simultaneously promoting bone formation and remodeling.

Cell therapy for alveolar bone regeneration has been well studied. Animal studies have demonstrated the efficacy of mesenchymal stromal cells derived from various tissues [20–22], dental pulp cells [23], periodontal ligament [13], and periosteal cells [5,6,8–10,24] in bone regeneration. The possible roles these cells play in bone regeneration at the graft site are giving rise to osteoblasts and the constituent cells of blood vessels, and releasing growth factors to trigger paracrine or autocrine signaling, thereby inducing cell and tissue differentiation [25]. The purpose of cell therapy is to achieve rapid and high-quality bone regeneration in a wide area, which is impossible by autogenous bone grafting and the use of bone graft substitutes and growth factors.

Despite the extensive research undertaken using animal models, only a limited number of clinical studies have examined cell-based regenerative therapy, and further, the efficacy is not uniformly conclusive [7,26–32]. Variability in cell therapy efficacy may be explained by heterogeneity in the grafted cell populations, poor regenerative potential of human tissues, and biological influence from the scaffold-forming materials used. Also, the biological properties of regenerated bone tissue induced by cell grafting may not be appropriately depicted in clinical studies, because they tend to rely on image analysis such as examining X-ray absorption rates from CT images. In the present study, we performed morphometric and quantitative analysis of newly formed bone based on histological and high-resolution 3D-CT imaging findings, and successfully depicted the functional status of the regenerated bone. Histomorphometric and histological results indicated the possibility that CAPC grafting promoted active new bone formation and bone resorption by recruiting cells immunopositive for ALP activity and TRAP-positive cells, respectively. The findings of 3D-CT image analysis consistently suggested that CAPC grafting enhanced the resorption of the cortical bone particles grafted (Figs. 4 and 5). Also, similar to the conventional procedure, autogenous bone grafting with CAPCs maintained the volume and morphology of the augmented bone (Fig. 4 and 5). Taken together, these findings suggest the idea that the regenerated bone acquires its remodeling capability at an early stage after alveolar augmentation with CAPC grafting, and that the following osseointegration will secure the dental implant that is subsequently placed. The effects of CAPCs in regenerative bone therapy may be exerted via various biological mechanisms, as illustrated in Fig. 6. For instance, CAPCs may serve as the original cell population that gives rise to osteoblasts for bone

matrix formation and to constituent cells of bone tissue such as vascular endothelial cells, as well as serve as a source of various growth factors, thereby recruiting and activating osteoclasts. The above hypothesis needs to be scientifically tested in the future.

Bone tissue engineering with CAPC grafting may enable regeneration of bone tissues with complex morphology in a wide area, and thus will expand indications for regenerative bone therapy. The autogenous bone content in the graft material is reduced to as low as 40% by use of CAPCs as of today. The less invasive approach releases the burden on patients, and also increases the volume of regenerative bone produced. However, autogenous bone particles serve as a secure scaffold for bone augmentation and thus are not replaceable. The ultimate goal is to establish procedures for CAPC culturing and grafting that enable regenerative bone therapy without harvesting bone. To achieve this goal, we must continue working on developing affordable and effective systems for regenerative bone therapy that also satisfy safety requirements.

## Disclosure statement

We declare that there is no actual or potential conflict of interest including any financial, personal or other relationships with other people or organizations within 3 years of beginning the work submitted that could inappropriately bias this work.

## Acknowledgments

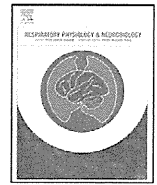
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## L-carbocysteine inhibits respiratory syncytial virus infection in human tracheal epithelial cells

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### ABSTRACT

To examine the effects of L-carbocysteine on airway infection with respiratory syncytial (RS) virus, human tracheal epithelial cells were pretreated with L-carbocysteine and infected with RS virus. Viral titer, virus RNA, and pro-inflammatory cytokine secretion, including interleukin (IL)-1 and IL-6, increased with time after infection. L-carbocysteine reduced the viral titer in the supernatant fluids, the amount of RS virus RNA, RS virus infection susceptibility, and the concentration of pro-inflammatory cytokines induced by virus infection. L-carbocysteine reduced the expression of intercellular adhesion molecule (ICAM)-1, an RS virus receptor, on the cells. However, L-carbocysteine had no effects on the expression of heparan sulfate, a glycosaminoglycan that binds to the RS virus attachment protein, or on the amount of intracellular activated-RhoA, isoform A of the Ras-homologous family, that binds to the RS virus fusion protein. These findings suggest that L-carbocysteine may inhibit RS virus infection by reducing the expression of ICAM-1. It may also modulate airway inflammation during RS virus infection.

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### 1. Introduction

Respiratory syncytial (RS) virus is one of the important pathogens responsible for common colds (Hayden and Gwaltney, 1988) and is the major cause of viral lower respiratory tract disease in infants and young children (Collins and Crowe, 2006). Relationships have been reported between wheezing-associated respiratory illness and RS virus outbreaks in children (Henderson et al., 1979), and between RS virus infection and exacerbation of chronic obstructive pulmonary disease (COPD) (Guidry et al., 1991).

The RS virus attachment protein (G protein), which binds to the receptor for RS virus (Collins and Crowe, 2006), interacts with glycosaminoglycans (GAGs) containing the disaccharides heparan sulfate and chondroitin sulfate B (Feldman et al., 1999; Hallak et al., 2000). The RS virus F glycoprotein, which also binds to the receptor for RS virus (Collins and Crowe, 2006), can interact with activated intracellular protein RhoA (Budge et al., 2003; Pастey et al., 1993), isoform A of a small guanosine triphosphatase (GTPase) of the Ras

super family (Rho, Ras-homologous) (Takai et al., 2001). ICAM-1 facilitates RS virus entry and the infection of human epithelial cells by binding to the RS virus fusion protein (F protein) (Behera et al., 2001).

The F protein promotes the fusion of the viral and cellular membranes and the subsequent transfer of the viral genome material into the cell (Collins and Crowe, 2006). The F protein also promotes syncytia formation of the infected cells (Collins and Crowe, 2006). Pastey et al. (2000) demonstrated the inhibitory effects of a RhoA-derived peptide on syncytium formation induced by RS virus. We previously reported that macrolide antibiotics inhibit RS virus infection by reducing the levels of activated RhoA and inhibiting the subsequent activation of Rho kinase in human airway epithelial cells (Asada et al., 2009). Soluble ICAM-1 also inhibits epithelial cell infection by RS virus (Behera et al., 2001). As we previously demonstrated (Yasuda et al., 2006b), L-carbocysteine reduces ICAM-1 expression in human tracheal epithelial cells and inhibits infection with rhinovirus, a major cause of common colds. However, the effects of L-carbocysteine on RS virus infection remain unclear.

Exacerbation of bronchial asthma and COPD is associated with a variety of mediators, including interleukin (IL)-6 and IL-8, the

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production and secretion of which are stimulated by RS virus in airway epithelial cells (Noah and Becker, 1993; Tripp et al., 2005). Although L-carbocisteine has been shown to reduce the production of pro-inflammatory cytokines after rhinovirus infection (Yasuda et al., 2006b), the inhibitory effects of L-carbocisteine on the induction of pro-inflammatory cytokines by RS virus infection are undetermined.

