

1 **Expiratory central airway collapse and symptoms in smokers**

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24 **Abstract** (239 /250 words)

25 **Background**

26 The prevalence and clinical impacts of expiratory central airway collapse (ECAC) in
27 smokers remain controversial. Although studies have shown associations of ECAC with
28 airflow limitation and symptoms, others have shown that higher tracheal collapsibility is
29 associated with lower expiratory-to-inspiratory ratio of lung volume (E/I-LV), but not
30 airflow limitation. This study tested whether ECAC of the trachea and main bronchi could
31 occur exclusively in smokers with lower E/I-LV and affect their symptoms independent
32 of emphysema and intrapulmonary airway disease.

33 **Methods**

34 ECAC was defined as the expiratory-to-inspiratory ratio of cross-sectional lumen area
35 <0.5 for at least one of the three locations, including the trachea, right and left main
36 bronchi on static full-inspiratory, and end-tidal expiratory CT. Symptoms were assessed
37 using the chronic obstructive pulmonary disease (COPD) assessment test (CAT) and
38 modified MRC scale (mMRC).

39 **Results**

40 Out of 241 smokers with and without COPD (n=189 and 52, respectively), ECAC was
41 found in 21 (9%) smokers. No ECAC was found in smokers with $E/I-LV \geq 0.75$. CAT and
42 mMRC in smokers with ECAC were higher than in non-ECAC smokers with $E/I-LV$
43 <0.75 , but comparable to those in non-ECAC smokers with $E/I-LV \geq 0.75$. In the
44 multivariable analysis of smokers with $E/I-LV <0.75$, ECAC was associated with
45 increased mMRC and CAT independent of CT-emphysema severity, wall area percent of
46 segmental airways, and forced expiratory volume in 1 second.

47 **Conclusions**

48 ECAC is associated with worsening of symptoms independent of emphysema and
49 segmental airway disease in smokers with a lower expiratory-to-inspiratory lung
50 volume ratio.

51

52 **Keywords**

53 chronic obstructive pulmonary disease, cigarette smoke, computed tomography, airway,
54 symptom

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58 **1. Introduction**

59 Cigarette smoke has harmful effects on many organs, including the lungs. Inhalation of
60 cigarette smoke causes damages to the airways and parenchyma and induces symptoms,
61 leading to lung disorders, such as chronic obstructive pulmonary disease (COPD) [1].
62 However, the susceptibility to cigarette smoke varies among individuals. Only a subgroup
63 of smokers develops COPD, though smokers without COPD may also suffer from
64 respiratory symptoms and carry a higher risk of morbidity and mortality [2-4]. These
65 heterogeneous manifestations stem from complicated structural alterations, including
66 central and peripheral airway disease and emphysema. Thus, detailed structural
67 evaluation of the lungs is essential for improved clinical management in smokers
68 regardless of COPD diagnosis.

69 Expiratory central airway collapse (ECAC) is an excess reduction in lumen size
70 of central airways, such as the trachea and main bronchi, during expiration, due to
71 weakness in the cartilaginous walls (bronchomalacia) and excessive inward movement of
72 the posterior muscular membrane [5]. While bronchoscopy and dynamic expiratory CT
73 have been regarded as a standard measurement to diagnose ECAC [6-10], Ochs et al. [11]
74 used static full-inspiratory and full-expiratory CT and showed that the tracheal collapse
75 was found in 10.5% of male and 17.1% of female smokers with emphysema. Moreover,
76 a large observational study (n=8820) by Bhatt et al. [12] used static full-inspiratory and
77 end-tidal expiratory CT and showed that the prevalence of ECAC in smokers was
78 approximately 5%, and the presence of ECAC was associated with increased airflow
79 limitation, more severe symptoms, impaired quality of life, and future risk of
80 exacerbations. Subsequently, the same group proposed that paraseptal emphysema near

81 the trachea might be associated with ECAC in smokers [13]. Meanwhile, Yamashiro et al.
82 showed that expiratory-to-inspiratory ratio of lung volumes (E/I-LV) was associated with
83 physiologically-measured air-trapping [14], and further demonstrated that increased
84 tracheal collapsibility on expiration was associated with lower E/I-LV rather than airflow
85 limitation in smokers [15]. Based on these findings, it was hypothesized that ECAC may
86 have large effects on clinical manifestations in smokers with lower E/I-LV, but these
87 effects disappear in smokers with higher E/I-LV.

