

1 **A comparison of CT based measures of skeletal muscle mass and density from the Th4 and L3 levels**  
2 **in patients with advanced non-small-cell lung cancer**

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4 Bjørn H. Grønberg,<sup>1,2</sup> Bjørg Sjøblom,<sup>3</sup> Tore Wentzel-Larsen,<sup>4,5,6</sup> Vickie E. Baracos,<sup>7</sup> Marianne J.  
5 Hjermland,<sup>8,9</sup> Nina Aass,<sup>3,8</sup> Roy M. Bremnes,<sup>10,11</sup> Øystein Fløtten,<sup>12</sup> Asta Bye,<sup>9,13</sup> Marit Jordhøy<sup>8,14</sup>

6  
7 <sup>1</sup>Department of Clinical and Molecular Medicine, Faculty of Medicine, NTNU, Norwegian University of  
8 Science and Technology, Trondheim, Norway

9 <sup>2</sup>The Cancer Clinic, St. Olav's Hospital, Trondheim University Hospital, Trondheim, Norway

10 <sup>3</sup>Department of Oncology, Oslo University Hospital, Oslo, Norway

11 <sup>4</sup>Norwegian Centre for Violence and Traumatic Stress Studies, Oslo, Norway

12 <sup>5</sup>Centre for Child and Adolescent Mental Health, Eastern and Southern Norway, Oslo, Norway

13 <sup>6</sup>Centre for Clinical Research, Haukeland University Hospital, Bergen, Norway

14 <sup>7</sup>Department of Oncology, Division of Palliative Care Medicine, University of Alberta, Edmonton, Canada

15 <sup>8</sup>Institute of Clinical Medicine, Faculty of Medicine, University of Oslo, Oslo, Norway

16 <sup>9</sup>European Palliative Care Research Centre, Department of Oncology, Oslo University Hospital, Oslo,  
17 Norway

18 <sup>10</sup>Department of Oncology, University Hospital North Norway, Tromsø, Norway

19 <sup>11</sup> Department of Clinical Medicine, Faculty of Medicine, University in Tromsø, Norway

20 <sup>12</sup>Department of Thoracic Medicine, Haukeland University Hospital, Bergen, Norway

21 <sup>13</sup>Department of Nursing and Health Promotion, Faculty of Health Sciences, Oslo Metropolitan University,  
22 Oslo, Norway

23 <sup>14</sup>Department of Internal Medicine, Innlandet Hospital Trust, Hamar, Norway

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28 lean body muscle mass; skeletal muscle mass; prognostic factor; body composition

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33 **Abstract:**

34 **Background**

35 Muscle mass and density assessed from CT-images at the L3 level are prognostic for survival and predict  
36 toxicity in cancer patients. However, L3 is not always included on routine CT-scans. We aimed to investigate  
37 whether images at the Th4 level may be used instead.

38

39 **Methods**

40 Patients from three chemotherapy trials in advanced NSCLC were eligible (n=1305). Skeletal muscle area  
41 (cm<sup>2</sup>), skeletal muscle index (SMI, cm<sup>2</sup>/m<sup>2</sup>) and skeletal muscle density (SMD) at Th4 and L3 levels were  
42 assessed from baseline CT-scans. SMI and SMD at the Th4 and L3 level were transformed into z-scores  
43 and the agreement between scores was investigated by Bland-Altman plots and estimated by intra-class  
44 correlation analyses. Linear regression was used to test if Th4 SMI and SMD z-scores predicted L3 SMI and  
45 SMD z-scores.

46

47 **Results**

48 CT-images from 401 patients were analyzable at both levels. There was a moderate agreement between  
49 Th4 and L3 SMI z-scores with an intra-class correlation of 0.71 (95% CI 0.64–0.77) for men and 0.53 (95%  
50 CI 0.41–0.63) for women. Regression models predicting L3 SMI z-scores from Th4 SMI z-scores showed  
51 coefficients of 0.71 (95% CI 0.62-0.80) among men and 0.53 (95% CI 0.40-0.66) among women. R-squares  
52 were 0.51 and 0.28 respectively, indicating moderate agreement. A similar, moderate agreement between  
53 Th4 and L3 SMD z-scores was observed.