Therefore, we examined the inhibitory effects of L-carbocisteine on RS virus infection and the production of cytokines. We also investigated the mechanisms responsible for inhibition of RS virus infection.

## 2. Methods

### 2.1. Human tracheal epithelial cell culture

The isolation and culture of human tracheal surface epithelial cells were performed as previously described (Asada et al., 2009). The cells were plated at  $5 \times 10^5$  viable cells/ml in round bottom plastic tubes (16 mm diameter and 125 mm length, Becton Dickinson and Co.). The cells were immersed in 1 ml of Dulbecco's Modified Eagle's Medium (DMEM)/Ham's F-12 medium (50/50, vol/vol) (GIBCO-BRL Life Technologies, Palo Alto, CA) containing 2% ultrosor G (BioSeptra, Cergy-Saint-Christophe, France) and cultured at 37 °C in 5% CO<sub>2</sub>–95% air in an incubator. This study was approved by the Tohoku University Ethics Committee.

### 2.2. Culture of human epithelial Hep-2 cells

Human epithelial Hep-2 cells were cultured in flasks (25 cm<sup>2</sup> surface area; Becton Dickinson) in minimum essential medium (MEM) containing 5% calf serum supplemented with antibiotics and glucose, as previously described (Asada et al., 2009; Numazaki et al., 1987). The cells were then plated in plastic dishes (96-well plate, Becton Dickinson) or in plastic tubes.

### 2.3. Viral stocks

Respiratory syncytial (RS) virus was isolated in our laboratory from a patient with a common cold (Numazaki et al., 1987), and we found that the RS virus used in this study was type A (Asada et al., 2009). RS virus stocks were generated by infecting Hep-2 cells with RS virus in plastic tubes, as previously described (Asada et al., 2009).

### 2.4. Detection and titration of viruses

The detection and titration of RS viruses in the supernatant fluids of human tracheal epithelial cells were performed using the endpoint method (Condit, 2006) by infecting replicate wells of confluent Hep-2 cells in plastic 96-well dishes with serial 10-fold dilutions of virus-containing supernatant fluids, as previously described (Asada et al., 2009). To measure RS virus titers in the supernatant fluids of human tracheal epithelial cells, the fluids were added to Hep-2 cells in the wells of plastic dishes and the presence of the large syncytium, which shows typical cytopathic effects (CPE) of RS virus (Condit, 2006), was observed for 7 days. The dilution of virus-containing supernatant fluids that showed typical CPE of RS virus in greater than 50% of replicate wells and the dilution that showed CPE in less than 50% of replicate wells were estimated. Based on these data, the 50% tissue culture infective dose (TCID<sub>50</sub>) was calculated using the methods as previously described (Condit, 2006). Because the cells were cultured in tubes with 1 ml of medium, the viral titers in the supernatant fluids were expressed as TCID<sub>50</sub> units/ml (Asada et al., 2009; Condit, 2006).

### 2.5. Viral infection of human tracheal epithelial cells

Infection of human tracheal epithelial cells by RS virus was performed using previously described methods (Asada et al., 2009). A stock solution of RS virus (100 μl per tube,  $1.0 \times 10^4$  TCID<sub>50</sub> units/ml) was added to the cells in the tubes ( $2.1 \pm 0.3 \times 10^6$  cells/tube,  $n=7$ ) and incubated for 1 h at 33 °C in 5% CO<sub>2</sub>–95% air. The multiplicity of infection (moi) was  $0.5 \times 10^{-3}$  TCID<sub>50</sub> units/cell (Asada et al., 2009). The cells were then fed with 1 ml of fresh DF-12 medium containing 2% USG and cultured by rolling at 33 °C in an incubator (HDR-6-T, Hirasawa, Tokyo, Japan), as previously described (Asada et al., 2009; Numazaki et al., 1987).

### 2.6. Treatment of cells with L-carbocisteine

Human tracheal epithelial cells were treated with 10 μM L-carbocisteine from 3 days prior to RS virus infection until the end of the experiments following RS virus infection (Asada et al., 2009; Yasuda et al., 2006b) unless other concentrations or treatment periods are described. This concentration of L-carbocisteine (10 μM) was chosen because the maximum concentration of L-carbocisteine in the serum was 78 μM at 2 h after the oral ingestion of 1500 mg of L-carbocisteine, and mean serum concentration was 4.9 μM at 10 h after ingestion (De Schutter et al., 1988).

To study the relationship between pre-incubation time and the potency of the inhibitory effects, we examined the effects of pre-treatment time on viral titer in supernatant fluids. Human tracheal epithelial cells were pretreated with L-carbocisteine for periods ranging from 0 to 72 h. In preliminary experiments, we found that consistent inhibitory effects were obtained when the cells were pretreated with L-carbocisteine for 72 h. Therefore, cells were pretreated with L-carbocisteine for 72 h (3 days) in this study.

We also studied the relationship between the concentration of L-carbocisteine and the potency of the inhibitory effects.

L-carbocisteine was dissolved in 0.1 N of NaOH and then neutralized with 0.1 N of HCl in this study, according to the manufacturer's instructions.

### 2.7. Collection of supernatant fluids for viral titer measurements

Supernatant fluids (1 ml) were collected at 2 h, 1 day (24 h), 3 days or 5 days after RS virus infection, as previously described (Asada et al., 2009).

To measure RS virus release during the first 24 h, we used 2 separate cultures from the same trachea. We collected the supernatant fluids at either 2 h or 24 h after RS virus infection. We also collected supernatant fluids at 3 days (72 h) and 5 days (120 h). At 1 day (24 h) and 3 days (72 h) after infection, supernatant fluids were collected, fresh medium was replaced, and the cell culture was continued.

### 2.8. The effects of L-carbocisteine on susceptibility to RS virus infection

The effects of L-carbocisteine on susceptibility to RS virus infection were examined as previously described (Asada et al., 2009). The human tracheal epithelial cells were treated with 10 μM L-carbocisteine from 3 days prior to RS virus infection until just after infection. The cells were then exposed to serial 10-fold dilutions of RS virus for 1 h at 33 °C. The presence of RS virus in the supernatant fluids collected 3–5 days after infection was determined using the methods described above (Section 2.4).

### 2.9. Quantification of RS virus RNA

RS virus RNA and rRNA expressions were quantified in human tracheal epithelial cells following RS virus infection. Real-time

quantitative RT-PCR using the TaqMan technique (Roche Molecular Diagnostic Systems) was performed on RNA extracted from the RS virus-infected cells as previously described (Asada et al., 2009; Yamaya et al., 2011).

In the first step, cDNA was generated from RS virus RNA with the QuantiTect Reverse Transcription Kit (Qiagen) using the RS virus reverse primer (5'-TGTCCTCAGCTTTTGGATATCATC-3').

In the second step, real-time PCR was performed using cDNA generated from RS virus RNA with a TaqMan® Gene Expression Master Mix (Asada et al., 2009; Yamaya et al., 2011). A sample of the cDNA produced in the first step was mixed with TaqMan Gene Expression Master Mix, a forward primer (5'-TGGTGTAGTTGGAGTGCTAGAGAGAGTT-3'), a reverse primer (5'-TGTCCTCAGCTTTTGGATATCATC-3'), and a Taqman probe [5'-(FAM) CTAACAATCAGCATGTGTTGCCATGAGCA (TAMRA)-3'] for the RS virus, and RNAase-free water.