88 The aim of this study was to investigate whether ECAC would be associated with
89 more severe symptoms, assessed using mMRC dyspnea scale and COPD assessment test
90 (CAT) in a subgroup of smokers who were stratified based on E/I-LV. The study further
91 investigated whether the association of ECAC with more severe symptoms could be
92 detected even after adjusting for other CT indices and demographics.

93

94 **2. Materials and methods**

95 **2.1. Study subjects**

96 The present study analyzed the baseline data of the Kyoto-Himeji cohort, which is an
97 ongoing prospective observational study conducted at the Kyoto University hospital and
98 Terada clinic [16]. Stable smokers at the age of 40 years or more who had a smoking
99 history of at least 10 pack-years were enrolled from 2018 to 2020. During the
100 exacerbation-free period, spirometry and full inspiratory and end-tidal expiratory chest
101 CT scans were performed. Subjects with either a history of lung resection surgery and
102 lung diseases other than COPD and asthma, or current primary diagnosis of asthma were
103 excluded. A diagnosis of COPD was based on a ratio of forced expiratory volume in 1
104 second (FEV₁) to forced vital capacity (FVC) <0.7 on spirometry and respiratory

105 symptoms [1]. The predicted FVC and FEV₁ were calculated with the Lambda-mu-sigma
106 (LMS) method [17]. This study was performed in accordance with the Declaration of
107 Helsinki, approved by the Ethics Committee of Kyoto University (approval No. C1311,
108 approval date November 8, 2017), and registered with the University Hospital Medical
109 Information Network (UMIN000028387). All participants provided written informed
110 consent.

111 **2.2. Clinical assessments**

112 Respiratory symptoms were evaluated using the mMRC dyspnea scale and CAT score
113 [18, 19]. Exacerbation was defined as an event with worsening of respiratory symptoms
114 requiring the prescription of oral corticosteroids and/or antibiotics or hospitalization [20].

115 **2.3. CT assessments**

116 Volumetric chest CT scans were obtained at full inspiration and end-tidal expiration with
117 Aquilion Precision scanner at Kyoto University and Aquilion lightning scanner at Terada
118 Clinic (Canon Medical Systems, Otawara, Japan) under instruction to hold breath during
119 the scan [16]. The scan was performed with 120 kVp, 0.5 s exposure time, and auto-
120 exposure control. Images with 512 x 512 matrix and 1 mm slice thickness were generated
121 using a soft reconstruction kernel (FC13) for parenchymal density analysis and a sharp
122 reconstruction kernel (FC51) for airway dimension analysis.

123 The trachea between the level of the aortic arch at the origin of the subclavian
124 artery and the carina, right main bronchus (RMB), and left main bronchus (LMB) were
125 three-dimensionally segmented using Synapse Vincent software (Fujifilm; Tokyo, Japan).
126 Cross-sectional images perpendicular to the longitudinal center line of the lumen were
127 generated, and the lumen areas in the middle third portion were automatically measured
128 and averaged for both inspiratory and expiratory CT. Expiratory-to-inspiratory ratios (E/I)

129 of cross-sectional lumen area of the trachea, RMB, and LMB were calculated. ECAC was
130 defined as the E/I of lumen areas <0.5 for at least one of the three locations (trachea, RMB,
131 and LMB). The threshold of 0.5 was chosen based on a previous study using static full-
132 inspiratory and end-tidal expiratory CT [12]. The mean and coefficient of variation (CV)
133 of E/I of lumen areas for the trachea, RMB, and LMB were also calculated. Additionally,
134 wall area percent (WA%), the percentage ratio of wall area to the sum of wall and lumen
135 areas, was measured at the segmental airways of the right apical bronchus and lower
136 posterior bronchus as reported [16, 21, 22].

137 For parenchyma analysis, the lungs were automatically segmented, and lung
138 volumes on inspiratory and expiratory CT were measured to calculate E/I-LV. The volume
139 percentage of low attenuation voxels < -950 HU to the total lungs on inspiratory CT
140 (iLAV₉₅₀%) was measured to evaluate the severity of emphysema [23, 24]. The volume
141 percentage of low attenuation voxels < -856 HU to the total lungs on expiratory CT
142 (eLAV₈₅₆%) was also measured to evaluate air-trapping due to peripheral lung pathologies,
143 such as small airway disease and emphysema [25, 26].