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55 **Conclusion**

56 There was only moderate agreement between muscle measures from Th4 and L3 levels, indicating that  
57 missing data from the L3 level cannot be replaced by analyzing images at the Th4 level.

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65 **Introduction**

66 Changes in human body composition related to aging and disease is gaining increasing interest. A particular  
67 focus has been rendered to muscle wasting and thereby loss of lean body mass (LBM). In aging, muscular  
68 depletion is associated with frailty and several negative health outcomes, including mortality.<sup>1,2</sup> In cancer  
69 populations, an increasing body of evidence links this feature to cachexia,<sup>3</sup> worse survival,<sup>4-7</sup> and increased  
70 risk of toxicity from systemic cancer therapy.<sup>8-12</sup> Associations with postoperative infections and delayed  
71 recovery after surgery for colorectal cancer have also been reported.<sup>13</sup> Muscle wasting may occur in obese  
72 patients (sarcopenic obesity) as well as in those who are normal or underweight. It is, however, frequently  
73 undetected since both weight and body mass index (BMI) are poor indicators of LBM.<sup>14</sup>

74 There are several options for body composition assessment, including bioelectrical impedance  
75 analyses (BIA), dual energy X-ray absorptiometry (DXA) and analyses of computed tomography (CT)  
76 images.<sup>15</sup> The latter method is particularly convenient in oncology settings due to frequent, routine CT-  
77 imaging for diagnosis, staging, treatment evaluation and follow-up. In contrast to BIA and DXA, CT images  
78 provide specific details on muscle characteristics, adipose tissues and organs. Furthermore, skeletal muscle  
79 area quantified from a single CT slice at the third lumbar level (L3) is closely correlated to the estimated total  
80 lean body skeletal muscle mass (LBM).<sup>15, 16</sup> Thus, utilizing CT images at the L3 level to assess body  
81 composition has become the gold standard in studies on cancer patients.<sup>3, 17</sup>

82 CT based assessment makes it possible to measure skeletal muscle radiodensity (SMD) in addition  
83 to muscle mass. SMD is expressed as the mean Hounsfield Units (HU) of the measured cross sectional  
84 muscle area. Low values reflect increased fat deposits,<sup>18</sup> are associated with older age,<sup>19, 20</sup> and when  
85 measured at the lumbar level, they are also linked to worse survival in cancer patients.<sup>7, 21</sup> In non-cancer  
86 populations, both SMD- and age-related differences between muscle groups have been found, indicating  
87 that the underlying etiological factors for muscle wasting may not affect all muscles similarly.<sup>19</sup>

88 In non-small cell lung cancer (NSCLC), cachexia and muscle wasting are common and associated  
89 with worse prognosis and increased risk of treatment toxicity.<sup>7, 12, 22</sup> However, diagnostic work-up of these  
90 patients is usually restricted to a CT-scan of the thorax and upper abdomen which often does not include the  
91 L3 level. Thus, CT-images at the fourth thoracic level (Th4) have been used to assess skeletal muscle mass  
92 and its relation to survival in lung cancer patients.<sup>23, 24</sup> There is, however, limited knowledge about the  
93 agreement between muscle-measures at the L3 and at Th4 level,<sup>25</sup> and none have compared muscular SMD  
94 at these levels in cancer patients. Based on data from three Norwegian randomized controlled trials (RCT)  
95 comparing first line chemotherapy regimens in advanced non-small cell lung cancer (NSCLC),<sup>26-28</sup> we aimed  
96 at investigating whether L3 muscle mass and SMD might be reliably predicted from Th4 measures.