To quantify the rRNA, the conversion of rRNA to cDNA and real-time PCR were performed using the same two-step process described above. A forward primer (5'-GCACCTTCTGTTCCAGGAGC-3'), a reverse primer (5'-CGGACACCCAAAGTAGTCGGT-3'), and Taqman probe (5'-[FAM] CCTTAAACCGTTATCCGCCA [TAMRA]-3') were designed for rRNA.

The minimum PCR cycle required to detect the fluorescent signal was defined as the cycle threshold ( $C_T$ ) of the RS virus RNA and rRNA, and quantitative data were obtained as previously described (Asada et al., 2009; Yamaya et al., 2011).

#### 2.10. Measurement of ICAM-1 expression

The ICAM-1 mRNA was examined by two-step real-time RT-PCR analysis using the same methods described for the RS virus RNA. A forward primer (5'-GCACCTTCTGTTCCAGGAGC-3'), a reverse primer (5'-CGGACACCCAAAGTAGTCGGT-3'), and a Taqman probe (5'-[FAM] CCTTAAACCGTTATCCGCCA [TAMRA]-3') were designed for ICAM-1. The expression of ICAM-1 mRNA was normalized to the constitutive expression of rRNA. The concentration of sICAM-1 in the supernatant fluids was measured with an enzyme immunoassay (EIA) (Yamaya et al., 2011).

#### 2.11. Measurement of RhoA activation

RhoA activation was assessed using a previously described method (Asada et al., 2009; Chikumi et al., 2002; Kadowaki et al., 2004; Yamaguchi et al., 2001). A GTP-bound form of RhoA (RhoA-GTP) associated with a GST-Rho-binding domain (GST-RBD) was reported to show RhoA activation (Chikumi et al., 2002; Kadowaki et al., 2004; Yamaguchi et al., 2001). RhoA-GTP levels were quantified by western blot analysis. In brief, human tracheal epithelial cells were pretreated with 10  $\mu$ M L-carbocysteine for 3 days. After stimulation with lysophosphatidic acid (LPA) (1  $\mu$ M for 5 min) (Mills and Moolenaar, 2003), the cells were lysed and incubated with a glutathione S-transferase (GST) fusion protein that included the Rho-binding domain (RBD) of rhotekin. RhoA-GTP associated with GST-RBD was quantified by western blot analysis using a monoclonal antibody against RhoA (26C4; Santa Cruz Biotechnology, Santa Cruz, CA). The western blot membranes were subsequently incubated with suitable horseradish peroxidase-coupled secondary antibodies. The bands were visualized using an ECL chemiluminescence kit (Amersham Biosciences, Piscataway, NJ) and CCD camera. The bands were quantified by densitometric scanning using the ImageJ imaging processing program (<http://rsb.info.nih.gov/ij/index.html>) (Hegab et al., 2008).

#### 2.12. Measurement of heparan sulfate

Expression of heparan sulfate, a glycosaminoglycan (GAG) that binds to the RS virus G protein, was measured by flow cytometry (Dehecchi et al., 2001). Cultured human tracheal epithelial cells in 6-well plates were rinsed with PBS without magnesium or calcium and treated with 1 ml of a nonenzymatic EDTA-containing cell dissociation solution (Cell Dissociation Solution Non-enzymatic 1 $\times$ ®, Sigma, St. Louis, MO, USA) for 10 min (Wu et al., 1997). Detached cells were then collected, and cells ( $2 \times 10^7$ /ml) in 0.5% casein-PBS were incubated with 20 mg/ml of F58-10E4 immunoglobulin M monoclonal antibody (Seikagaku Co., Tokyo, Japan) directed against heparan sulfate for 2 h at 4 °C, followed by incubation with 50 mg/ml fluorescein-conjugated goat anti-mouse immunoglobulin M antibody (Sigma) for 30 min at 4 °C in PBS. The cells were fixed with 4% formaldehyde in PBS and analyzed using a FACScan flow cytometer (Becton Dickinson).

Furthermore, the concentration of heparan sulfate in the supernatant fluids of human tracheal epithelial cells was measured by specific enzyme-linked immunosorbent assays (ELISAs) using the Heparan Sulfate ELISA Kit (Seikagaku Co., Tokyo, Japan) (Raats et al., 1997).

#### 2.13. Measurement of cytokine production

We measured the concentration of IL-1 $\beta$ , IL-6 and IL-8 in the supernatant fluids of human tracheal epithelial cells by ELISA, as previously described (Asada et al., 2009). We measured the secretion of cytokines before infection and at 3 days after infection with RS virus, which was when the maximum cytokine secretion was observed.

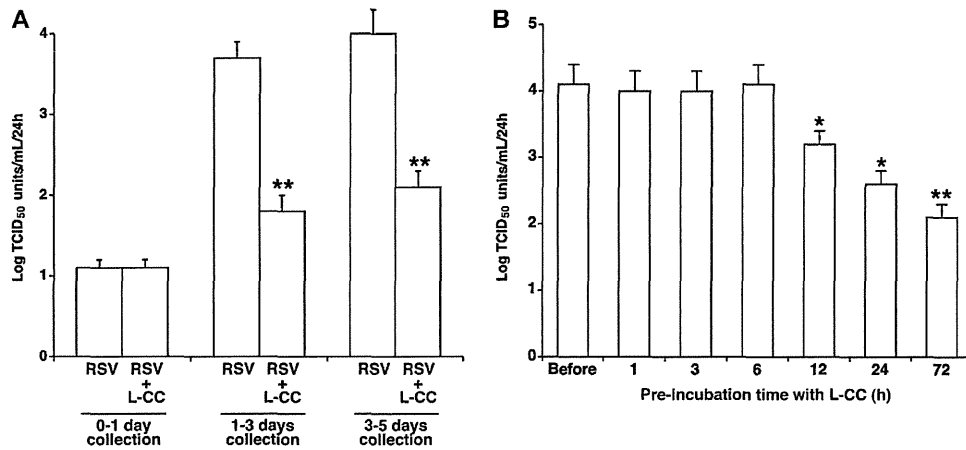
#### 2.14. Statistical analysis

The results are expressed as the mean  $\pm$  SEM. Statistical analysis was performed using one-way analysis of variance (ANOVA). Subsequent post hoc analysis was performed using Bonferroni's method. For all analyses, values of  $p < 0.05$  were assumed to be significant. In the experiments using cultures of human tracheal epithelial cells,  $n$  refers to the number of donors (tracheae) from which cultured epithelial cells were used.