144 **2.4. Statistical analysis**

145 Statistical analyses were performed using R version 3.5.1 (R Foundation for Statistical
146 Computing, Vienna, Austria) [27]. Data are expressed as the median (interquartile range)
147 unless otherwise indicated. Dunn test and Fisher exact test with Holm correction were
148 used for multiple comparisons. Multivariable linear and logistic regression models were
149 constructed to explore relative associations of ECAC with CAT score (continuous
150 variable) and mMRC ≥ 1 and ≥ 2 (categorical variable), respectively. These multivariable
151 models included ECAC (presence/absence), log-transformed iLAV₉₅₀%, WA%, age, sex,
152 height, weight, smoking pack-years, FEV₁, and institute as independent variables. $P < 0.05$

153 was considered statistically significant.

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155

156 **3. Results**

157 Out of 256 smokers undergoing inspiratory and expiratory CT for the initial assessment,
158 15 were excluded due to abnormal shadows other than COPD-associated changes and
159 insufficient quality of CT images. Thus, a total of 241 smokers (COPD, n=189; non-
160 COPD, n=52) were enrolled in the present study, and 4, 12, and 10 smokers showed E/I
161 of lumen area of the trachea, RMB, and LMB <0.5, respectively. ECAC, defined as E/I
162 of lumen areas for at least one of the three locations, was found in 21 (9%) smokers. No
163 smokers showed central airway collapse on inspiratory CT. The workflow of this study is
164 described in Supplementary Figure S1. Figure 1 shows that overall, E/I-LV and E/I of
165 lumen areas for the three locations were positively correlated ($r=0.47$, $p<0.001$ for
166 trachea; $r=0.50$, $p<0.001$ for RMB; and $r=0.41$, $p<0.001$ for LMB), but smokers with
167 ECAC were outliers in the linear regression. In addition, no ECAC was found in subjects
168 with $E/I-LV \geq 0.75$. Based on these results, the following analyses were performed by
169 categorizing the smokers into three groups: ECAC with $E/I-LV < 0.75$ (ECAC group), no
170 ECAC with $E/I-LV < 0.75$ (non-ECAC-control group), and no ECAC with $E/I-LV \geq 0.75$
171 (non-ECAC-Airtrap group). Figure 2 shows examples of subjects with and without ECAC
172 in the trachea while they showed similar E/I-LV (0.47 and 0.46, respectively). Figure 3
173 shows examples of ECAC in the right and left main bronchi.

174 Table 1 summarizes the demographics, and physiological and CT indices for the
175 three groups. The non-ECAC-Airtrap group showed more severe impairments of FEV₁,
176 FVC, and FEV₁/FVC, as well as greater iLAV_{950%} and eLAV_{856%} than the ECAC and

177 non-ECAC-control groups. $iLAV_{950\%}$, but not $eLAV_{856\%}$, was larger in the ECAC group
178 than the non-ECAC-control group. Supplementary Figure S2 shows that in a sub-analysis
179 of smokers whose lung sub-volumes were physiologically measured ($n=138$), residual
180 volume (% predicted) and functional residual capacity (% predicted) did not differ
181 between the ECAC and non-ECAC control groups. As shown in Figure 4, in 210 smokers
182 with available CAT and mMRC data, CAT in the ECAC group was higher than in the non-
183 ECAC-control group but comparable to that in the non-ECAC-Airtrap group. The
184 distributions of mMRC scores differed between the ECAC and non-ECAC-control groups.
185 Supplementary Figure S3 shows that CAT scores for item 3 (chest tightness) and item 5
186 (limited activities) in the ECAC group were higher than in the non-ECAC-control group.

187 Moreover, as shown in Table 2, multivariable analyses were performed to
188 explore the relative impacts of ECAC on symptoms in 169 smokers with $E/I-LV < 0.75$
189 and the available data of CAT and mMRC. In the models that included ECAC (yes/no),
190 age, sex, height, weight, smoking pack-years, and institute as independent variables, the
191 presence of ECAC was associated with an increase in CAT score and increased odds ratio
192 for mMRC scale ≥ 1 and mMRC scale ≥ 2 . Moreover, in the models that further included
193 $iLAV_{950\%}$, $WA\%$, and FEV_1 as additional independent variables, the presence of ECAC
194 was also independently associated with an increase in CAT score and increased odds ratio
195 for mMRC scale ≥ 1 .

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197

198 **4. Discussion**

199 In the present cohort, including both COPD and non-COPD smokers, approximately 9%
200 of smokers showed ECAC, and all the smokers with ECAC showed $E/I-LV < 0.75$.

201 Moreover, CAT and mMRC in the ECAC group were higher than in the non-ECAC-
202 control group ($E/I-LV < 0.75$) and comparable to those in the non-ECAC-Airtrap group
203 ($E/I-LV \geq 0.75$). The multivariable analysis of smokers with $E/I-LV < 0.75$ showed that
204 ECAC was associated with increased mMRC and CAT, independent of emphysema
205 severity, the extent of airway disease, and FEV_1 . These findings suggest that ECAC is
206 common and has impacts on clinical symptoms in smokers with relatively low $E/I-LV$.