97 **Methods**

98 **Study sample**

99 The trials which this study is based upon were conducted from 2003 to 2009, and the main inclusion criteria  
100 were: Chemonaïve patients, age  $\geq 18$  years, stage IIIB/IV NSCLC and performance status (PS) 0-2. In all  
101 trials, the diagnostic work-up included a CT scan of the thorax and upper abdomen obtained within four  
102 weeks before chemotherapy commenced. These CT scans were collected retrospectively for assessment of  
103 LBM. For the present study, we included patients if the baseline CT-scan included analysable images both at  
104 the Th4 and L3 levels.

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106 **Body composition assessments**

107 The diagnostic CT scans were analysed using Slice-O-Matic software (v.4.3 Tomovision, Montreal Canada)  
108 by three similarly trained observers blinded for other patient data. The first image in the caudal direction  
109 where both vertebral transverse processes were visible was used to manually outline the skeletal muscle  
110 tissue at the Th4 and L3 level, respectively. Based on pre-established thresholds of Hounsfield Units (HU) in  
111 the range of  $-29$  to  $+150$  HU,<sup>15, 16</sup> the cross-sectional areas ( $\text{cm}^2$ ) of the outlined muscle tissues at the Th4  
112 and L3 levels were automatically calculated by the software, normalised for stature (height squared), and  
113 expressed as Th4 and L3 skeletal muscle index (Th4 SMI,  $\text{cm}^2/\text{m}^2$  and L3 SMI,  $\text{cm}^2/\text{m}^2$ ). Optimally the whole  
114 circumference of the body should be included in the images at the L3 and Th4 levels to enable an exact  
115 quantification of the respective tissue areas. In some patients, parts of the muscular tissue were missing on  
116 the CT scans. If less than half of the circumference was missing, the total area was estimated by doubling  
117 the area of the opposite half of the body. If more than half of the circumference was missing, no  
118 quantification was possible and the patient was excluded from the analyses. SMD was assessed as the  
119 mean HU of the entire cross sectional muscle area at levels Th4 and L3.

120 The patients' BMI (weight (kg)/height ( $\text{m}^2$ )) were calculated based on baseline data from the RCTs.  
121 No systematic registration of weight loss at baseline was conducted, hence we used appetite loss registered  
122 on the European Organisation of Research and Treatment of Cancer Quality of Life Questionnaire Core 30  
123 (EORTC QLQ-C30) as a supplementary indicator of nutrition status.

124

125 **Statistics**

126 Data from all RCTs were analysed jointly. Body composition measures were compared between men and  
127 women by independent sample t-tests, and all analyses investigating agreement between measures at the  
128 Th4 and L3 level were done for each gender separately.

129 First, we investigated the agreement between the L3 skeletal muscle area, SMI and SMD and the  
130 corresponding measures at the Th4 level using scatterplots. Then, the SMI and SMD from both levels were  
131 transformed into z-scores, separately for men and women. The agreement between Th4 SMI z-scores and  
132 L3 SMI z-scores were investigated by Bland-Altman diagrams with locally fitted smooth (loess) curves, and  
133 by intraclass correlation. Whether Th4 SMI and SMD z-scores could predict L3 SMI and SMD z-scores were  
134 tested using linear regression. Finally, we tested the precision with which individual missing L3 SMI and SMD  
135 values could be estimated by using the patients' z-scores from the corresponding Th4 SMI and SMD values.  
136 L3 SMI was recomputed using the mean L3 SMI for the cohort + SD x Th4 SMI z-score. The L3 SMD was  
137 recomputed similarly. The agreement between actual and recomputed L3 SMI and SMD were then  
138 examined by scatter plots.

139 All p-values were two-sided and p-values < 0.05 were used to define statistical significance. The  
140 statistical analyses were performed using IBM SPSS version 18 (IBM Corporation, Armonk, NY, USA).

141

## 142 **Ethics**

143 The study was performed according to the Helsinki declaration and approved by the Regional Committee for  
144 Medical and Health Research Ethics in South-East Norway.

