

## 哮喘-慢阻肺重叠综合征、哮喘及慢阻肺患者的肺功能及临床特征比较

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**摘要:**目的 分析哮喘-慢阻肺重叠综合征 (asthma-COPD overlap syndrome, ACOS)、哮喘及慢性阻塞性肺疾病 (简称慢阻肺) 患者的肺功能及临床特征, 以提高 ACOS 的早期诊治水平。方法 收集解放军总医院呼吸科门诊及住院的 ACOS、哮喘及慢阻肺患者资料, ACOS 组 30 例, 哮喘组 30 例, 慢阻肺组 30 例; 比较 3 组患者的性别、年龄、肺功能、呼出气一氧化氮 (FeNO)、外周血嗜酸性细胞百分比、血清总 IgE 水平及临床症状评分。结果 ACOS 组平均年龄 (59.1 ± 12.0) 岁, 60 岁以上占 50%。ACOS 组 FEV<sub>1</sub>% 预计值 (55.01% ± 21.26%) 显著低于哮喘组 (71.52% ± 24.80%) ( $P < 0.05$ ); ACOS 组吸入  $\beta_2$  受体激动剂前 FEV<sub>1</sub>/FVC% (51.11% ± 13.17%) 显著低于哮喘组 (63.95% ± 13.54%) ( $P < 0.05$ ); ACOS 组小气道功能障碍 29 例 (96.7%), 显著多于哮喘组的 23 例 (76.7%) ( $P < 0.05$ ); ACOS 组 RV/TLC% (46.9% ± 10.5%) 显著高于哮喘组 (30.3% ± 6.5%) ( $P < 0.05$ )。ACOS 组 DLco-SB% (60.9% ± 15.9%) 显著低于哮喘组 (88.3% ± 16.6%) ( $P < 0.05$ ), 但显著高于慢阻肺组 (50.5% ± 16.0%) ( $P < 0.05$ )。ACOS 组 FEV<sub>1</sub>%pred、FEV<sub>1</sub>/FVC%、小气道功能障碍的比例及 RV/TLC% 与慢阻肺组差异无统计学意义。ACOS 组外周血嗜酸性细胞百分比 (4.12% ± 3.86%) 显著低于哮喘组 (6.65% ± 6.17%) ( $P < 0.05$ )。总 IgE 升高者在 ACOS 中占 60%, 哮喘中占 56.7%, 慢阻肺中占 10%。ACOS 组 FeNO 值为 (43.75 ± 24.29) ppb, 显著低于哮喘组的 (63.90 ± 52.97) ppb, 但高于慢阻肺组的 (32.53 ± 18.33) ppb ( $P < 0.05$ )。临床症状评分 3 组间差异无统计学意义。结论 与哮喘组比较, ACOS 组患病年龄大, 肺通气功能下降更明显, 小气道功能障碍患者比例更多, 肺残气量更高, 肺弥散功能更差, FeNO 值更低, 外周血嗜酸性细胞百分比更低。与慢阻肺组比较, ACOS 组肺弥散功能更好, 总 IgE 升高者更多。

**关键词:** 哮喘-慢阻肺重叠综合征; 哮喘; 慢性阻塞性肺疾病; 肺功能; 呼出气一氧化氮

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### Asthma, COPD, and asthma-COPD overlap syndrome: pulmonary function and clinical features