207 Previous studies have shown that the increased tracheal collapsibility on
208 expiration is associated with lower $E/I-LV$ but not with worsening of airflow limitation
209 or air-trapping in smokers [15] and patients with COPD [28]. The present data confirm
210 and extend those findings by showing that ECAC was found only in smokers with $E/I-$
211 $LV < 0.75$. Moreover, as shown in Table 2, the non-ECAC-Airtrap group showed
212 substantial decreases in FEV_1 , FVC, and FEV_1/FVC and increases in $iLAV_{950\%}$ and
213 $eLAV_{856\%}$, compared to the ECAC and non-ECAC-control groups. We postulate that in
214 smokers with severe emphysema, airflow limitation, and air-trapping, a reduction in
215 volume change from inspiration to expiration could decrease the change in intrathoracic
216 pressure and make ECAC less likely to occur.

217 CAT and mMRC scores were higher in the ECAC and non-ECAC-Airtrap
218 groups than in the non-ECAC-control group, but did not differ between the ECAC and
219 non-ECAC-Airtrap groups, even though $\%FEV_1$ and $\%FVC$ were higher and $iLAV_{950\%}$
220 and $eLAV_{856\%}$ were lower in the ECAC than in the non-ECAC-Airtrap group. This
221 suggests that the symptomatic impact of ECAC was comparable to that of emphysema
222 and air-trapping in smokers. Moreover, in the multivariable analysis of smokers with
223 $E/I-LV < 0.75$, ECAC was associated with increased CAT and mMRC independent of
224 emphysema, airway disease, and FEV_1 . These findings are in line with previous reports

225 showing that ECAC is associated with symptoms such as cough and dyspnea, impaired
226 health-related quality of life, and decreased 6-minute walking distance [12, 29]. Ernst et
227 al. [30] showed that central airway stabilization for tracheobronchomalacia using
228 tracheal stenting and tracheobronchoplasty could improve patient-reported outcomes in
229 COPD. Therefore, the possibility of ECAC should be considered, particularly when
230 smokers suffer from substantial symptoms and impaired quality of life despite relatively
231 mild impairments of pulmonary function.

232 $iLAV_{950\%}$ was higher in the ECAC group than in the non-ECAC-control
233 group, which is consistent with a previous study by Bhatt et al. [12], who showed that
234 ECAC was associated with emphysema severity. In contrast, the finding that FEV_1/FVC
235 and $\%FEV_1$ did not differ between the two groups is discordant with the study, showing
236 that ECAC was also associated with airflow limitation in smokers. This might be
237 because the study included more non-COPD smokers compared to the present study. It
238 should also be noted that different involvement of airway disease between the two
239 studies might have generated the inconsistency because FEV_1 could be determined by a
240 combination of emphysema and the disease of airways, ranging from segmental airways
241 down to the terminal and respiratory bronchioles [22, 25, 31-34].

242 This study used static inspiratory and expiratory CT to identify ECAC and
243 found that the prevalence was 9% in smokers, which is consistent with previous reports
244 using static CT [11, 12]. Although dynamic expiratory CT has been used to diagnose
245 ECAC and may be more sensitive than static inspiratory and expiratory CT [35], we
246 believe that the use of static CT scans to detect ECAC is clinically relevant because
247 static CT is widely used and the probability of false positives may be lower than
248 dynamic CT. Indeed, studies have shown that even healthy non-smokers with no

249 symptoms showed tracheal collapse during dynamic expiration [7, 9]. Because smokers
250 generally perform daily activities using tidal breathing but not deep breathing, the
251 present definition of ECAC using end-tidal expiratory CT, but not full-expiratory CT,
252 might more appropriately account for symptomatic burdens in smokers.

253 E/I of lumen areas was calculated for the trachea, RMB, and LMB, and ECAC
254 was defined as E/I of lumen area <0.5 for at least one of these three locations. The data
255 revealed the association of ECAC with clinical symptoms. Meanwhile, the mean and
256 coefficient of variance (CV) of E/I of lumen areas were also evaluated, as shown in
257 Supplementary Figure S4. The results show that E/I-LV did not differ between the
258 ECAC and non-ECAC-control groups, but the ECAC group showed a lower mean and
259 higher CV of E/I of lumen areas compared to the other two groups. This suggests that
260 the extent of collapse of different central airways in each smoker might be
261 heterogeneous, and further studies including many smokers are needed to explore
262 whether the heterogeneity of E/I of lumen areas for multiple central airways could be
263 associated with pulmonary function and clinical outcomes in smokers.