### 3. Results

#### 3.1. The effects of L-carbocysteine on RS virus infection of human tracheal epithelial cells

Exposure of confluent human tracheal epithelial cell monolayers to RS virus ( $0.5 \times 10^{-3}$  TCID<sub>50</sub> units/cell) consistently led to infection. The supernatant fluids from human tracheal epithelial cells 2 h after RS virus infection did not contain a significant amount of viruses. Hep-2 cells did not show any syncytia formation, which indicates the typical cytopathic effects (CPE) of RS virus, when the supernatant fluids were collected from human tracheal epithelial cells at 2 h after RS virus infection and added to the Hep-2 cells (data not shown). However, the supernatant fluids of human tracheal epithelial cells at 1 day (24 h) after RS virus infection contained a significant amount of viruses (Fig. 1A). The addition of supernatant fluids from human tracheal epithelial cells, which were collected at 1 day after infection, resulted in syncytia formation in the Hep-2 cells (data not shown). RS virus was detected in supernatant fluids at 1 day after infection, and the viral content progressively increased between 1 and 5 days after infection (Fig. 1A). RS virus infection of the cells was constant, and evidence of continuous viral production was obtained by demonstrating that each batch of supernatant fluid collected during the intervals from 0 to 1 day,



**Fig. 1.** (A) Time course of RS viral titers in the supernatant fluids of human tracheal epithelial cells after exposure to RS virus in the presence of L-carbocisteine (10  $\mu$ M) (RSV + L-CC) or a vehicle (0.1% double-distilled water) (RSV). The rates of change in the RS virus concentration in the supernatant fluids are expressed as TCID<sub>50</sub> units/ml/24 h. The results are reported as the mean  $\pm$  SEM of five different tracheae. Significant differences in comparison to viral infection alone (RSV) are indicated by asterisks (\*\* $p$  < 0.01). (B) Viral titers in the supernatant fluids collected during the intervals 3–5 days after infection from the cells pretreated with L-carbocisteine (L-CC) for periods ranging from 0 to 72 h. The viral titers in supernatant fluids are expressed as TCID<sub>50</sub> units/ml/24 h. The results are reported as the mean  $\pm$  SEM of five different tracheae. Significant differences in comparison to viral infection alone (before) are indicated by asterisks (\* $p$  < 0.05 and \*\* $p$  < 0.01).

1 to 3 days and 3 to 5 days after infection contained significant levels of RS virus (Fig. 1A). The viral titers in the supernatant fluids increased significantly with time over the 5 days of observation ( $p$  < 0.05 in each case by ANOVA).

Treatment of the human tracheal epithelial cells with 10  $\mu$ M L-carbocisteine significantly decreased the viral titers in the supernatant fluids collected during the intervals 1–3 days and 3–5 days after infection (Fig. 1A), while the viral titers in the supernatant fluids collected during the 0–1 day interval in the cells treated with L-carbocisteine did not differ from those in the cells treated with vehicle (0.1% double distilled water) (Fig. 1A).

In the cells pretreated with L-carbocisteine (10  $\mu$ M), a significant reduction of the viral titer was observed when the cells were pre-incubated for 12 h or longer (Fig. 1B). The reduction in viral titer in the supernatant fluids depended on the pre-incubation time, and viral titers in the cells pretreated with L-carbocisteine for 72 h were lower than those in the cells pretreated for 24 h (Fig. 1B).

L-carbocisteine reduced the viral titer in the supernatant fluids in a dose-dependent manner, and the maximum effect was obtained at 100  $\mu$ M (Fig. 2).

To determine whether or not L-carbocisteine-induced cytotoxic effects caused cell detachment of confluent cells in the culture vessels of the plastic tubes, cell numbers were counted after treatment with L-carbocisteine or vehicle. L-carbocisteine treatment (10  $\mu$ M; 5 days) did not have any effect on the number of human tracheal epithelial cells ( $2.1 \times 10^6$  cells/tube in vehicle treatment vs.  $2.0 \times 10^6$  cell/tube in L-carbocisteine treatment) ( $p$  > 0.50;  $n$  = 3). Cell viability, assessed by trypan blue exclusion (Yasuda et al., 2006b), was consistently >96% in the carbocisteine-treated culture. Furthermore, L-carbocisteine treatment did not alter the amount of lactate dehydrogenase (LDH) in the supernatant fluids of human tracheal epithelial cells. The amount of LDH in the supernatant fluids was  $30 \pm 2$  IU/l after treatment with vehicle, and  $31 \pm 2$  IU/l after L-carbocisteine treatment (10  $\mu$ M; 5 days) ( $p$  > 0.50;  $n$  = 3).

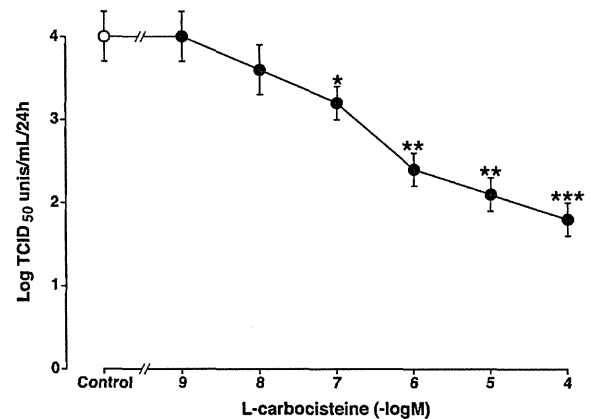
### 3.2. The effect of L-carbocisteine on viral RNA by PCR

RNA extraction was performed at 72 h and 120 h after RS virus infection. RS viral RNA replication in the cells was consistently

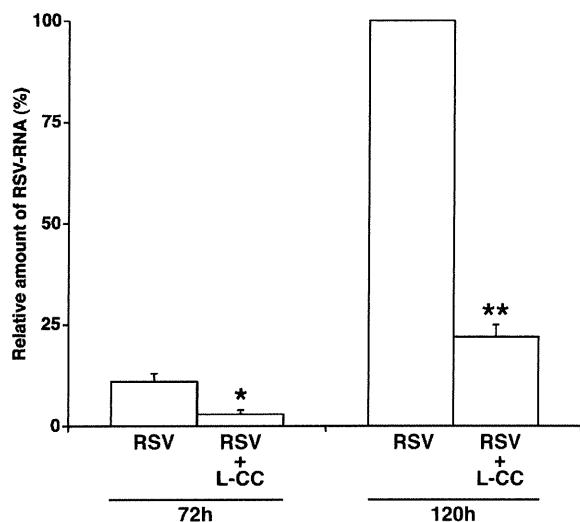
observed at 72 h and 120 h after infection (Fig. 3) and increased between 72 h and 120 h after infection (Fig. 3). L-carbocisteine (10  $\mu$ M) decreased the amount of RS viral RNA present at 72 and 120 h after infection (Fig. 3).

### 3.3. The effect of L-carbocisteine on susceptibility to RS virus infection

Treatment of the human tracheal epithelial cells with L-carbocisteine (10  $\mu$ M) decreased the susceptibility of the cells to infection by RS virus. The minimum dose of RS virus necessary to cause infection in the cells treated with L-carbocisteine (10  $\mu$ M, 3 days) ( $3.3 \pm 0.2$  TCID<sub>50</sub> units/ml,  $n$  = 5,  $p$  < 0.05) was significantly higher than that for the cells treated with the vehicle alone ( $2.2 \pm 0.2$  TCID<sub>50</sub> units/ml,  $n$  = 5).



