

1 **Title Page**

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4 **α_1 -antitrypsin polymerizes in alveolar macrophages of smokers with and without**
5 **α_1 -antitrypsin deficiency.**

6

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29 **Running Title:** AAT Polymerization in alveolar macrophages

30

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37 **Abbreviations:** AAT= α_1 -antitrypsin; AM= Alveolar Macrophages; AATD= α_1 -antitrypsin
38 deficiency; COPD = Chronic Obstructive Pulmonary Disease; Glu= glutamic acid; Lys= lysine;

39 ER= endoplasmic reticulum; NF- κ B= nuclear factor-kappaB; GM-CSF= Granulocyte-macrophage
40 colony-stimulating factor; LPS= Lipopolysaccharides; IL= Interleukin; PAS= periodic acid-Schiff;
41 HPF= high-power fields; BAL= bronchoalveolar lavage;

42

43 **ABSTRACT**

44 **Background.** The deficiency of α_1 -antitrypsin (AAT) is secondary to misfolding and
45 polymerization of the abnormal Z-AAT in liver cells and is associated with lung emphysema.
46 Alveolar macrophages (AM) produce AAT, however it is not known if Z-AAT can polymerize in
47 AM, further decreasing lung AAT and promoting lung inflammation.

48 **Aims.** To investigate if AAT polymerizes in human AM and to study the possible relation between
49 polymerization and degree of lung inflammation.

50 **Methods.** Immunohistochemical analysis with 2C1 monoclonal antibody specific for polymerized
51 AAT was performed in sections of: 9 lungs from individuals with AAT deficiency (AATD) and
52 severe COPD, 35 smokers with normal AAT levels of which 24 with severe COPD and 11 without
53 COPD, and 13 non-smokers. AM positive for AAT polymers were counted and expressed as
54 percentage of total AM in lung.

55 **Results.** AAT polymerization was detected in [27(4-67)%] of AM from individuals with AATD but
56 also in AM from smokers with normal AAT with [24(0-70)%] and without [24(0-60)%] COPD, but
57 not in AM from non-smokers [0(0-1.5)%] ($p < 0.0001$). The percentage of AM with polymerized
58 AAT correlated with pack-years smoked ($r = 0.53, p = 0.0001$), FEV₁/FVC ($r = -0.41, p = 0.005$), Small
59 Airways Disease ($r = 0.44, p = 0.004$), number of CD8⁺T-cells and neutrophils in alveolar walls
60 ($r = 0.51, p = 0.002$; $r = 0.31, p = 0.05$ respectively).

61 **Conclusions.** Polymerization of AAT in alveolar macrophages occurs in lungs of individuals with
62 AATD but also in smokers with normal AAT levels with or without COPD. Our findings highlight
63 the similarities in the pathophysiology of COPD in individuals with and without AATD, adding a
64 potentially important step to the mechanism of COPD.

65

66 **Key words:** COPD, emphysema, serpins, cigarette smoking

67

68 INTRODUCTION

69 α_1 -antitrypsin (AAT) is the archetypal member of the serine protease inhibitor (SERPIN)
70 superfamily. Severe deficiency of this protein, secondary to an inherited disorder, is linked to the
71 development of early onset emphysema. About 95% of the significant clinical deficiency is caused
72 by the Z variant of the protein that results from the substitution of a glutamic acid (Glu) by a lysine
73 (Lys) at position 342.¹⁻⁵ Approximately 0.06% of individuals of North European descent have
74 severe deficiency of AAT with plasma levels of less than 0.2 g/L.¹⁻⁵ The Glu to Lys substitution in
75 Z-AAT results in abnormal protein folding within the endoplasmic reticulum (ER) of the
76 hepatocyte, protein polymerization and intracellular retention with consequent low AAT serum
77 levels.¹⁻⁵ Thus the effect of the Z mutation is not a failure of synthesis (Z-AAT is processed
78 normally until it reaches the final stage of the hepatocyte ER pathway), but a failure in folding and
79 secretion. About 85% of the Z-AAT is removed by ER-associated degradation or aggregates to
80 form polymers, while 15% is secreted in the serum.¹⁻⁶

81 Polymerization of Z-AAT in the liver causes a “toxic gain of function” within hepatocytes³, with
82 ER stress and activation of NF- κ B⁷⁻⁹ triggering an inflammatory reaction in response to protein
83 misfolding and polymerization in the hepatocytes that predisposes to neonatal hepatitis and liver
84 cirrhosis.^{10,11}

85 Epithelial barrier macrophages such as alveolar macrophages, intestinal and epithelial macrophages
86 and breast milk macrophages, along with blood monocytes, are also important producers of AAT in
87 their local milieu.¹²⁻¹⁴ To a minor extent other cells in the lung including lung epithelial cells,
88 bronchial epithelial cells (BECs), endothelial cells, and the human A549 cell line of alveolar
89 epithelial cells, as well as polymorphonuclear leukocytes and neutrophils, have been found to also
90 produce AAT.¹⁵⁻¹⁹ Alveolar macrophages develop from fetal liver under the control of GM-CSF in
91 the first days of life, paralleling the development of the alveoli and then maintain themselves by in
92 situ self-renewal.²⁰⁻²² Perhaps, due to their different origin, there is an important difference in
93 production of AAT between blood monocytes (which produce three fold less AAT) and alveolar
94 macrophages¹⁴, suggesting that alveolar macrophages are preprogramed by their liver origin or that,
95 once in the lung milieu, they up-regulate AAT gene expression.