264 Smokers with ECAC were divided into those with ECAC in the trachea (n=4)
265 and those with ECAC in the main bronchus, but not the trachea (n=17). Supplementary
266 Table S1 shows that there were no significant differences in age, BMI, lung function,
267 CT indices, and CAT scores between the two ECAC groups, although the small sample
268 size precludes a definite conclusion. Regarding the mechanism of ECAC trachea,
269 Copeland et al. [13] proposed that paraseptal emphysema adjacent to the trachea could
270 be involved in tracheal collapse on expiration. We speculate that the main right and left
271 bronchi might be compressed by adjacent structural components such as the

272 thoracic vertebra, esophagus, and heart, when lungs and thoracic cage shrink on
273 expiration, which induces ECAC in the main bronchus in smokers.

274 There are some limitations to this study. First, the sample size was relatively
275 small. The absence of statistical significance for the association between ECAC and
276 mMRC ≥ 2 in the multivariable analysis (Table 2) might be due to the small number of
277 ECAC. Second, this study did not control the opening/closing of the glottis during CT
278 scans. The tracheal collapsibility in smokers with closed glottis could be affected by
279 expiratory-to-inspiratory lung volume change more strongly than that in those with
280 opened glottis [36]. Third, the number of smokers without COPD is smaller than that of
281 smokers with COPD. However, there was no significant difference in the percentages of
282 non-COPD between the ECAC and non-ECAC control groups (80 and 74%,
283 respectively). This suggests that ECAC could occur even in smokers without COPD and
284 indicates the importance of screening for ECAC in both COPD and non-COPD
285 smokers. Fourth, no ECAC was found in the smokers with E/I-LV ≥ 0.75 . Whether
286 ECAC could be detected in these smokers when using dynamic expiratory CT instead of
287 the present static expiratory CT remains unclear. Fifth, this study did not include non-
288 smoking healthy controls, and the normal range of E/I-LV could not be obtained.
289 Alternatively, based on the present data that the range of E/I-LV in smokers with ECAC
290 was 0.40 to 0.74, E/I-LV ≥ 0.75 was used to identify smokers with air-trapping. Since
291 E/I-LV < 0.6 was used as the threshold of sufficient expiration during CT scan in healthy
292 subjects in a previous study [37], the cut-off value of 0.75 in this study might be higher
293 than the normal range of E/I-LV. Finally, many smokers were male. Since sex
294 difference affects tracheal collapsibility [9], whether the present findings could be
295 applied to female smokers is not known.

296

297 **5. Conclusion**

298 The present data show that ECAC is common in smokers with low expiratory
299 lung volume relative to inspiratory lung volume. In such smokers, ECAC is associated
300 with worsening of symptoms independent of emphysema and FEV₁. Therefore,
301 identifying ECAC in smokers is important for understanding the underlying mechanism
302 of impaired subjects-reported outcomes and improve clinical management in smokers
303 with and without COPD.

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305

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309

310 **Conflict of interest**

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424 **Table 1. Clinical features and CT measures in smokers with and without**
 425 **expiratory central airway collapse**

	ECAC (E/I-LV <0.75) N=21	Non-ECAC control (E/I-LV <0.75) N= 175	Non-ECAC Air-trap (E/I-LV ≥0.75) N=45
Age, year	75 (69, 81)	73 (68, 78)	74 (69, 79)
Male, %	100%	94%	89%
BMI	23.2 (21.1, 26.7) [†]	23.9 (21.5, 26.0) [†]	21.0 (18.9, 24.2)
Current smoker, %	24%	26%	29%
Pack-Years	54.0 (35.0, 73.8)	50.0 (38.0, 76.5)	55.0 (42.1, 70.3)
FEV ₁ , %pred	73.9 (52.3, 91.2) [†]	76.5 (59.8, 93.7) [†]	42.0 (30.0, 58.5)
FVC, %pred	95.8 (82.2, 110.1) [†]	100.4 (84.7, 112.0) [†]	75.0 (54.7, 88.0)
FEV ₁ /FVC	0.58 (0.42, 0.69) [†]	0.62 (0.53, 0.70) [†]	0.43 (0.35, 0.55)
COPD, %	80%	74% [†]	96%
iLAV ₉₅₀ %	10.8 (4.2, 22.3)* [†]	5.3 (2.5, 15.3) [†]	24.1 (11.2, 34.4)
eLAV ₈₅₆ %	36.2 (14.9, 49.4) [†]	34.9 (21.1, 48.9) [†]	66.2 (55.3, 71.8)
WA%	57.7 (55.4, 61.2)	56.9 (54.3, 61.3)	58.2 (55.3, 63.7)
CAT	13 (6, 18)*	9 (5, 15) [†]	13 (10, 26)
mMRC (0,1, ≥2), %	16%, 53%, 32%*	48%, 38%, 14% [†]	20%, 32%, 49%
No. exacerbation (0, 1, ≥2 /yr), %	74%, 26%, 0%	82%, 16%, 2% [†]	65%, 20%, 15%