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**Abstract: Objective** To compare the lung function and clinical features of asthma-COPD overlap syndrome (ACOS), asthma, and COPD for improving the early diagnosis and treatment of ACOS. **Methods** Selected patients in department of respiratory Chinese PLA General Hospital were classified as ACOS group (n=30), asthma group (n=30) and COPD group (n=30). Clinical data were collected and compared between three groups, including gender, age, pulmonary function, fractional exhaled nitric oxide (FeNO), peripheral eosinophil count, total level of IgE and clinical symptom scores. **Results** The mean age of patients in ACOS group was (59.1 ± 12.0) years with 50% of patients over the age of 60. The predicted level of forced expiratory volume in 1 second (FEV<sub>1</sub>%) was significantly lower in ACOS group than asthma group [(55.01% ± 21.26%) vs (71.52% ± 24.80%),  $P < 0.05$ ]; Before inhalation of short-acting  $\beta_2$ -agonists, the FEV<sub>1</sub>/FVC% was significantly lower in ACOS group than asthma group [(51.11% ± 13.17%) vs (63.95% ± 13.54%),  $P < 0.05$ ]; The number of patients with small airway function obstacle in ACOS group was significantly greater than that in asthma group [29 cases (96.7%) vs 23 cases (76.7%),  $P < 0.05$ ]; And RV/TLC% in ACOS group was significantly higher than asthma group [(46.9% ± 10.5%) vs (30.3% ± 6.5%),  $P < 0.05$ ]. DLco-SB % in ACOS group was significantly lower than asthma group [(60.9% ± 15.9%) vs (88.3% ± 16.6%),  $P < 0.05$ ], but it was significantly higher than COPD group [(60.9% ± 15.9%) vs (50.5% ± 16.0%),  $P < 0.05$ ]. While, there was no statistically significant difference in FEV<sub>1</sub>% predicted, FEV<sub>1</sub>/FVC%, proportion of patients with small airway function obstacle and RV/TLC% between ACOS group and COPD group. The peripheral eosinophil count in ACOS group was significantly lower than asthma group [(4.12% ± 3.86%) vs (6.65% ± 6.17%),  $P < 0.05$ ]. The proportion of patients with increased total IgE accounted for 60% in ACOS group, 56.7% in asthma group and 10% in COPD group. FeNO value in ACOS group was significantly lower than asthma group [(43.75 ± 24.29) ppb vs (63.90 ± 52.97) ppb,  $P < 0.05$ ], but it was

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higher than COPD group [(43.75 ± 24.29) ppb vs (32.53 ± 18.33) ppb,  $P < 0.05$ ]. There was no statistically significant difference in clinical symptom scores between three groups. **Conclusion** Compared with asthma group, patients in ACOS group are older with more significant decrease in pulmonary ventilation function, higher proportion of patients with small airway function disorder, higher residual capacity, lower diffusion capacity, lower FeNO value and peripheral eosinophil count. However, patients in ACOS group show higher diffusion capacity and higher proportion of elevated total IgE when compared with patients in COPD group.

**Keywords:** asthma-COPD overlap syndrome; asthma; chronic obstructive lung disease; lung function; exhaled nitric oxide

支气管哮喘(简称哮喘)和慢性阻塞性肺疾病(简称慢阻肺)是两种常见的慢性气道阻塞性疾病,二者共同的病理生理特征是气流受限,但其临床特点和发病机制不同。通常认为哮喘和慢阻肺是两种不同的疾病,然而近年发现两者存在一些重叠。对一些存在持续气流受限的老年患者,临床可能同时有哮喘及慢阻肺的特征。2014年全球哮喘防治倡议(GINA)和全球慢阻肺防治倡议(GOLD)科学委员会共同提出哮喘-慢阻肺重叠综合征(asthma-COPD overlap syndrome, ACOS)的新名称<sup>[1-2]</sup>。ACOS的特征为持续性气流受限,同时具备哮喘和慢阻肺特征,即同一患者同时存在哮喘和慢阻肺的特征才可以诊断为ACOS。目前国内对ACOS患者的临床特征及肺功能研究较少。本研究比较ACOS、哮喘及慢阻肺患者的肺功能及临床特征,以期提高ACOS的早期诊治水平。

### 资料和方法

**1 一般资料** 收集2014年6月-2016年1月就诊于解放军总医院呼吸科的ACOS、哮喘、慢阻肺患者的一般资料、ACT评分、CAT评分、mMRC分级、外周血、血清总IgE水平、肺功能、呼出气一氧化氮(FeNO)值。哮喘组入选标准为符合GINA 2014指南的持续期中、重度患者<sup>[1]</sup>;慢阻肺组入选标准为符合GOLD指南中综合评估为C、D组的患者<sup>[2]</sup>;ACOS诊断标准参照GINA 2014~2015<sup>[1-2]</sup>。ACOS患者的哮喘分级为中度持续(第3级)、重度持续(第4级),ACOS患者慢阻肺的综合评估为C、D组<sup>[2]</sup>。本研究经解放军总医院伦理委员会审批。

**2 检测指标及方法** 患者分为ACOS组(30例)、哮喘组(30例)、慢阻肺组(30例),分别记录3组患者的性别、年龄、体质量指数(body mass index, BMI)、外周血嗜酸性粒细胞百分比、血清总IgE水平、肺功能、FeNO值。肺通气功能测定包括第1秒用力呼气容积占预计值百分比(FEV<sub>1</sub>%pred)、第1秒用力呼气容积占用力肺活量百分比(FEV<sub>1</sub>/FVC%)、小气道功能障碍指标[小气道功能障碍标准:用力呼气50%肺活量的瞬间流量(FEF50%)、