96 Alveolar macrophages can produce relatively large amounts of AAT directly into the lung but, as
97 with hepatocytes, the production and secretion of AAT is regulated by inflammatory mediators such
98 as Lipopolysaccharides (LPS) and the acute phase cytokine Interleukin IL-6. The synthesis of AAT
99 is also modulated by the presence of elastase in a dose and time dependent way.²³ Under these
100 stimuli wild type PiMM AAT monocytes can increase the synthesis and secretion of AAT by up to
101 10 fold.¹⁴

102 It would seem that the normal production of AAT by alveolar macrophages, potentially increased
103 under the modulation of inflammatory mediators and elastase, could well polymerize in the ER of
104 alveolar macrophages in PiZZ individuals, a possibility that has never been studied in human lung
105 tissue. If that were the case, AAT polymerization in alveolar macrophages will not only contribute
106 to loss of AAT function due to diminished secretion in the alveoli, but also, as in the liver, to “toxic
107 gain of function” with all its complex and detrimental consequences.

108 It was the aim of our study to assess whether alveolar macrophages in the lung tissue from
109 individuals with PiZZ AAT deficiency formed AAT polymers and if polymerization could be
110 related to inflammation within the lung. For this purpose, we studied lung sections from individuals
111 with COPD with AAT deficiency undergoing lung transplantation and compared them with lungs of
112 smokers with COPD and normal AAT (“usual” COPD), smokers without COPD, and non-smokers.
113 The results of this investigation have been presented in abstract form.²⁴

114

115 **METHODS**

116

117 **Subject Characteristics**

118 We studied the tissues from the lungs of 33 patients undergoing lung transplantation for severe
119 COPD: 9 had PiZZ α 1-antitrypsin deficiency (COPD with AATD) and 24 had normal levels of
120 AAT (“usual” COPD). AATD was confirmed by serum levels, together with
121 genotyping/phenotyping in all cases. Sections from the lungs of 11 smokers with normal lung
122 function and 13 non-smoking subjects, who had lung resection for solitary nodules, were included
123 for comparison. All 57 subjects underwent pulmonary function tests prior to surgery and provided
124 informed written consent. The study conformed to the Declaration of Helsinki. All aspects of this
125 study were approved by the local Ethics Committee (reference number 0006045). Details are
126 reported in the Online Supplement.

127 **Histochemistry, immunohistochemistry and morphometric analysis**

128 Lung tissue preparation, histochemistry and immunohistochemistry were performed as previously
129 described and detailed in the Online Supplement.^{25,26}

130 The lung tissue specimens were fixed in formalin, embedded in paraffin wax and cut. At least three
131 lung sections per case were stained with periodic acid-Schiff (PAS) and immunostained according
132 to the standard peroxidase-antiperoxidase method with a commercial polyclonal anti-AAT antibody
133 recognizing total AAT (both native and polymerized, IR505 Dako, Denmark) and with the specific
134 monoclonal antibody 2C1 that recognizes intracellular AAT polymers but not native (monomeric),
135 reactive loop cleaved or latent AAT.²⁷ Negative controls for nonspecific binding were processed
136 either omitting the primary antibody or using isotype IgG and revealed no signal.

137 To quantify AAT positive alveolar macrophages, PAS positive inclusions in alveolar macrophages
138 and AAT polymerized positive alveolar macrophages at least 20 to 40 non consecutive high-power
139 fields (HPF) and at least 100 macrophages inside the alveolar spaces were evaluated for each
140 subject. The results were expressed as percentage of positive macrophages over the total number of
141 macrophages examined.^{25,26} Alveolar macrophages were defined as mononuclear cells with a well-
142 represented cytoplasm, present in the alveolar spaces.

143 As positive control for AAT polymer staining we examined 6 liver samples from PiZZ patients who
144 underwent liver transplantation related to AATD. 5 μ m sections were stained with PAS and the
145 specific monoclonal antibody 2C1 to detect AAT polymerization, following the same protocol used
146 for pulmonary tissue.

147 Neutrophils, macrophages, T CD4+ lymphocytes, T CD8+ lymphocytes and B lymphocytes were
148 identified by immunohistochemistry and counted in the alveolar walls in order to evaluate a

149 possible correlation between AAT (native and polymerized) and the degree of lung
150 inflammation.^{25,26} Details are reported in the Online Supplement.

151 Using the semi quantitative method described by us²⁸ we assessed the Small Airways Disease score
152 (inflammation, muscle, wall thickness) in all airways less than 2 mm in diameter. Each of
153 bronchiole 2 mm and less in diameter was examined separately for the presence of inflammatory
154 cell infiltrate, smooth muscle hypertrophy and wall thickness. For each airway, a score from 0
155 (normal) to 3+ (most abnormal) was assigned for each pathological feature. Scores for individual
156 features were summed and expressed as percentage of maximal possible score.²⁸

157 A macroscopic quantification of emphysema was performed in all explanted lungs, using the
158 method of Heard and colleagues.²⁹ Because lungs were not fixed in inflation at a constant pressure,
159 we were not able to use mean linear intercept (Lm) for the microscopic quantification of
160 emphysema (air space size). We instead undertook a semiquantitative score of the extent of
161 microscopic emphysema (0,1,2,3+) in every slide available in all cases and expressed this as
162 percentage of the maximal possible score.²⁸

163 The possible relationship between AAT polymerization and inflammatory response was also
164 examined in liver tissue. From each liver surgical sample, two consecutive sections of 5 μ m thick
165 were cut and stained with 2C1 antibody to identify polymers in one section (following the same
166 protocol used for pulmonary tissue) and with CD45 antibody to identify total leukocytes in the other
167 consecutive section. An intensity score from 0 to 3 for the extent of polymerization and of CD45
168 positive cells was graded in 50 fields for each slide pair.