426 Data are expressed as median (IQR). Smokers were classified based on expiratory-to-
 427 inspiratory lung volume ratio (E/I-LV). Expiratory central airway collapse (ECAC) was
 428 found only in smokers with E/I-LV <0.75. Smokers without ECAC were divided into
 429 those with E/I-LV <0.75 (Non-ECAC control group) and those with E/I-LV ≥0.75 (Non-
 430 ECAC Air-trap group). * and [†]p<0.05 indicates significance of Non-ECAC control and
 431 Non-ECAC groups, respectively, based on Dunn and Fisher exact tests with the Holm
 432 correction.
 433

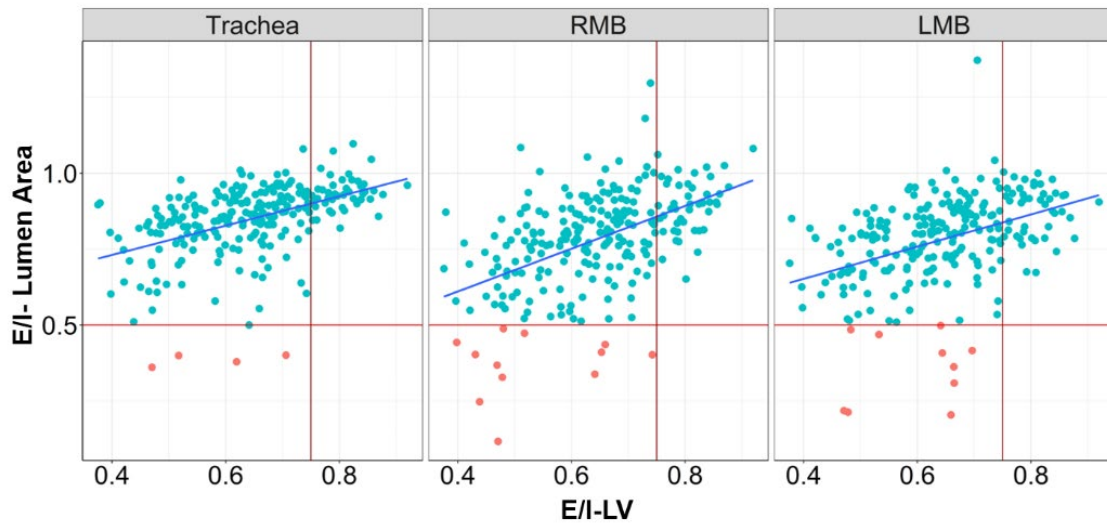
434 **Table 2. Multivariable analysis to explore associations of expiratory central airway**
 435 **collapse with symptoms in smokers with lower expiratory-to-inspiratory lung**
 436 **volume ratio**

Models 1		ECAC		
#1-1 CAT	Estimate	3.80		
	(95%CI)	(0.43, 7.18)		
	p-value	0.03		
#1-2 mMRC ≥ 1	Odds ratio	4.98		
	(95%CI)	(1.37, 18.0)		
	p-value	0.01		
#1-3 mMRC ≥ 2	Odds ratio	3.19		
	(95%CI)	(1.01, 10.03)		
	p-value	0.047		
Models 2		ECAC	iLAV_{950%}	WA%
#2-1 CAT	Estimate	3.48	1.98	-0.07
	(95%CI)	(0.10, 6.86)	(-0.50, 4.15)	(-0.33, 0.20)
	p-value	0.04	0.12	0.64
#2-2 mMRC ≥ 1	Odds ratio	6.15	2.66	0.97
	(95%CI)	(1.47, 25.70)	(1.25, 5.64)	(0.89, 1.06)
	p-value	0.01	0.01	0.50
#2-3 mMRC ≥ 2	Odds ratio	2.54	5.74	0.97
	(95%CI)	(0.74, 8.80)	(1.62, 20.37)	(0.86, 1.09)
	p-value	0.14	0.007	0.60