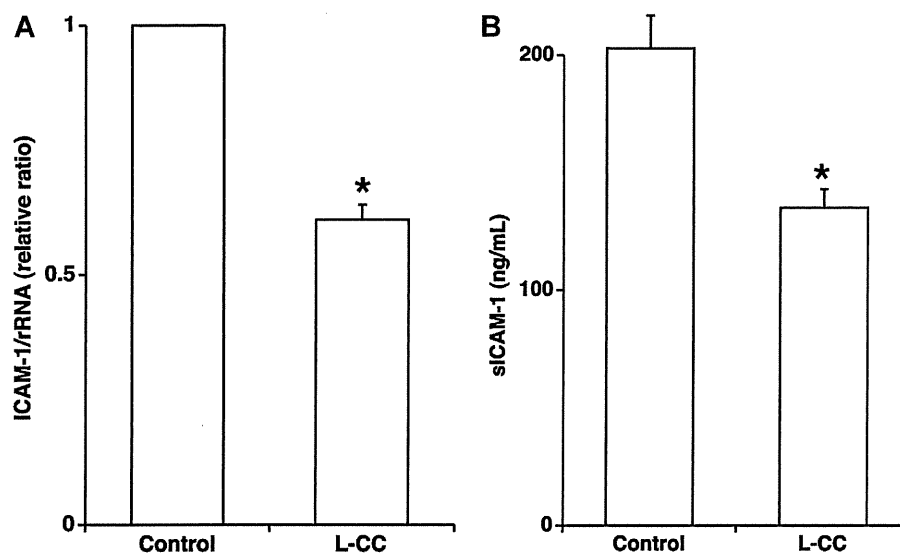
**Fig. 2.** A dose–response curve for the effect of L-carbocisteine on viral titer in the supernatant fluids collected during the intervals 3–5 days after infection. The human tracheal epithelial cells were treated with either L-carbocisteine or vehicle (control) from 3 days prior to RS virus infection until the end of the experimental period after RS virus infection. Viral titers in the supernatant fluids are expressed as TCID<sub>50</sub> units/ml/24 h. The results are reported as the mean  $\pm$  SEM of five different tracheae. Significant differences from the vehicle alone (control) are indicated by asterisks (\* $p$  < 0.05, \*\* $p$  < 0.01 and \*\*\* $p$  < 0.001).



**Fig. 3.** Replication of RS virus RNA in human tracheal epithelial cells infected with RS virus in the presence of L-carbocisteine (10  $\mu$ M; RSV+L-CC) or a vehicle (control; RSV). The results are expressed as a percentage of the maximal RS virus RNA expression measured on day 5 (120 h) in the vehicle-treated cells, and the results are reported as the mean  $\pm$  SEM of five samples. Significant differences from the vehicle treatment (RSV) at each time point are indicated by asterisks (\* $p$  < 0.05 and \*\* $p$  < 0.01). The RS virus RNA level on day 5 (120 h) in the vehicle-treated cells was  $0.14 \pm 0.02$  ( $n=5$ ) relative to the amount of rRNA.

#### 3.4. The effect of L-carbocisteine on the ICAM-1 expression

L-carbocisteine (10  $\mu$ M, 72 h) reduced the baseline mRNA expression of ICAM-1 by approximately 40% in comparison to human tracheal epithelial cells treated with the vehicle alone before RS virus infection (Fig. 4A). Furthermore, the concentrations of sICAM-1 in the supernatant fluids of the cells treated with L-carbocisteine (10  $\mu$ M) were significantly lower than in the cells treated with the vehicle alone before the RS virus infection (Fig. 4B).



**Fig. 4.** (A) ICAM-1 mRNA expression in uninfected cells treated with L-carbocisteine (L-CC, 10  $\mu$ M) or a vehicle (control), as detected by real-time quantitative RT-PCR. Human tracheal epithelial cells isolated from the same donors were treated with either L-carbocisteine or vehicle. ICAM-1 mRNA was normalized to the constitutive expression of ribosomal RNA (rRNA). The ICAM-1 mRNA expression in the cells treated with the vehicle (control) was set to 1.0. The results are reported as the mean  $\pm$  SEM of five different tracheae. Significant differences from the control values are indicated by an asterisk (\* $p$  < 0.05). (B) The concentrations of sICAM-1 in the supernatant fluids from uninfected human tracheal epithelial cells treated with L-carbocisteine (L-CC, 10  $\mu$ M) or a vehicle (control). The concentrations of sICAM-1 in the supernatant fluids are expressed as ng/ml. The results are expressed as the mean  $\pm$  SEM of five different tracheae. Significant differences from the control values are indicated by an asterisk (\* $p$  < 0.05).

#### 3.5. The effect of L-carbocisteine on RhoA activation

A GTP-bound form of RhoA (GTP-bound RhoA, RhoA-GTP) associated with a GST-Rho-binding domain (GST-RBD) was reported to show RhoA activation (Chikumi et al., 2002; Kadowaki et al., 2004; Yamaguchi et al., 2001). On a western blot, the band corresponding to RhoA-GTP was faintly visible in the baseline condition, and the density of the RhoA-GTP band was increased after cellular stimulation with lysophosphatidic acid (LPA, 1  $\mu$ M for 5 min) (data not shown). The relative ratio of the band density of RhoA-GTP to that of total RhoA in the human tracheal epithelial cells stimulated with LPA was  $0.87 \pm 0.03$  ( $n=5$ ). L-carbocisteine (10  $\mu$ M) did not reduce the density of the RhoA-GTP bands ( $0.85 \pm 0.03$ ,  $n=5$ ,  $p > 0.20$ ) in the cells stimulated with LPA.

#### 3.6. The effect of L-carbocisteine on the expression of heparan sulfate

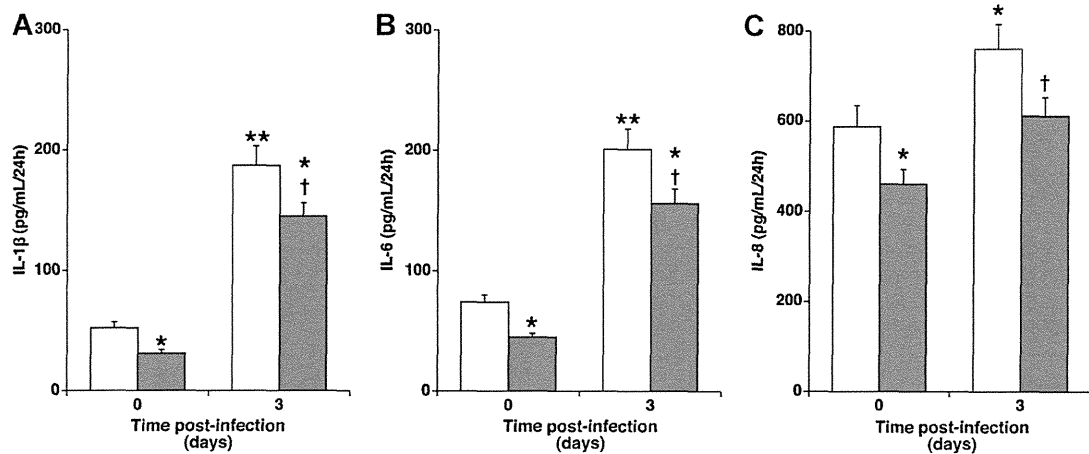
Primary cultures of human tracheal epithelial cells consistently expressed heparan sulfate, as detected by flow cytometry. Analyzed by flow cytometry, the fluorescence intensity of the cells treated with L-carbocisteine (10  $\mu$ M) ( $17.8 \pm 1.8$ ,  $n=5$ ) did not differ from that of the cells treated with vehicle alone ( $19.2 \pm 1.6$ ,  $n=5$ ,  $p > 0.20$ ) prior to the RS virus infection.