169 All analyses were performed using a Leica light microscope and video recorder linked to a
170 computerized image analysis system (Leica LAS w3.8).

171 **Statistical analysis**

172 Group differences were evaluated by analysis of variance (ANOVA) and unpaired Student t test for
173 clinical data, and by Kruskal–Wallis test and Mann–Whitney U test for morphological data.

174 Correlation coefficients were calculated by the Spearman rank method. P values of 0.05 or less
175 were considered to indicate statistical significance. Details are reported in the Online Data
176 Supplement.

177

178 **RESULTS**

179
180 **Clinical Characteristics**

181
182 Nine patients transplanted for severe COPD had low serum AAT levels consistent with severe
183 AATD and confirmed by either genotyping or phenotyping (8 ZZ and 1 ZI). All patients with
184 “usual” COPD, smokers without COPD and non-smokers had a normal α_1 band on protein
185 electrophoresis.

186 The clinical characteristics of the subjects in this study are shown in Table 1. There were no
187 differences in age and amount smoked (14% current smokers and 86% recent ex-smokers). The
188 values of FEV₁ (% predicted) and FEV₁/FVC (%) were similarly decreased in the COPD with
189 AATD and in “usual” COPD, whereas they were in the normal range in smokers without COPD
190 and non-smokers.

191

192 **Histochemical and immunohistochemical findings**

193

194 Positive staining with anti-AAT antibody IR505, which stains both native and polymerized AAT,
195 was observed mainly in alveolar macrophages (AM) and occasionally in the alveolar walls (Fig.1
196 panels A-B). There was no significant difference in the percentage of alveolar macrophages positive
197 for total (native and polymerized) AAT between: COPD with AATD, “usual” COPD, smokers
198 without COPD and non-smokers (Fig.1, C).

199 The percentage of PAS positive AM was increased not only in individuals with AATD, but also in
200 smokers with or without COPD and normal AAT levels compared to non-smokers, where no PAS
201 positive intracellular inclusion were seen (Fig.2). Furthermore, the percentage of periodic acid-
202 Schiff (PAS) positive AM was also increased in smokers with “usual” COPD compared to smokers
203 without COPD (Fig. 2). The PAS inclusions were similar to those seen in the liver from individuals
204 with PiZZ AATD (Fig.3 A-B). The use of the polymer specific 2C1 monoclonal antibody
205 (recognizing specific intracellular AAT polymers) showed a similar pattern for polymerization in
206 AM and in liver sections of PiZZ AAT individuals (Fig.3 C-D). The percentage of AM that stained
207 positive for polymers was increased not only in individuals with AATD, but also in smokers with or
208 without COPD and normal AAT levels compared to non-smokers, where no polymerization was
209 seen (Fig.4).

210 When all cases were considered together, the cumulative exposure to cigarette smoke (packs/year)
211 was positively correlated to the percentage of macrophages showing PAS+ inclusions
212 ($r=0.41;p=0.003$) and those positive for AAT polymers ($r=0.53;p=0.0001$;e-Fig 1).

213 The score for Small Airways Disease in COPD subjects with and without AATD was significantly
214 higher than that in smokers without COPD and in non-smokers (Table 2).

215 On macroscopic analysis both transplanted groups (with and without AATD) had severe diffuse
216 emphysema with marked extension of lung destruction in both upper and lower lobes. The extent of
217 lung destruction made it impossible to define the type of macroscopic emphysema (Centrilobular or
218 Panlobular). The semi quantitative score of the extent of microscopic emphysema showed that
219 subjects with COPD, with and without AATD, had an increased emphysema score when compared
220 with both smokers without COPD and non-smokers (Table 2).

221 The number of lymphoid follicles/cm² in COPD subjects with and without AATD were
222 significantly higher than in smokers without COPD and in non-smokers (Table 2), as were the
223 number of B, CD4+ and CD8+ lymphocytes in the alveolar wall (Table 2).

224 When we examined the relationship between the presence of polymerized AAT in alveolar
225 macrophages and the lung pathology we found that the percentage of polymerized alveolar
226 macrophages correlated significantly with the emphysema score ($r=0.55;p=0.002$) the Small Airway
227 Disease score ($r=0.44;p=0.004$;e-Fig 2), the number of neutrophils ($r=0.31;p=0.05$) and CD8+T
228 lymphocytes in the alveolar walls ($r=0.51;p=0.002$;e-Fig 3). Furthermore, the percent of
229 polymerized AM was inversely correlated with pulmonary function (FEV₁: $r=-0.44;p=0.002$ and
230 FEV₁/FVC: $r=-0.41;p=0.005$).

231 In liver tissue there was a positive correlation between the score of polymerization and that of
232 infiltration of inflammatory cells (CD45) ($r=0.56;p<0.0001$).

233

234 **Discussion**

235
236 Alveolar macrophages are highly prevalent within the lung and can produce considerable amounts
237 of AAT. We investigated if polymerization due to misfolding, aggregation and retention of
238 abnormal Z-AAT that takes place in liver cells, could also occur in human alveolar macrophages.
239 Our results showed that AAT polymers are present in alveolar macrophages in the lung of
240 individuals with PiZZ AAT deficiency (COPD with AATD). Surprisingly, we also found AAT
241 polymers in alveolar macrophages of smokers with COPD and normal AAT levels (“usual” COPD)
242 and in smokers without COPD, but not in non-smokers.