437 Of smokers with expiratory-to-inspiratory lung volume ratio <0.75 , 169 whose COPD
 438 assessment test (CAT) and mMRC were available were included. ECAC = expiratory
 439 central airway collapse, iLAV_{950%} = low attenuation volume percent <-950 HU on
 440 inspiratory CT, WA% = wall area percent of segmental airways. Multivariable linear
 441 regression and logistic regression models were used for CAT (continuous variable) and
 442 mMRC ≥ 1 and ≥ 2 (categorical variable), respectively. Each of models 1 included ECAC
 443 (yes/no), age, sex, height, weight, smoking pack-years, and institute as independent
 444 variables. Each of models 2 included ECAC (yes/no), iLAV_{950%}, WA%, age, sex,
 445 height, weight, smoking pack-years, institute, and forced expiratory volume in 1 sec as
 446 independent variables. iLAV_{950%} was log-transformed.

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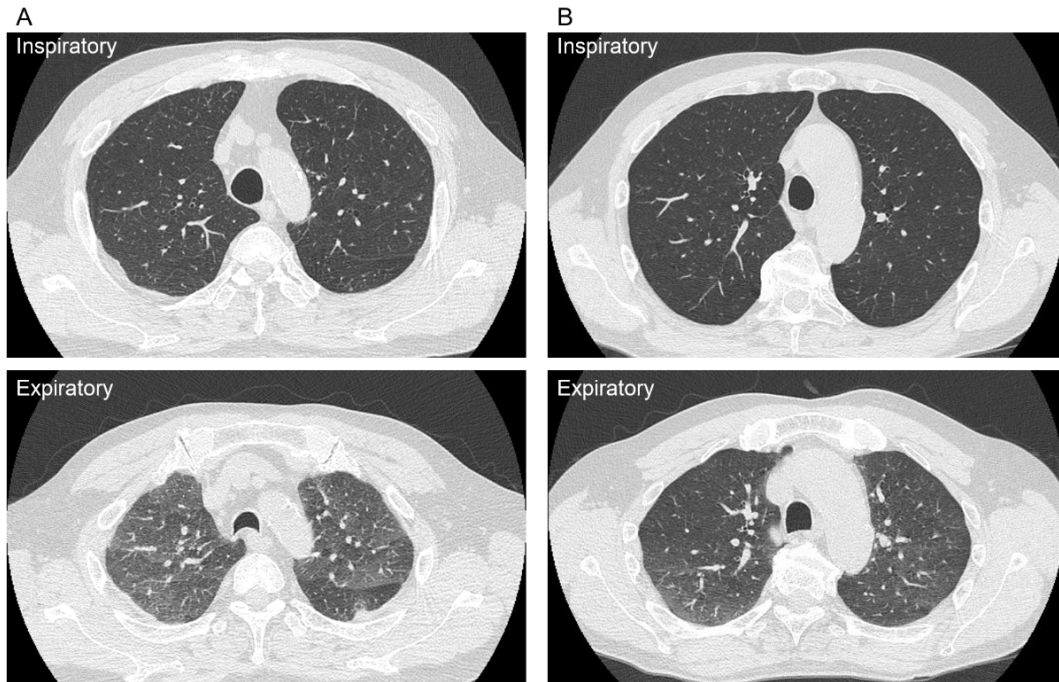
448 **Figure legends**



449

450 **Figure 1. Relationships between expiratory-to-inspiratory ratios of lung volume and**
451 **cross-sectional lumen area for central airways**

452 Red and blue dots indicate smokers with and without expiratory central airway collapse,
453 respectively. Expiratory-to-inspiratory ratio of lung volumes (E/I-LV) was positively
454 associated with expiratory-to-inspiratory ratio of lumen areas (E/I-Lumen Area) of the
455 trachea, and right and left main bronchus (RMB and LMB). No smokers with ECAC
456 were found at $E/I-LV \geq 0.75$ (dark red vertical lines).