145

## 146 **Results**

147 Overall, we were able to retrieve CT scans from 1119 of the 1305 study participants (85.7%). Among these,  
148 688 scans did not include images at the levels of interest or enough of the circumference, or the quality was  
149 too poor for the analyses (Figure 1). Furthermore, 30 patients were excluded due to missing data on SMD  
150 either at the L3 or Th4 level (24 patients) or on relevant baseline characteristics (e.g. height and weight) (6  
151 patients). Thus, 401 patients (30.7%) were included in the present study (Figure 1). The main baseline  
152 characteristics of these patients are presented in Table 1. 220 were men (54.9%); mean age was 66 years;  
153 100 (25%) were younger than 60 years, 79 (19.7%) were 75 years or older; 316 patients (78.8%) had stage  
154 IV disease; and 89 (22.2%) had PS 2.

155

## 156 **Body composition**

157 The mean cross-sectional muscle area (cm<sup>2</sup>) and the SMI (cm<sup>2</sup>/m<sup>2</sup>) of the overall study sample were larger at  
158 the Th4 level than at the L3 level: 176.4 cm<sup>2</sup> versus 130.6cm<sup>2</sup>, and 60.0 cm<sup>2</sup>/m<sup>2</sup> versus 44.5 cm<sup>2</sup>/m<sup>2</sup>. Th4  
159 SMD was also higher than the L3 SMD in the overall sample (41.5 HU vs 36.9 HU) both among men (42.0  
160 HU vs. 37.2) and women (40.8 vs 36.5) (Table 2). Comparing men to women, muscle area and SMI were

161 significantly larger in men, whereas no significant difference between genders was found for SMD. The  
162 muscle measures were close to normally distributed.

163

#### 164 **Agreement between thoracic and lumbar muscle measures**

165 Scatterplots of the Th4 and L3 muscle area (cm<sup>2</sup>), and Th4 and L3 SMI (cm<sup>2</sup>/m<sup>2</sup>) showed a substantial  
166 spread around the lines of complete agreement, indicating only moderate agreement (Figure 2).

167 A Bland Altman plot (Figure 3A) investigating the agreement between Th4 and L3 SMI, transformed  
168 into corresponding z-scores, showed no substantial systematic deviation between the two levels and no  
169 substantial difference by gender. There was, however, a considerable spread in the difference between Th4  
170 and L3 z-scores, and the intraclass correlation (single measures) was 0.71 (95% CI 0.64 – 0.77) for men and  
171 0.53 (95% CI 0.41 – 0.63) for women, i.e. consistent with a medium agreement. Regression models  
172 predicting L3 SMI z-scores from Th4 SMI z-scores showed coefficients of 0.71 (95% CI 0.62 - 0.80) in the  
173 male population and 0.53 (95% CI 0.40 - 0.66) among females. The R squares for these models were 0.50  
174 and 0.28 respectively, indicating that the Th4 SMI z-scores were only moderately related to the L3 SMI z-  
175 scores.

176 Regarding the agreement between z-scores transformed from Th4 and L3 SMD, the Bland Altman  
177 plot (Figure 3B) showed results fairly consistent with those for the SMI, except that the spread of differences  
178 was considerably larger. The intraclass correlation (single measures) between Th4 SMD and L3 SMD z-  
179 scores was 0.71 (95% CI 0.64 – 0.77) for men, and 0.76 (95% CI 0.70 – 0.82) for women. The regression  
180 models predicting L3 SMD z-scores from Th4 SMD z-scores showed closely similar coefficients for men and  
181 women, 0.71 (95% CI 0.62 - 0.80) and 0.76 (95% CI 0.67 – 0.86), respectively. The R squares for these  
182 models were 0.50 for men and 0.58 for women.

183 Scatterplots of the actual L3 SMI and SMD plotted against the L3 SMI and SMD recomputed by Th4  
184 SMI by z-scores (Figure 3 B and C) showed a substantial spread of the actual values when compared to the  
185 estimated values.

186

#### 187 **Discussion**

188 In this study comparing muscle measures from CT images at both Th4 and L3 levels, using widely accepted  
189 methodology, we found that the muscle area was larger at the thoracic level in both genders. There was also  
190 a substantial difference between the Th4 SMD and L3 SMD, with higher SMD in the thoracic muscle.  
191 Furthermore, the agreement between SMD and SMI at the two levels was only moderate, and for SMI there  
192 was also less agreement between Th4 and L3 among the women than among the men. According to

193 regression analyses, z-scores at the Th4 level were not strongly related to L3 z-scores. The agreement  
194 between actual L3 SMI and SMD and the measures recomputed by means of Th4 z-scores was moderate.