243 The presence of significant polymerization of AAT in alveolar macrophages directly in human lung
244 tissue had never been previously reported. Alveolar macrophage polymers may be a source of the
245 bronchoalveolar lavage (BAL) polymers previously described in individuals with PiZZ AAT
246 deficiency.³⁰ We have found that periodic acid-Schiff (PAS) positive granules can be seen in
247 alveolar macrophages by light microscopy. With the use of a specific antibody we showed that the
248 PAS positive granules present in both PiZZ and PiMM AAT alveolar macrophages are, at least in
249 part, due to AAT polymerization. There was a large variation in the percentage of macrophages
250 showing AAT polymerization (ranging from 0 to 55%), possibly because some polymers might be
251 too small to be detected (polymers can vary in size from 2 to many molecules which can aggregate
252 to form the visible granules).³¹ In addition, this variation could also depend on the alveolar
253 macrophages phenotypes and their proportion in the lung, since anti-inflammatory M2 macrophages
254 have been shown to express higher AAT mRNA, and thus potentially more polymerization, than
255 pro-inflammatory M1 macrophages.³²

256

257 **AAT contribution by alveolar macrophages.**

258 The polymerization of AAT within lung alveolar macrophages can have severe consequences for
259 lung homeostasis and the development of emphysema associated with AAT deficiency. Liver
260 produces wild-type M-AAT that diffuses through the endothelial barrier of the lung providing
261 alveolar concentration of 10-15% of the plasma AAT level,³³⁻³⁵ and this concentration would be
262 significantly supplemented by the secretion of AAT from alveolar macrophages.¹⁴ It has been
263 calculated that there are approximately 20×10^9 lung alveolar macrophages which produce three
264 times more AAT than bone marrow derived circulating monocytes,¹⁴ either because they are
265 already programmed in the fetal liver, or because they are reprogramed by the lung micro-
266 environment promoting the more efficient and/or increased production. The fact that alveolar
267 macrophages reside directly at the site where AAT functions as an antiprotease and modulator of

268 inflammation, suggests a specific differentiation of these cells and highlights their important
269 contribution to the maintenance of lung homeostasis and its failure in deficient states.

270

271 **Mechanisms of AAT polymerization in the lung.**

272 It has been clearly demonstrated that under stimulation PiMM and PiZZ alveolar macrophages
273 produce similar AAT mRNA levels,¹⁴ however PiZZ alveolar macrophages produced 10 times less
274 AAT protein than PiMM alveolar macrophages. This suggests that the defect is at the secretory
275 level, and that the secretory defect secondary to protein misfolding and polymerization seen in the
276 liver, is also present in alveolar macrophages. Unexpected was the finding, never reported before,
277 of AAT polymers in the alveolar macrophages of smokers with COPD and normal AAT levels
278 (“usual” COPD) and also in smokers without COPD, but not in non-smokers. All inhibitory
279 SERPINS can be induced to polymerize by high temperature, oxidation and incubation with
280 denaturants.³¹ These agents perturb the structure of AAT, opening β -sheet A-sheet to allow
281 polymerization, although the rate of polymer formation is slower in wild-type M than mutant Z
282 AAT. It has been shown that cigarette smoke can greatly accelerate PiZ-AAT polymerization and
283 oxidize PiM-AAT in mice and human plasma³⁶ that is in keeping with the association between
284 cigarette smoking and polymerization reported in our study. This may explain our novel finding of
285 AAT polymers present in alveolar macrophages from smokers with normal levels of AAT.

286

287 **Possible consequences of AAT polymerization.**

288 The lung disease seen in individuals with PiZZ AAT deficiency is usually thought as secondary to
289 the low levels of circulating liver-produced AAT, to which we can now add the loss of the AAT
290 secreted by the alveolar macrophages due to AAT polymerization. Furthermore, AAT
291 polymerization could also contribute to the mechanism of disease by triggering important pro-
292 inflammatory effects. It has been previously reported that polymers of AAT in BAL from
293 individuals with PiZZ AAT deficiency³⁰ are chemotactic for human neutrophils *in vitro* and in
294 mouse models of disease.³⁷⁻³⁹ Along with a “loss of AAT function” there may be an additional
295 “toxic gain of function” originating from the accumulation of misfolded and aggregated AAT in
296 alveolar macrophages endoplasmic reticulum (ER), which could induce ‘ER stress’ and the
297 consequent Unfolded Protein Response (UPR) that normally ensures that misfolded proteins are
298 removed for degradation. However chronic ER stress, coupled with cigarette smoking, could tip the
299 UPR from being adaptive to promoting inflammation.⁴⁰ Although we have not studied this
300 possibility, the induction of UPR secondary ER stress in blood monocytes from PiZZ AAT
301 individuals⁴¹ and in bone marrow derived macrophages⁴² has been shown to potentiate pro-

302 inflammatory signaling, including the induction of genes encoding CXC-chemokine ligand 1
303 (CXCL1) CXCL2, TNF, IL-1, and IL-6.⁴¹

304 The following events could plausibly take place in the lungs of smokers with and without AAT
305 deficiency (Fig.5): inflammatory stimuli, cigarette smoke, free elastase and elastase-AAT-
306 complexes would stimulate an increase production of AAT in alveolar macrophages, which could
307 misfold and polymerize in the endoplasmic reticulum causing endoplasmic reticulum stress and
308 activation of the UPR. As in a vicious circle (Fig.5), UPR activation by increasing the production of
309 pro-inflammatory cytokines and chemokines, such as IL-6, would increase the inflammation that
310 will induce further AAT production, further misfolding and retention in macrophages endoplasmic
311 reticulum thus perpetuating the endoplasmic reticulum stress. The correlation between the extent of
312 polymerization and the severity of inflammation in lung and liver is in support of this hypothesis.
313 Other local factors such as local hypoxia, as seen in COPD, could add to ER stress. Similar
314 mechanisms are thought to play an important role in autoimmune diseases such as inflammatory
315 bowel disease and rheumatoid arthritis.⁴³⁻⁴⁵

316 If this were the case, ER stress would be an important added stimulus and contributor to the innate
317 and adaptive immune inflammation that we have described in severe PiZZ AAT deficiency and in
318 “usual” COPD.²⁵ Importantly, ER stress does not always induce inflammation since cellular
319 adaptation to chronic ER stress can also suppress the inflammatory response to unfolded protein
320 (UPR). How cells decide between proinflammatory and anti-inflammatory UPR signaling is poorly
321 understood.^{46, 47} This phenomenon could perhaps explain why AAT polarization is seen in our
322 population of smokers without COPD, who have less lung inflammation.