Likewise, a significant amount of heparan sulfate was observed in the supernatant fluids of the human tracheal epithelial cells. The concentrations of heparan sulfate in the supernatant fluids of the cells treated with L-carbocisteine (10  $\mu$ M) did not differ from those of the cells treated with the vehicle alone before the RS virus infection. In ELISA assays, the absorbance intensity in the supernatant fluids of the cells treated with L-carbocisteine ( $4.8 \pm 0.4$ ,  $n=5$ ) did not differ from that of the cells treated with the vehicle alone ( $4.7 \pm 0.4$ ,  $n=5$ ,  $p > 0.50$ ).

#### 3.7. The effect of L-carbocisteine on cytokine production

The secretion of IL-1 $\beta$ , IL-6 and IL-8 all increased in the supernatant fluids of human tracheal epithelial cells after RS virus





**Fig. 5.** The release of cytokines into the supernatant fluids of human tracheal epithelial cells prior to infection (time 0; for 24 h before infection) and the fluids collected during the intervals 1–3 days after RS virus infection in the presence of either L-carbocisteine (10  $\mu$ M; gray bars) or vehicle (white bars). The rates of change in cytokine concentrations in the supernatant fluids are expressed as pg/ml/24 h. The results are reported as the mean  $\pm$  SEM of five different tracheae. Significant differences from the values prior to RS virus infection in the presence of vehicle (white bars, time 0) are indicated by asterisks (\* $p$  < 0.05 and \*\* $p$  < 0.01). Significant differences from the values with RS virus plus vehicle 3 days after RS virus infection (white bars, time 3 days) are indicated by plus signs ( $†p$  < 0.05).

infection (Fig. 5), and the maximum secretion was observed 3 days after the infection (data from days 1 and 5 not shown). Treatment with L-carbocisteine (10  $\mu$ M) reduced the concentrations of IL-1 $\beta$ , IL-6 and IL-8 produced 3 days after RS virus infection and the baseline concentrations of these cytokines before the RS virus infection (Fig. 5).

#### 4. Discussion

In this study, we showed that RS virus titers in the supernatant fluids and the amount of RS virus RNA in the human tracheal epithelial cells increased with time. A mucolytic agent, L-carbocisteine, reduced the titers of RS virus in the supernatant fluids in a dose-dependent manner, in addition to reducing RS virus RNA replication and susceptibility to RS virus infection. L-carbocisteine inhibited the expression of ICAM-1, an RS virus receptor (Behera et al., 2001), but did not inhibit the activation of RhoA, which is associated with RS virus infection via binding to its F protein (Budge et al., 2003; Pastey et al., 1993). L-carbocisteine did not reduce the expression of heparan sulfate, a GAG that binds to the RS virus G protein (Feldman et al., 1999; Hallak et al., 2000). These findings suggest that L-carbocisteine may inhibit RS virus infection, partly through the reduced expression of ICAM-1, in human airway epithelial cells. L-carbocisteine may also modulate the airway inflammation that is induced by RS virus infection.

Hep-2 cells did not show any syncytia formation when the supernatant fluids were collected at 2 h after RS virus infection and added to the Hep-2 cells. In contrast, supernatant fluids collected at 1 day (24 h) after infection induced syncytia formation in Hep-2 cells, which demonstrates that the supernatant fluids of human tracheal epithelial cells collected 1 day after infection contained significant amounts of RS virus. These findings suggest that supernatant fluids collected at 1 day after infection contained significant amounts of RS virus, which was newly produced after infection.

RhoA, an isoform A of the Rho family (Takai et al., 2001), has various functions including stimulus-induced cell adhesion and motility, the enhancement of contractile responses, and cytokinesis (Narumiya, 1996). Furthermore, the activated form of RhoA moves to the cell membrane and is implicated in RS virus infection via binding to its F protein (Collins and Crowe, 2006; Pastey et al., 1993). Behera et al. (2001) demonstrated that RS virus colocalizes with ICAM-1 on the Hep-2 cell surface, and a neutralizing

anti-ICAM-1 antibody inhibits RS virus infection. Incubation of the virus with soluble ICAM-1 inhibited RS virus infection of epithelial cells, and RS virus binds to ICAM-1, which can be inhibited by an antibody to the fusion F protein. The recombinant F protein can bind to soluble ICAM-1. These findings suggest that ICAM-1 facilitates RS virus entry and the infection of human epithelial cells by binding to the RS virus F protein (Behera et al., 2001). Iesato et al. (2008) reported that a long-acting anti-cholinergic agent, tiotropium, reduces RS virus replication partly through the inhibition of ICAM-1 expression in Hep-2 cells. Reduced expression of ICAM-1 in human tracheal epithelial cells, as observed in this study, is consistent with the findings of a previous report (Yasuda et al., 2006b). L-carbocisteine might inhibit RS virus infection, partly through the reduced expression of ICAM-1, in human airway epithelial cells in this study, whereas it might not inhibit the activation of RhoA.

Heparan sulfate and chondroitin sulfate also act as receptors for the RS virus (Collins and Crowe, 2006). We examined the effects of L-carbocisteine on the expression of heparan sulfate. However, L-carbocisteine did not reduce the expression of heparan sulfate in human tracheal epithelial cells, and the concentrations of heparan sulfate in the supernatant fluids from the cells treated with L-carbocisteine did not differ from those from cells treated with the vehicle alone.

In this study, RS virus infection increased the production of IL-1 $\beta$ , IL-6 and IL-8. L-carbocisteine reduced the production of IL-1 $\beta$ , IL-6 and IL-8 after RS virus infection. L-carbocisteine also reduced viral titers in the supernatant fluids. However, L-carbocisteine reduced the baseline production of these cytokines prior to RS virus infection. Reduced production of cytokines by L-carbocisteine in the absence of virus infection is consistent with the results in a previous report (Yasuda et al., 2006b). Therefore, these findings suggest that the reduced production of these cytokines in the cells treated with L-carbocisteine after RS virus infection might be caused by two mechanisms: the inhibitory effects of L-carbocisteine on RS virus infection and its effects on cytokine production.

A relationship has been reported between RS virus infection and development of exacerbations of COPD (Guidry et al., 1991). L-carbocisteine reduces the frequency of the common cold (Tatsumi and Fukuchi, 2007; Yasuda et al., 2006a) and the frequency of exacerbations (Tatsumi and Fukuchi, 2007; Yasuda et al., 2006a; Zheng et al., 2008) in COPD patients. Although another mucolytic

agent, N-acetylcysteine, has no significant effect on the treatment of asthma exacerbation (Aliyali et al., 2010), carbocysteine reduces the cough reflex in asthmatic patients (Ishiura et al., 2003). Thus, L-carbocysteine may have clinical benefits in the management of bronchial asthma and COPD.

In summary, this is the first report that a mucolytic agent, L-carbocysteine, inhibits RS virus infection and decreases the susceptibility of cultured human tracheal epithelial cells to RS virus infection by reducing levels of ICAM-1, a RS virus receptor. L-carbocysteine also reduced the baseline and RS virus infection-induced secretion of pro-inflammatory cytokines, including IL-1 $\beta$ , IL-6 and IL-8. L-carbocysteine may modulate airway inflammation after RS virus infection.