195 We are aware of only one other study comparing muscle measures at the thoracic- and lumbar  
196 levels in cancer patients. Kim et al. analysed 90 patients with both limited and extensive small-cell lung  
197 cancer, and found poor agreement between pectoral muscle mass at the level above the aortic arch (which  
198 is approximately at the Th4-level) and cross sectional muscle area at the L3 level.<sup>25</sup> Though there are  
199 differences in patient populations, software for assessing muscle area, the thoracic level for muscle  
200 assessment, and muscle groups measured, their study support our findings.

201 Body composition analyses were not a pre-planned part of the RCTs we collected data from. CT  
202 images of the thorax and upper abdomen were mandatory for trial inclusion, but specific requirements for the  
203 CT protocols were not defined in the study protocols. Adequate CT-images at both levels were available for  
204 only 38% of the patients. We anticipated that muscle measures at the Th4 level would be available for the  
205 majority of patients, whereas images at the L3 level would be missing in more cases. As it turned out, a large  
206 number of the Th4 level images were insufficient for muscle analyses. This was mostly due to “cutting of  
207 edges”, i.e. the outer circumference of the muscle mass was missing, or the image quality was not  
208 satisfactory for quantification of muscle mass. Thus, future studies of LBM in cancer patients should include  
209 specific instructions to radiology departments to ensure that body composition can be assessed.

210 A strength of our study is the large sample size of patients with similar diagnosis and stage of  
211 disease, though the cohort was too small to allow for subgroup analyses. None of the patients had received  
212 any former systemic cancer treatment, and the study sample included a relatively large proportion of elderly  
213 and PS 2 patients. Thus, although muscle measures could be obtained for only a minority of the targeted  
214 population, we find it reasonable to believe that our findings are representative for advanced NSCLC patients  
215 eligible for first-line palliative chemotherapy. For generalisation of our results, confirmation from other studies  
216 and other cancer populations is, however, necessary.

217 CT images at the L3 level include core muscles, such as the rectus abdominis, external and internal  
218 oblique and erector spinae, which are assumed to initiate most full-body functional movement and are  
219 fundamental for stabilizing the body in dynamic movements. Although some of these muscles (erector  
220 spinae) extend into the Th4 level, the major muscles captured at Th4, such as the pectoralis muscles, have  
221 other functions, mainly related to arm and shoulder movements. Their volume and strength may therefore to  
222 a larger extent depend on specific manual activities, and activities that more often apply to men than women.  
223 These functional differences between the muscle groups might contribute to the only moderate agreement  
224 between Th4 SMI/SMD and the L3 SMI/SMD, although the reasons may be more complex. We have not

225 found any good explanations in the literature, but a substantial difference in SMD between muscle groups  
226 has formerly been reported.<sup>19</sup> We are not aware of any studies investigating whether there is a different  
227 impact of cancer-related muscular depletion between muscle groups.

228 The gold standard for measuring LBM is analysing whole body CT or MRI scans. Analyses of single  
229 slices may not predict the LBM correctly, especially in longitudinal studies,<sup>29</sup> but is currently the most feasible  
230 approach in larger and multicentre studies of cancer patients. Whole body CT scans are seldom available  
231 unless it is part of specific studies. Thus, such scans were not available from our patients, and it was not  
232 possible for us to investigate whether the Th4 or L3 SMI is in best agreement with the whole body muscle  
233 mass. Further studies are needed to investigate the relationship between Th4 muscle measures and whole  
234 body skeletal muscle mass, and the clinical role of Th4 muscle measures. Until such studies are conducted,  
235 we believe that adequate CT images at the L3 level remains the recommended approach in studies of the  
236 clinical role of muscle measures in cancer patients.