323 The findings described emphasize the complex role that could be played by the molecular
324 abnormalities of AAT in the development of COPD and emphysema and highlights another
325 important and potentially damaging effect of cigarette smoking. Our findings also highlight the
326 similarities, ever more evident, in the pathophysiology of COPD in smokers with and without AAT
327 deficiency and add another potentially important step to the complex mechanism underlying the
328 disease.

329

330 **Conclusion**

331 Polymerization of AAT in alveolar macrophages occurs in the lungs of individuals with AATD but
332 also in smokers with normal AAT levels with or without COPD. Our findings highlight the
333 similarities in the pathophysiology of COPD in individuals with and without AATD, adding a
334 potentially important step to the mechanism of COPD.

335

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337 **AUTHOR'S CONTRIBUTION:**

338 Conception and design: MGC, MS, DL.

339 Performing experiments: EB, RB, CR, MT, SB, GT

340 Clinical characterization: DB, FR, SB, FC, GT, SF, AS

341 Analysis and interpretation: MGC, MS, DL, EM, EB, MPFB

342 Drafting the manuscript for important intellectual content: MGC, MS, DL, EM, EB, MPFB

343

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484 **Table1: Clinical characteristics of the subjects in the study cohort.**

	COPD with AATD	Usual COPD	Smokers w/o COPD	Non Smokers
Number of subjects, n	9	24	11	13
Age, years	53±3	57±1	62±2	56±6
Smoking history, pack-years	34±8	41±7	48±7	-
Current/ex-smokers, n	0/9	2/22	4/7	-
FEV₁, % pred	19±2 [†]	20±2 [†]	98±3	108±5
FEV₁/FVC, %	35±5 [†]	37±3 [†]	77±2	85±4

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486 Definition of abbreviations: AATD = α_1 -antitrypsin deficiency; COPD = chronic obstructive
487 pulmonary disease; “usual” COPD = COPD with normal AAT levels;

488 Values are expressed as the means±SD.

489 [†] Significantly different from smokers without (w/o) COPD and non-smokers (p<0.0001).

490

Table 2: Quantification of lung pathology and inflammation.

	COPD with AATD	Usual COPD	Smokers w/o COPD	Non Smokers
Small Airways Disease (score %)	78(43-92)**	67(33-100)**	26(0-63)	17(0-50)
Emphysema (score %)	83(67-100)**	84(33-100)**	0(0-17)	0(0-0)
Lymphoid follicles/cm ²	4.6 (0.7-16.5)** §	1.5(0-6.1)**	0(0-2.5)	0(0.0-0.8)
B cells/mm of alveolar wall	2.1(0-4.4)**	0.9(0-5.0)**	0.2(0-0.63)	0.3(0-0.9)
CD4 ⁺ cells/mm of alveolar wall	5.5(0.9-10.8)*	6.1(1.6-11.9)*	2.26(0.2-4)	2.1(0-5.4)
CD8 ⁺ cells/mm of alveolar wall	3.4(0.6-6.8)§	4.1(3.0-6.8)*	3.4(0.6-5.1)	2.1(0-5.2)
Neutrophils/mm of alveolar wall	6.3(1.2-15.9)	9.4(4.5-13.9) §	6.8(2.5-9.5)	3.8(0-15.1)

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Definition of abbreviations: AATD = a1-antitrypsin deficiency; COPD = chronic obstructive disease; usual COPD: COPD with normal AAT levels.

Values are expressed as median(range).

*or** Significantly different from smokers without (w/o) COPD and non-smokers (*p<0.05 or **p<0.01)

§ Significantly different from usual COPD (p<0.05)

§ Significantly different from non-smokers (p<0.05)

501 **Figure Legends:**

502

503 **Figure 1. Total (native and polymerized) α 1-antitrypsin (AAT) immunostaining in alveolar**
504 **macrophages.** Quantification of AAT expression in alveolar macrophages of patients with chronic
505 obstructive pulmonary disease and α 1-antitrypsin deficiency (COPD with AATD), “usual” COPD
506 (COPD with normal AAT levels), smokers without COPD, and non-smokers.

507 (A) Representative examples of AAT expression in the lung of a COPD patient with AATD, and
508 (B) in the lung of a non-smoker. Positive staining (in brown) was mainly observed in alveolar
509 macrophages and occasionally in the alveolar wall. Immunostaining with polyclonal antibody
510 IR505 anti-AAT (A and B). Scale bars = 40 μ m.

511 (C) The percentage of alveolar macrophages positive for AAT was not significantly different
512 among the four groups of subjects examined. Horizontal bars represent median values.

513

514 **Figure 2. PAS staining in alveolar macrophages.** Quantification of PAS expression in alveolar
515 macrophages of patients with COPD and α 1-antitrypsin deficiency (COPD with AATD), “usual”
516 COPD (COPD with normal AAT levels), smokers without COPD, and non-smokers.

517 (A) Representative examples of PAS expression in the lung of a COPD patient with AATD, and (B)
518 in the lung of a non-smoker. Positive staining (in violet) was mainly observed in alveolar
519 macrophages; arrow indicate PAS positive inclusion. Scale bars = 30 μ m.