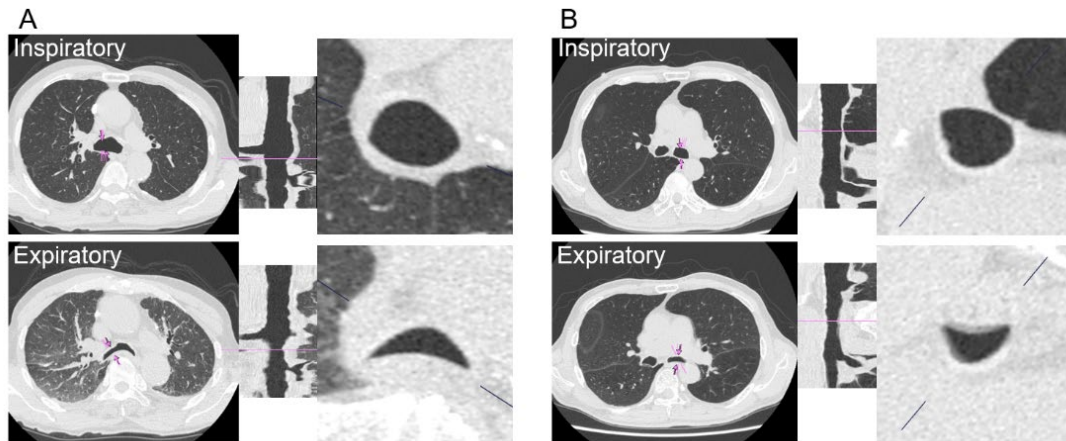


457

458 **Figure 2. Examples of computed tomography images of smokers with and without**
 459 **expiratory central airway collapse in trachea**

460 A. Case with expiratory central airway collapse (ECAC). Expiratory-to-inspiratory ratio
 461 (E/I) of mean tracheal lumen area was 36%. B. Case without ECAC. E/I of mean tracheal
 462 lumen area was 84%. Of note, despite the distinct difference in tracheal collapsibility,
 463 both cases showed similar expiratory-to-inspiratory ratios of lung volumes (E/I-LV=0.47
 464 and 0.46, for A and B, respectively).

465



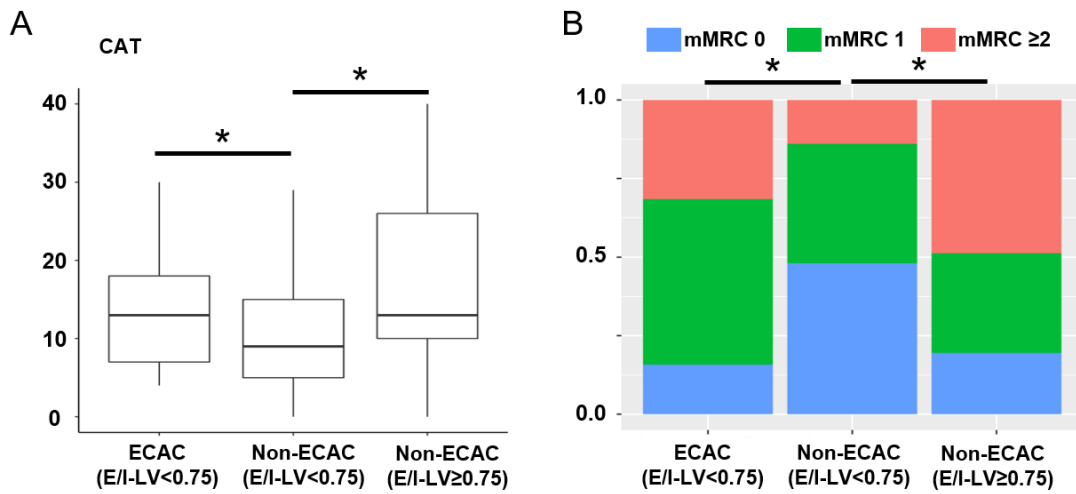
466

467 **Figure 3. Examples of computed tomography images of smokers with expiratory**
 468 **central airway collapse in the right and left main bronchi**

469 A. Original CT image, multi-planar reconstruction, and cross-section of the right main
 470 bronchus (RMB) in a case with expiratory central airway collapse (ECAC) in RMB.

471 B. Original CT image, multi-planar reconstruction, and cross-section of the left main
 472 bronchus (LMB) in a case with expiratory central airway collapse (ECAC) in LMB.

473



474

475 **Figure 4. Symptom and dyspnea in smokers with and without expiratory central**
 476 **airway collapse**

477 Symptom and dyspnea were evaluated using COPD assessment test (CAT) and modified
 478 MRC dyspnea scale (mMRC). Expiratory central airway collapse (ECAC) was found in
 479 smokers with expiratory-to-inspiratory lung volume ratio (E/I-LV) < 0.75. The ECAC
 480 group was compared to non-ECAC group with E/I-LV < 0.75 and E/I ≥ 0.75. * indicates
 481 p < 0.05 based on Dunn and Fisher exact tests with Holm correction.