用力呼气75%肺活量的瞬间流量(FEF75%)、最大呼气中期流量(MMEF%)3项中任意两项<65%为小气道功能障碍<sup>[3]</sup>],吸入支气管扩张剂后FEV<sub>1</sub>变异率、残气量与肺总量百分比(RV/TLC%)、肺一氧化碳弥散量(DLco%)、呼出气一氧化氮浓度(FeNO)。对比分析3组患者间上述指标的差异。

**3 统计学分析** 所有数据经SPSS20.0统计学软件分析。计量资料以 $\bar{x} \pm s$ 表示,组间比较采用单因素方差分析,两两比较采用SNK检验。计数资料比较采用 $\chi^2$ 检验, $P < 0.05$ 为差异有统计学意义。

### 结果

**1 3组一般情况比较** ACOS组男女比例1:1.31,平均年龄(59.1 ± 12.0)岁;哮喘组男女比例为1:1.14,平均年龄(42.6 ± 15.1)岁;慢阻肺组男女比例为1:0.58,平均年龄(63.13 ± 11.76)岁。3组受试者性别比例、BMI差异均无统计学意义( $P > 0.05$ )。ACOS组外周血嗜酸性粒细胞百分比(4.12% ± 3.86%)显著低于哮喘组(6.65% ± 6.17%)( $P < 0.05$ ),但ACOS组与慢阻肺组(3.82% ± 2.39%)差异无统计学意义。总IgE升高者ACOS组占60%,哮喘组占56.7%,慢阻肺组占10%。临床症状评分:ACT评分ACOS组(12.3 ± 2.1)与哮喘组(15.5 ± 2.9)差异无统计学意义( $P > 0.05$ );CAT评分、mMRC分级ACOS组与慢阻肺组差异无统计学意义( $P > 0.05$ )(表1)。

**2 3组肺功能比较** ACOS组FEV<sub>1</sub>%pred、FEV<sub>1</sub>/FVC%、DLco-SB%显著低于哮喘组( $P < 0.05$ );ACOS组RV/TLC%显著高于哮喘组( $P < 0.05$ ),DLco-SB%显著高于慢阻肺组( $P < 0.05$ )。ACOS组小气道功能障碍29例(96.7%),显著多于哮喘组23例(76.7%)( $P < 0.05$ ),但与COPD组(27例,90%)差异无统计学意义( $P > 0.05$ )。ACOS组FEV<sub>1</sub>%pred、FEV<sub>1</sub>/FVC%、RV/TLC%与慢阻肺组差异无统计学意义( $P > 0.05$ )。见表2。

**3 3组吸入支气管扩张剂后FEV<sub>1</sub>变异率的比较** 吸入支气管扩张剂后,ACOS组FEV<sub>1</sub>的变异率(20.2 ± 17.4)显著高于慢阻肺组(4.5 ± 3.9)( $P < 0.05$ ),

表1 ACOS、哮喘、慢阻肺患者的临床特征

Tab. 1 Clinical characteristics of patients with ACOS or asthma or COPD

	Asthma (n=30)	COPD (n=30)	ACOS (n=30)	P
Age (yrs)	42.6 ± 15.1	63.13 ± 11.76	59.1 ± 12.0	0.551
Sex				0.378
Male (n, %)	14(46.7)	15(50.00)	13(43.3)	
Female (n, %)	16(53.3)	16(50.00)	17(56.7)	
BMI (kg/m <sup>2</sup> )	24.60 ± 3.00	24.20 ± 3.10	25.30 ± 3.80	0.432
Peripheral eosinophil count (%)	6.65 ± 6.17 <sup>a</sup>	3.82 ± 2.39	4.12 ± 3.86	0.000
Proportion of patients with elevated total IgE (%)	56.70	10.00	60.00	0.000