520 (C) The percentage of PAS positive alveolar macrophages was increased in patients with AATD,
521 and in smokers with and without COPD compared to non-smokers. Furthermore, the percentage of
522 alveolar macrophages positive for PAS was increased in “usual”COPD compared to smokers
523 without COPD. P values in the figure represent Mann–Whitney U tests. Kruskal–Wallis test:
524 $p < 0.0001$. Horizontal bars represent median values.

525

526 **Figure 3. PAS staining and immunostaining for AAT polymers in liver and lung sections of**
527 **AATD patients.** (A and B) Representative examples of PAS expression in the liver of a patient
528 with AATD (A) and in the lung (B) of a COPD patient with AATD. Positive PAS staining in violet.
529 (C and D) Representative examples of AAT polymers expression in the liver of a patient with
530 AATD (C) and in the lung (D) of a COPD patient with AATD. Positive immunostaining with
531 specific monoclonal antibody 2C1 specific for AAT polymers in brown (C and D). A-C: Scale bars
532 = 30 μ m. D: Scale bar = 15 μ m.

533

534 **Figure 4. α 1-antitrypsin (AAT) polymers in alveolar macrophages.** Quantification of AAT
535 polymers expression in alveolar macrophages of patients with COPD and α 1-antitrypsin deficiency

536 (COPD with AATD), “usual” COPD (COPD with normal AAT levels), smokers without COPD,
537 and non-smokers.

538 (A) Representative examples of AAT polymers expression in the lung of a COPD patient with
539 AATD and (B) in the lung of a non-smoker. Positive staining (in brown) was mainly observed in
540 alveolar macrophages; arrows indicate AAT positive polymers. Immunostaining with monoclonal
541 antibody 2C1 anti-AAT polymerized (A and B). Scale bars = 30 μ m.

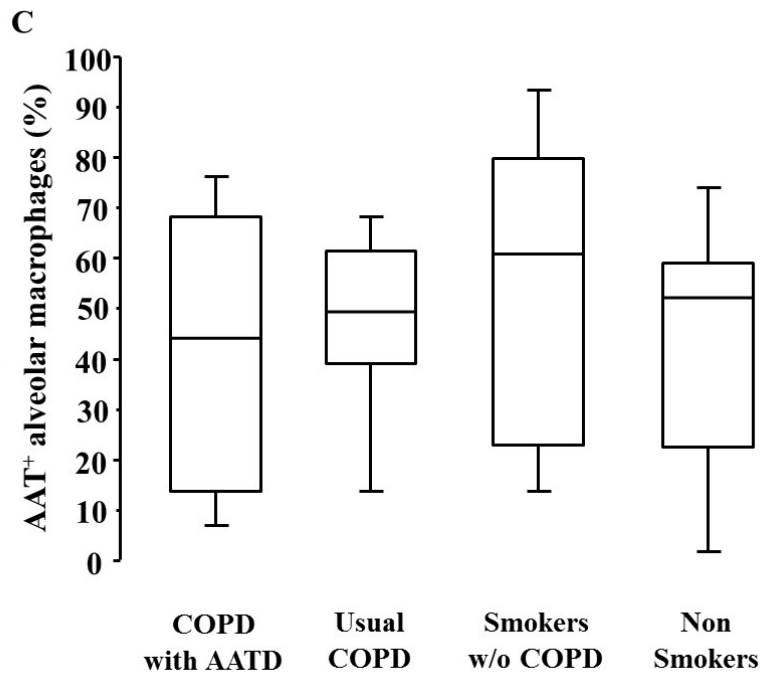
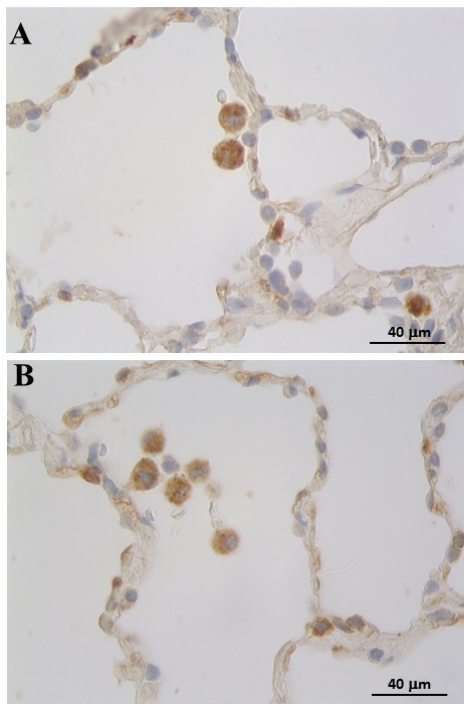
542 (C) The percentage of alveolar macrophages positive for AAT polymerized was increased in COPD
543 patients with AATD, in “usual” COPD and in smokers without COPD compared to non-smokers. P
544 values in the figure represent Mann–Whitney U tests. Kruskal–Wallis test: $p < 0.0001$. Horizontal
545 bars represent median values.

546

547 **Figure 5. The pathway of lung inflammation induced by AAT polymerization.** The
548 inflammatory response induced by smoking would upregulate α -1ATmRNA in alveolar
549 macrophages. This would increase AAT production that could misfold and polymerize in the
550 endoplasmic reticulum (ER) causing ER stress that, with the enhancement of a “second hit” by
551 cigarette smoke, causes activation of the Unfolded Protein Response (UPR). As in a vicious circle
552 UPR activation would further increase the expression of pro-inflammatory genes and lung
553 inflammation, which would induce further AAT production. Furthermore, the chemotactic role of
554 AAT polymers will attract neutrophils further increasing the inflammatory response, all
555 contributing to the worsening of the disease.