237 In conclusion, there is a large variation between the skeletal muscle areas at the Th4 and L3 levels  
238 in patients with advanced non-small-cell lung cancer, and muscle measures at the L3 level cannot be reliably  
239 estimated by transformation of measures at the Th4 level using z-scores.

240

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246

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384 **Legends**

385 Figure 1 Patient selection

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387 Figure 2 Scatterplot illustrating the agreement between measures at the Th4 and L3 for muscle area  
388 ( $\text{cm}^2$ ), skeletal muscle index (SMI) ( $\text{cm}^2/\text{m}^2$ ) and skeletal muscle radiodensity, for men and  
389 women separately. A line for perfect agreement has been added to all plots.

390

391 Figure 3 A) Bland Altman plot for the agreement between Th4 SMI and L3 SMI z scores (with loess  
392 curves for each gender). B) Bland Altman plot for the agreement between Th4 SMD and L3  
393 SMD z scores (with loess curves for each gender). C) Scatter plot showing actual L3 SMI  
394 values and L3 SMI values recomputed from Th4 SMI-scores (by z-scores) (linear fit line for  
395 overall sample with 95% CI and loess curves for each gender). D) Scatter plot showing  
396 actual L3 SMD values and L3 SMD values recomputed from Th4 SMI-scores (by z-scores)  
397 (linear fit line for overall sample with 95% CI and loess curves for each gender).