### Conflicts of interest

We declare no conflicts of interest.

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## Original Article

## The association between sleep problems and perceived health status: A Japanese nationwide general population survey

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## ABSTRACT

**Objective:** Sleep problems in humans have been reported to impact seriously on daily function and to have a close association with well-being. To examine the effects of individual sleep problems on physical and mental health, we conducted a nationwide epidemiological survey and examined the associations between sleep problems and perceived health status.

**Methods:** Cross-sectional surveys with a face-to-face interview were conducted in August and September, 2009, as part of the Nihon University Sleep and Mental Health Epidemiology Project (NUSMEP). Data from 2559 people aged 20 years or older were analyzed (response rate 54.0%). Participants completed a questionnaire on perceived physical and mental health statuses, and sleep problems including the presence or absence of insomnia symptoms (i.e., difficulty initiating sleep [DIS], difficulty maintaining sleep [DMS], and early morning awakening [EMA]), excessive daytime sleepiness (EDS), poor sleep quality (PSQ), short sleep duration (SSD), and long sleep duration (LSD).

**Results:** The prevalence of DIS, DMS, and EMA was 14.9%, 26.6%, and 11.7%, respectively, and 32.7% of the sample reported at least one of them. At the complaint level, the prevalence of EDS, PSQ, SSD, and LSD was 1.4%, 21.7%, 4.0%, and 3.2%, respectively. Multiple logistic regression analyses revealed that DMS, PSQ, SSD, and LSD were independently associated with poor perceived physical health status; DIS, EDS, and PSQ were independently associated with poor perceived mental health status.

**Conclusions:** This study has demonstrated that sleep problems have individual significance with regard to perceived physical or mental health status.

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## 1. Introduction

Insomnia has been recognized as one of the most common difficulties in modern society. Epidemiological studies have reported that the prevalence of insomnia symptoms in the general population ranges from 17.3% to 48% [1–3] and is consistent when the insomnia criteria used are comparable.

The restorative function of sleep is undoubtedly essential for maintenance of both physical and mental health. Previous studies in several countries have indicated that insomnia is associated with perceived health [4–20]. Léger et al. [15] reported that the

severity of insomnia was correlated with perceived health, and Hajak [12] found that impairment of perceived health in individuals with severe insomnia was somewhat greater than that in individuals with long-standing physical illness.

Apart from insomnia, excessive daytime sleepiness (EDS) [9,17], short sleep duration (SSD) [18,21–23], long sleep duration (LSD) [18,21,23], and poor sleep quality (PSQ) [24] have also been associated with poor perceived health.

Several studies have suggested that sleep problems disturb both perceived physical and mental health [8,9,12,14–16], while recently it has been suggested that sleep problems have different effects on physical and mental health [11,17,20]. A cross-sectional study of older women suggested that sleep difficulty was significantly associated with poor perceived mental health, but not with poor perceived physical health [11]. A study of hypnotic medication use suggested that this was associated with deterioration of

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physical health, but not mental health [20]. A retrospective study found that insomnia was associated with changes in perceived mental health, but not with changes in perceived physical health [17].

With regard to the association between sleep problems and perceived health, most previous studies did not focus on the subtypes of sleep problems, i.e., difficulty initiating sleep (DIS), difficulty maintaining sleep (DMS), or early morning awakening (EMA). More recently, a 3-year follow-up study of an elderly population demonstrated that sleep-onset insomnia, but not other subtypes of insomnia, was a risk factor for depression [25]. A 12-year follow-up study of community-dwelling adults showed that sleep-maintenance insomnia, but not other subtypes, was a significant risk factor for the development of type 2 diabetes mellitus, suggesting that the consequences of various insomnia subtypes may differ [26]. Furthermore, few previous studies selected subjects from the general adult population; in most cases, the subjects were selected from a particular age group or community.

Here we conducted an epidemiological study of sleep problems and perceived health status in a large sample of the Japanese general adult population. We investigated the associations between sleep problems and perceived physical and mental health status, focusing on sleep problem subtypes. Our particular interest was focused on the associations of individual sleep problems with perceived physical and mental health statuses by adjusting for confounding relationships.

## 2. Methods

### 2.1. Selection of subjects

The Nihon University Sleep and Mental Health Epidemiology Project (NUSMEP) was conducted in August and September, 2009. This study was part of an omnibus survey commissioned to a polling agency. A three-stage stratified sampling method was used. Municipalities were stratified into 31 units representing 12 geographical blocks and three types of city scale (metropolises, other cities, and towns and villages) in proportion to the population distribution in 2008. At the first stage, the target unit was randomly selected from 31 units. At the second stage, a total of 8000 houses were randomly selected from a digital house map of each target unit. At the third stage, the interviewer visited the houses and found that residents were present in 4738 of them. An individual aged 20 years or older was randomly selected from each house. Finally 2559 individuals gave oral informed consent and participated in the survey (response rate 54.0%), completing a face-to-face interview with a trained interviewer by reference to a panel-listed structural questionnaire. For the present report, we obtained the electronic data file for the relevant interview component, with no personal identifiers.

The study was approved by the ethics committee of the Nihon University School of Medicine.

### 2.2. Procedures

#### 2.2.1. Perceived physical and mental health statuses

Perceived physical health status was assessed with the question: "What do you think about your physical health status?" ("very sufficient," "sufficient," "normal," "insufficient," or "very insufficient"). Perceived mental health status was assessed with the question: "What do you think about your mental health status?" ("very sufficient," "sufficient," "normal," "insufficient," or "very insufficient"). For each question, the responses "insufficient" and "very insufficient" were considered to indicate "poor perceived physical or mental health status", and "normal", "suffi-

cient", and "very sufficient" were considered to indicate "good perceived physical or mental health status", thus dichotomizing the responses for multiple logistic regression analysis.

#### 2.2.2. Sleep problems

We drew up seven questions that allowed us to infer patterns of sleep disturbance in the subjects, with reference to the Japanese version of the Pittsburgh Sleep Quality Index (PSQI) [27,28]. The following questions about sleep experienced during the previous month were included in the questionnaire:

1. How often have you had difficulty falling asleep? ("not at all," "less than once a week," "once or twice a week," or "three or more times a week"): difficulty initiating sleep (DIS).
2. How often have you woken up frequently at night? ("not at all," "less than once a week," "once or twice a week," or "three or more times a week"): difficulty maintaining sleep (DMS).
3. How often have you woken up too early in the morning? ("not at all," "less than once a week," "once or twice a week," or "three or more times a week"): early morning awakening (EMA).
4. How often have you had trouble staying awake while driving, eating meals, or engaging in social activity? ("not at all," "less than once a week," "once or twice a week," or "three or more times a week"): excessive daytime sleepiness (EDS).
5. How often have you taken medicine to help you sleep (prescribed or "over the counter")? ("not at all," "less than once a week," "once or twice a week," or "three or more times a week"): hypnotic medication use.
6. How do you rate your sleep quality overall? ("very good," "fairly good," "fairly bad," or "bad"): poor sleep quality (PSQ).
7. How many hours of actual sleep do you get at night?: sleep duration.

For questions 1–4, participants who answered "once or twice a week," or "three or more times a week" were classified as having symptoms.

For question 5, participants who answered "less than once a week", "once or twice a week," or "three or more times a week" were classified as "taking hypnotic medication."