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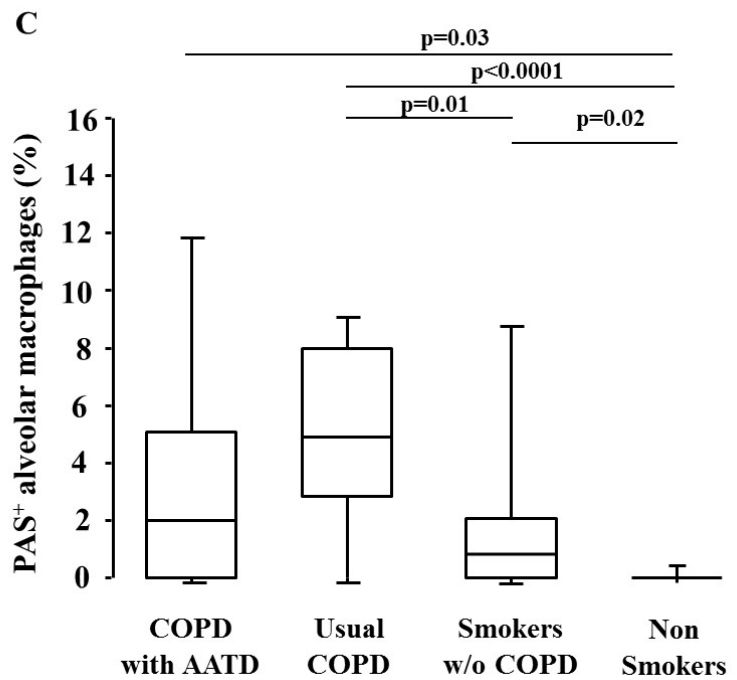
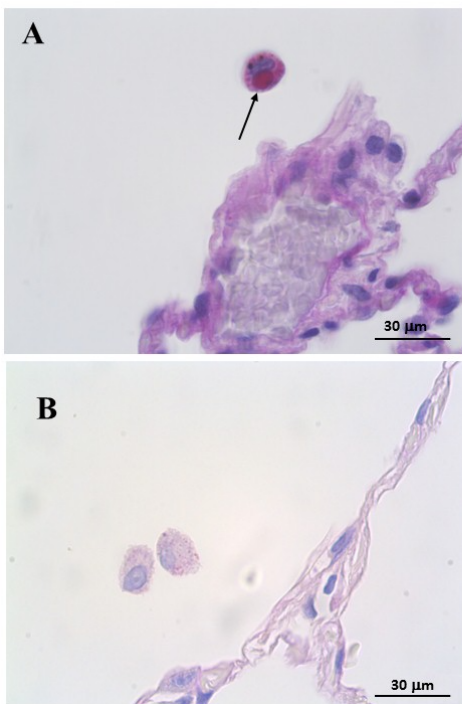
557 Fig. 1