<sup>a</sup>P < 0.05, vs ACOS group

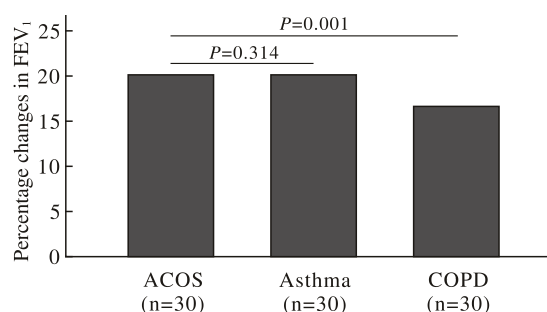
表2 ACOS、哮喘、慢阻肺患者肺功能的比较

Tab. 2 Pulmonary function of patients with ACOS or asthma or COPD

	Asthma (n=30)	COPD (n=30)	ACOS (n=30)
FEV <sub>1</sub> %pred	71.52 ± 24.80 <sup>a</sup>	53.09 ± 15.78	55.01 ± 21.26
FVC%pred	90.38 ± 19.45	92.00 ± 18.33	91.38 ± 17.96
FEV <sub>1</sub> /FVC%	63.95 ± 13.54 <sup>a</sup>	52.79 ± 12.06	51.11 ± 13.17
Proportion of small airway function odstacle (n, %)	29(96.70) <sup>a</sup>	27(90.00)	23(76.70)
RV/TLC%	30.30 ± 6.50 <sup>a</sup>	45.50 ± 9.40 <sup>a</sup>	46.90 ± 10.50
DLco-SB%	88.30 ± 16.60 <sup>a</sup>	50.50 ± 16.00 <sup>a</sup>	60.90 ± 15.90
FeNO	63.90 ± 52.97 <sup>a</sup>	32.53 ± 18.33 <sup>a</sup>	43.75 ± 24.29

<sup>a</sup>P < 0.05, vs ACOS group

但 ACOS 组与哮喘组 (16.7 ± 10.0) 差异无统计学意义 ( $P > 0.05$ )。见图 1。

图1 3组患者吸入支气管扩张剂后FEV<sub>1</sub>的变异率比较Fig.1 Comparison of changes of FEV<sub>1</sub> in patients in three groups after inhaling bronchodilator

## 讨论

本研究发现, ACOS 患者中年龄 > 60 岁者占 50%, ACOS 发病年龄明显高于哮喘但低于慢阻肺。文献报道 ACOS 患病率与年龄呈正相关, 多 > 40 岁, 40 岁以下人群约 10%, > 80 岁者约 50%, 部分患者在儿童期或青少年期出现症状<sup>[4-5]</sup>。因此老年慢阻肺患者如有接触过敏等因素后出现反复发作性喘息并伴有可逆性气流受限的情况, 应注意鉴别有无 ACOS。

ACOS 组患者 FEV<sub>1</sub>%pred、FEV<sub>1</sub>/FVC % 明显低于哮喘组 ( $P < 0.05$ ), 但与慢阻肺组差异无统计

学意义, 提示 ACOS 患者肺通气功能受损及气道阻塞程度重于哮喘, 预后较差。Chung 等<sup>[6]</sup>对 210 例 ACOS 的研究发现, ACOS 组的 FEV<sub>1</sub>% 和 FEV<sub>1</sub>/FVC % 均低于哮喘和慢阻肺, 提示 ACOS 患者的气流受限程度重于单纯哮喘和慢阻肺。但 Fu 等<sup>[7]</sup>的研究显示 ACOS 的 FEV<sub>1</sub>% 和 FEV<sub>1</sub>/FVC % 均低于哮喘, 但与慢阻肺无显著差异, 认为 ACOS 的气流受限与慢阻肺相似, 并且 FEV<sub>1</sub>% 下降是 ACOS 的危险因素。

本研究发现, ACOS 组吸入支气管扩张剂后 FEV<sub>1</sub> 的变异率显著高于慢阻肺组, 但 ACOS 组与哮喘组差异无统计学意义, 提示与慢阻肺相比, ACOS 患者气流受限可逆程度更大。其原因有以下两种: 首先相较于慢阻肺患者, ACOS 患者气道重塑的发生率低; 其次本研究中 ACOS 患者总 IgE 水平高者比例高于哮喘组。IgE 是过敏性疾病的介导因素, 也可以导致气道受限程度高于哮喘。Kitaguchi 等<sup>[8]</sup>报道的 ACOS 患者气流受限可逆程度高于哮喘及慢阻肺患者, 与本研究结果略有不同。支持本研究结果的文献为 2012 年西班牙慢阻肺专家共识<sup>[9]</sup>, 在该共识中, ACOS 的主要诊断标准之一为慢阻肺患者如有显著的支气管舒张试验阳性, 即吸入支气管舒张剂后 FEV<sub>1</sub> 较基础值增加率 ≥ 15% 且 FEV<sub>1</sub> 绝对值增加 ≥ 400 ml; 次要标