For question 6, participants who answered "fairly bad" or "bad" were classified as having "PSQ".

For question 7, participants who answered "less than 5 h" were categorized as having "short sleep duration (SSD)" and those who answered "more than 9 h" were categorized as having "long sleep duration (LSD)."

#### 2.2.3. Sociodemographic characteristics

Variables analyzed included gender, age, educational achievement, marital status, and city scale. Age was divided into three groups: 20–39 years, 40–59 years, and 60 years of age and older. Educational achievement was divided into three groups: junior high school, senior high school, and college or higher. Marital status was divided into two groups: married and unmarried. City scale was divided into three groups: metropolises, other cities, and towns and villages.

### 2.3. Statistical analysis

Gender and age differences for the prevalence ratio obtained in the present study were examined using  $\chi^2$  test. Multiple logistic regression analyses were utilized to examine the associations between poor perceived physical or poor perceived mental health status and the number of insomnia symptoms. Finally, a series of logistic regression analyses was conducted to examine the association between poor perceived physical health status or poor

perceived mental health status and sleep problems (DIS, DMS, EMA, EDS, PSQ, SSD, and LSD). After conducting crude logistic regression analyses, we carried out multiple logistic regression analyses to adjust for confounding effects of sociodemographic variables, and for confounding effects of sociodemographic variables and other sleep problems. Odds ratios (ORs) and 95% confidence intervals (95% CI) were calculated for the series of logistic regression analyses. All analyses were performed using SPSS 19.0 for Windows.

### 3. Results

Table 1 shows the gender and age distribution of the study participants and the total population, along with the corresponding population distributions estimated from 2008 data [29]. The distributions of the present study sample seemed similar to those estimated for the Japanese general adult population.

The proportions of participants having poor perceived physical health status and poor perceived mental health status were sorted by gender and age (Table 2). There was no apparent gender difference in the proportion of participants claiming to have poor perceived physical health status or poor perceived mental health status (poor perceived physical health status  $\chi^2 = 0.27$ ,  $df = 1$ ,  $P = 0.61$ , poor perceived mental health status  $\chi^2 = 0.89$ ,  $df = 1$ ,  $P = 0.77$ ). The prevalence of poor perceived physical health status seemed to increase with age, and there was a significant age effect for both men and women (men  $\chi^2 = 76.0$ ,  $df = 5$ ,  $P < 0.01$ , women  $\chi^2 = 87.9$ ,  $df = 5$ ,  $P < 0.01$ ).

Table 3 shows the prevalence of sleep problems by gender and age, 95% CIs, and the results of the  $\chi^2$  tests. The prevalence of DIS, DMS, and EMA was 14.9%, 26.6%, and 11.7%, respectively, and the prevalence of any insomnia symptom was 32.7%. The prevalence of EDS, PSQ, SSD, and LSD was 1.4%, 21.7%, 4.0%, and 3.2%, respectively. The prevalence of DIS and DMS was significantly higher in women than in men. The prevalence of DMS, EMA, PSQ, and sleep duration differed significantly among the age groups in both men and women.

The prevalence of poor perceived physical health status and that of poor perceived mental health status increased significantly with the number of insomnia symptoms the subject had (Table 4). Multiple logistic regression analyses revealed a significant “dose effect” of the number of insomnia symptoms on both poor perceived physical and mental health statuses after adjustment for sociodemographic factors.

Multiple logistic regression analyses demonstrated that DMS, PSQ, SSD, and LSD were associated with an increased OR for poor perceived physical health status after adjusting for sociodemographic variables and other sleep problems (Table 5).

Multiple logistic regression analyses demonstrated that DIS, EDS, and PSQ were associated with an increased OR for poor

perceived mental health status after adjustment for sociodemographic variables and other sleep problems (Table 6).

### 4. Discussion

This report represents one of the first attempts to investigate the association between sleep problems and perceived physical and mental health statuses among the Japanese general adult population. The major findings of this study were: (1) the number of insomnia symptoms was associated with increased odds ratios for poor perceived physical or mental health status; (2) DMS, PSQ, SSD, and LSD were independently associated with poor perceived physical health status; (3) DIS, EDS, and PSQ were independently associated with poor perceived mental health status.

#### 4.1. Prevalence of poor perceived physical or mental health status

In the present study the prevalence of poor perceived physical health status increased significantly with age, while that of poor perceived mental health status did not differ across age groups. Previous studies have demonstrated that perception of physical health declines with advanced age [30–34]. Previous studies did not demonstrate any effect of age on mental health condition [31,35] and, in fact, mental health tended to be better in the aged than in younger groups [33,34]. These results may be interpreted to reflect age-related physical decline or an increase of comorbid disorders, whereas perceived mental health is not age-dependent. Thus, the present epidemiological data for perceived physical and mental health status are comparable with those of previous studies.

No gender difference was found in the prevalence of poor perceived physical or mental health status in the present study. As for gender difference in perceived health, findings reported in the previous studies appeared to be conflicting. Several studies have reported no gender difference in perceived mental and physical health [10,35], while others have suggested that a gender difference exists in this respect [17,20,33,34,36,37]. This inconsistency may be due in part to differences in the methodology used for evaluating perceived health, i.e., definition, duration, and setting. Further studies are needed to verify these findings.

#### 4.2. Prevalence of insomnia

In the present study the overall prevalence of insomnia was 32.7%, which was comparable to the findings of previous epidemiological studies [1–3]. Our study showed that the prevalence of insomnia increased with age. Previous studies have also found that the prevalence of insomnia is higher in the elderly than in younger or middle-aged individuals [1,38,39]. Such age-dependent increases in the prevalence of insomnia appear to be more marked with respect to DMS and EMA. Our study showed that the overall prevalence of insomnia was higher in women than in men, thus being comparable with previous reports [6,12,38,40,41]. As for the subtypes of insomnia, gender differences were more evident for DIS and DMS, while EMA showed no significant gender difference. Similar features have been demonstrated in epidemiological studies conducted in Asian and Western countries [4,42–44].

#### 4.3. Number of insomnia symptoms and poor perceived health status

In the present study, using multiple logistic regression analyses, we investigated the association between the number of insomnia symptoms and perceived health status, and found “dose effects” of insomnia symptoms on the prevalence of poor perceived health

**Table 1**  
Percentage of study participants and the general population classified according to gender and age.

| Age (year) | Present study (2009) |           | Population estimates (2008) |                       |
|------------|----------------------|-----------|-----------------------------|-----------------------|
|            | Men (%)              | Women (%) | Men (%)                     | Women (%)             |
| 20–29      | 14.1                 | 11.0      | 15.0                        | 13.3                  |
| 30–39      | 18.7                 | 16.8      | 18.7                        | 17.0                  |
| 40–49      | 17.6                 | 15.7      | 16.2                        | 14.9                  |
| 50–59      | 16.0                 | 18.0      | 17.4                        | 16.4                  |
| 60–69      | 17.6                 | 19.1      | 16.3                        | 16.2                  |
| 70+        | 15.9                 | 19.6      | 16.3                        | 22.2                  |
| Total      | 100.0                | 100.0     | 100.0                       | 100.0                 |
| <i>n</i>   | 1163                 | 1396      | 50,295<br>(thousands)       | 54,064<br>(thousands) |