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560 Fig.2



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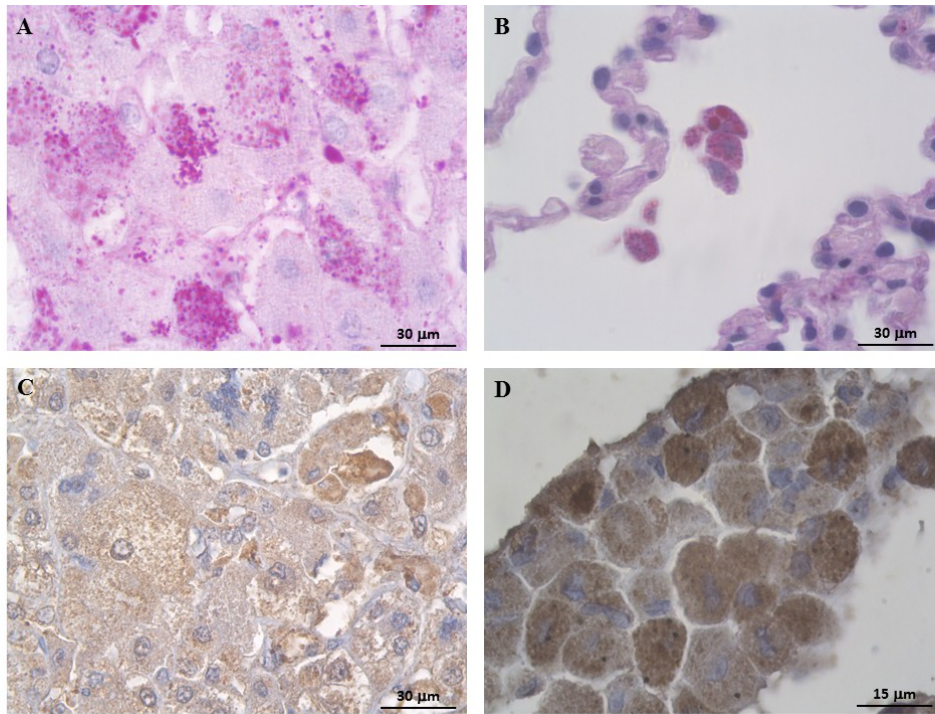
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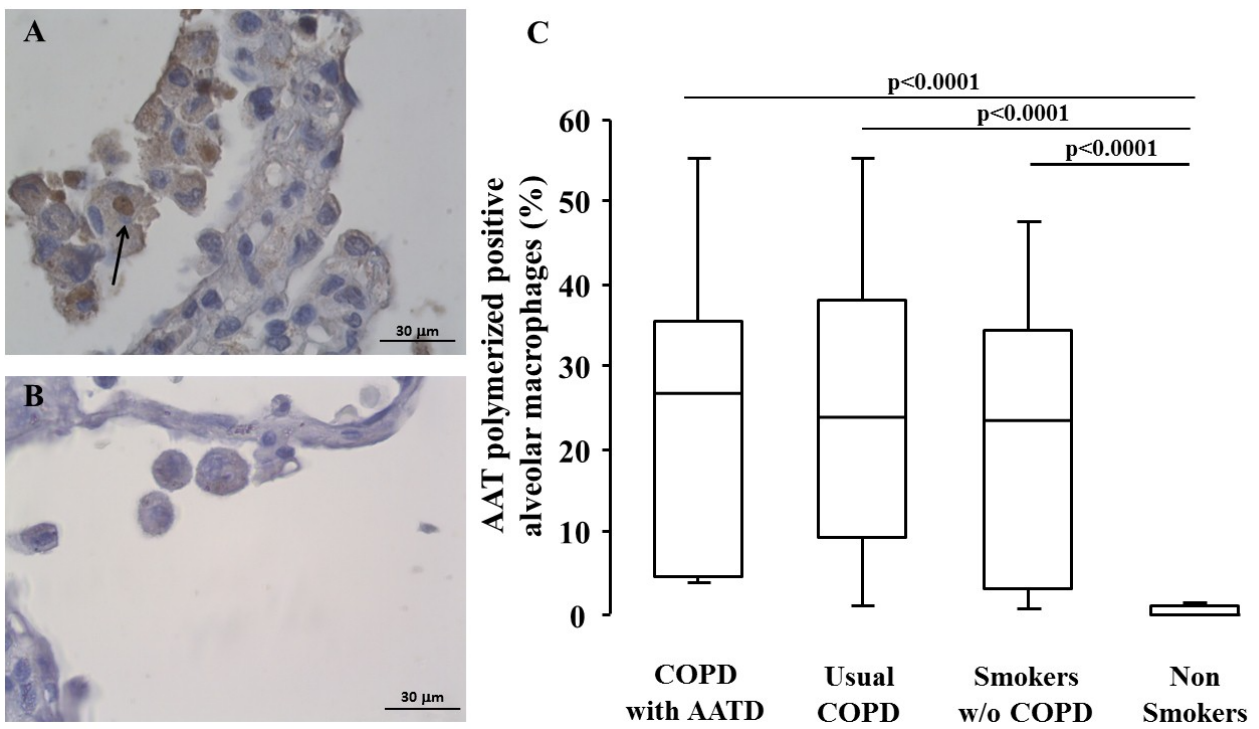
566 Fig.3



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569 Fig.4



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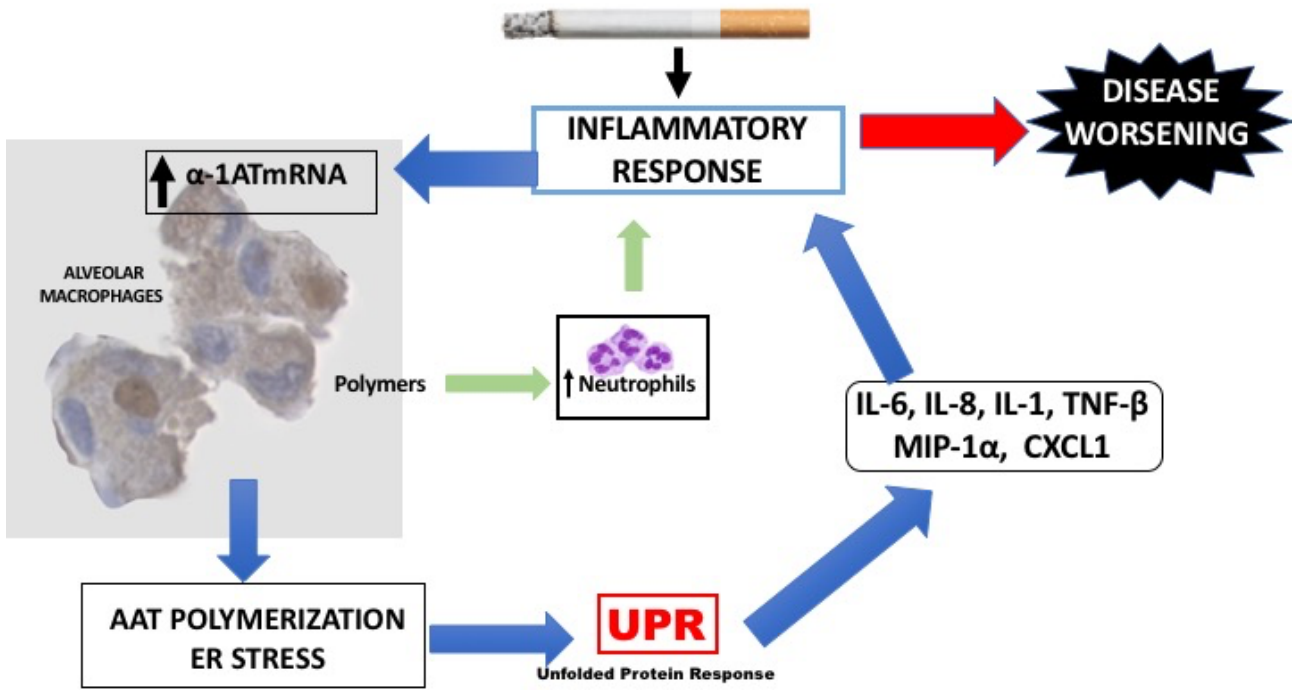
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575 Fig.5



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