准中包括 $\geq 2$ 次支气管舒张试验阳性及总 IgE 升高。说明支气管舒张试验阳性及总 IgE 升高在 ACOS 的诊断中具有重要作用,也是区别 ACOS 与慢阻肺的重要指标。

ACOS、哮喘、慢阻肺患者均存在小气道功能障碍,但 ACOS 组小气道功能障碍患者比例显著高于哮喘组,可能是由于 ACOS 同时有哮喘、慢阻肺的特征。ACOS 患者因哮喘反复发作,支气管平滑肌从痉挛发展至支气管壁增厚,黏膜充血水肿,最终导致气道重塑。同时 ACOS 患者因慢阻肺导致的小气道炎症一般在病程的早期就出现并持续存在且程度重于哮喘患者<sup>[10]</sup>。此外,ACOS 患者小气道炎症引起气道管壁增厚、管腔狭窄、外周阻力增加和气道反应性升高,从而导致小气道阻塞更严重。

ACOS 组的残气功能(RV/TLC%)明显高于哮喘组,但与慢阻肺组差异无统计学意义。由于 ACOS 患者的肺气肿持续存在,肺泡壁的破坏导致肺顺应性上升,肺的弹性回缩力下降,RV 增高并随着肺泡间隔破坏程度的加重而加重<sup>[11]</sup>。而哮喘患者可能存在一过性肺气肿,经治疗或自行缓解。

文献报道 ACOS 患者 DLco% 显著低于哮喘患者而高于慢阻肺患者,哮喘患者高于慢阻肺患者<sup>[12-14]</sup>。国内文献报道,与哮喘相比,慢阻肺的弥散功能下降更明显( $P < 0.05$ )<sup>[15-16]</sup>。本研究与上述文献一致。慢阻肺的肺泡壁破坏引起肺毛细血管床减少,致使 V/Q 比例失调,气体交换的有效面积减少且厚度增加,换气功能严重阻碍,导致 DLco% 降低。而支气管哮喘患者多以气道重塑为主,主要影响气道平滑肌,而对肺部的毛细血管无明显影响,因此支气管哮喘患者的弥散功能无明显变化<sup>[17]</sup>。ACOS 的弥散下降考虑源自于慢阻肺,但由于肺组织结构无破坏,DLco% 可能保持正常水平。

FeNO 作为无创、安全的嗜酸性气道炎症的标记物,在哮喘的诊断中具有较高的特异度和敏感度,目前主要应用于诊断哮喘、筛选对吸入糖皮质激素治疗敏感的患者并协助调整哮喘的药物治。本研究 ACOS 组 FeNO 显著低于哮喘组,但高于慢阻肺组,提示 ACOS 组存在的嗜酸性粒细胞气道炎症程度比哮喘轻,但比慢阻肺重。文献报道,ACOS 的气道炎症性质与慢阻肺相似,可能与慢阻肺的中性粒细胞炎症有关<sup>[18-19]</sup>。然而,Barrecheguren 等<sup>[20]</sup>认为 ACOS 具有嗜酸性粒细胞性炎症,关于 ACOS 的气道炎症有待于进一步研究。

本研究中 ACOS 组外周血嗜酸性粒细胞百分比显著低于哮喘组,但与慢阻肺组比较差异无统计学意义。本研究结果提示,ACOS 可能是由嗜酸性粒细胞和中性粒细胞共同介导的重叠气道炎症。哮喘通常以嗜酸性粒细胞炎症为主,由 CD4<sup>+</sup> T 淋巴细胞介导并释放 IL-4、IL-5、IL-13 等嗜酸性炎症介质<sup>[21]</sup>。文献报道,ACOS 患者的外周血嗜酸性粒细胞水平显著高于稳定期慢阻肺患者<sup>[14]</sup>。关于 ACOS 的气道炎症表型,还需进一步研究。

本研究中 ACOS、哮喘、慢阻肺患者临床症状评分差异无统计学意义,但 Kurashima 等<sup>[22]</sup>报道 ACOS 临床表现为咳嗽、咳痰、呼吸困难更明显,可能与其入组的 ACOS 患者年龄更大、吸烟史更长有关。

综上所述,ACOS 的特征是持续性气流受限,同时具有与哮喘和慢阻肺相关的特征。目前 ACOS 的定义、诊断标准、严重程度分级、临床评估方法、治疗方案及疗程尚不完善。今后需通过前瞻性、随机、多中心的临床试验,探讨 ACOS 的临床特征、早期诊断及治疗策略。

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