398

399 Table 1 Baseline characteristics

400

401 Table 2 Body composition measures at the Th4 and L3 levels

**Table 1**      **Baseline characteristics**

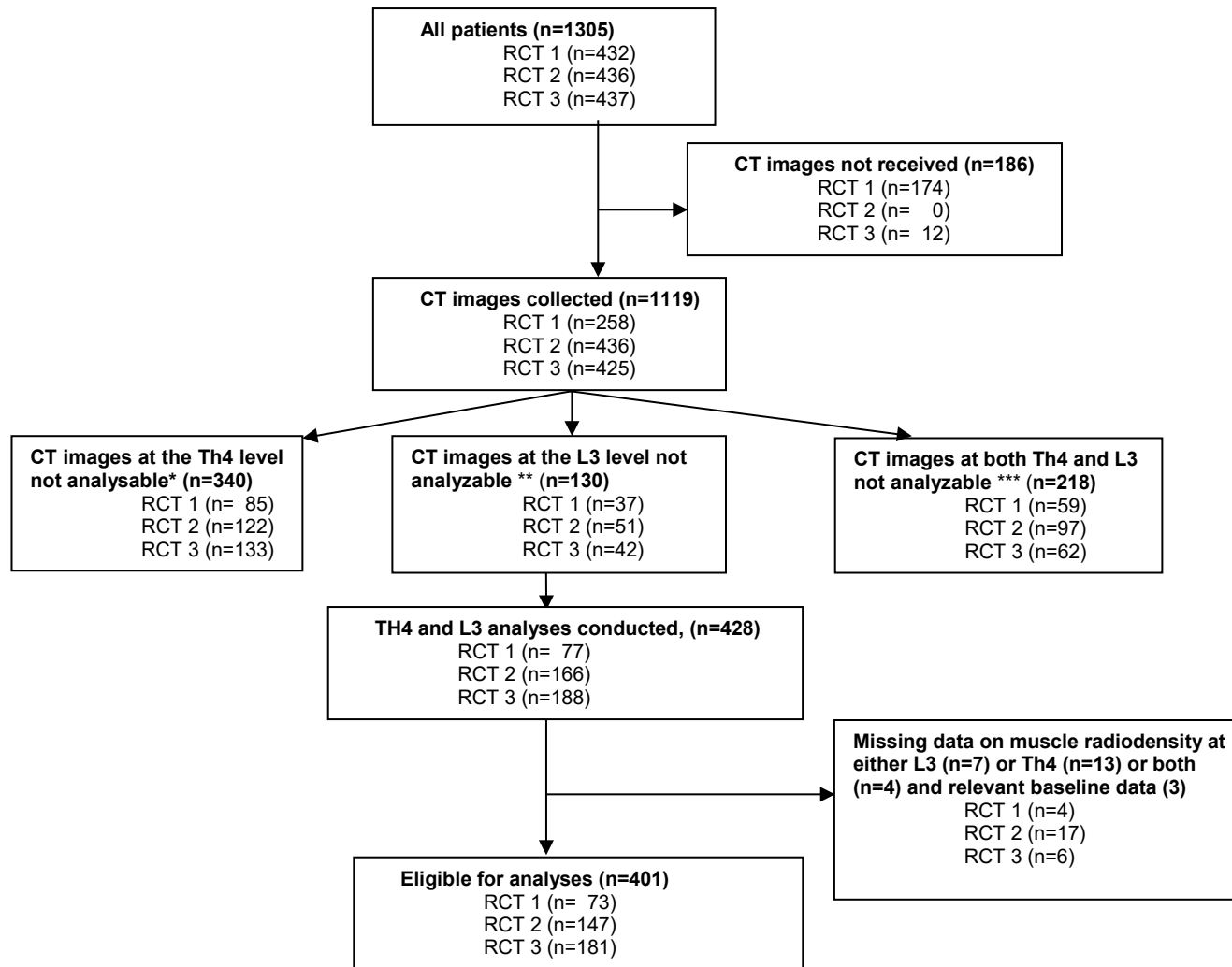
		All patients (n=401)		Men (n=220)		Women (n=181)	
Age	Mean (range)	66 (37-90)		68 (37-90)		64 (37-85)	
	≥ 75 years	79	19.7%	48	21.8%	31	21.0%
Histology	Squamous cell carcinoma	92	22.9%	64	29.1%	28	15.5%
	Adenocarcinoma	217	54.1%	104	47.3%	113	62.4%
	Other	92	21.0%	52	23.7%	40	22.1%
Disease stage	IIIB	85	22.9%	47	21.4%	38	21.0%
	IV	316	78.8%	173	78.6%	143	79.0%
Performance status	0	80	20.0%	46	20.9%	34	18.8%
	1	232	57.9%	122	55.5%	110	60.8%
	2	89	22.2%	52	23.6%	37	20.4%
Body weight, kg, mean (SD)		69.0 (13.8)		73.7 (11.9)		65.1 (13.1)	
Body Mass Index, kg/m <sup>2</sup> , mean (SD)		23.9 (3.9)		23.8 (3.4)		23.9 (4.5)	
Appetite loss	Yes	211	52.6%	113	51.4%	98	54.1%
	No	190	47.4%	107	48.6%	83	45.9%

**Table 2      Body composition measures at the Th4 and L3 levels**

	Measures at the Th4 level							Measures at the L3 level						
	All (n=401)		Men (n=220)		Women (n=181)		p*	All (n=401)		Men (n=220)		Women (n=181)		p*
	Mean	SD	Mean	SD	Mean	SD		Mean	SD	Mean	SD	Mean	SD	
Measured muscle area, cm <sup>2</sup>	176.4	39.6	200.7	31.7	147.0	25.8	< 0.001	130.6	29.2	149.0	23.4	108.2	17.5	< 0.001
Skeletal muscle index (SMI), cm <sup>2</sup> /m <sup>2</sup>	60.1	10.9	65.0	10.1	54.1	8.8	< 0.001	44.5	8.1	48.3	7.7	39.8	6.0	< 0.001
Skeletal muscle radiodensity (SMD), HU	41.5	6.9	42.0	6.8	40.8	6.9	0.107	36.9	8.4	37.2	7.9	36.5	9.0	0.357

\*p-value for the comparison between men and women

**Figure 1 Patient selection**



\*Whole cross sectional area not included; or too poor image quality

\*\*Lack of images at the L3-level; whole cross sectional area not included in the images; or image-quality too poor

\*\*\* Either of the above



**Figure 2**

**Scatterplots illustrating the agreement between measures at the TH4 and L3 for muscle area (cm<sup>2</sup>), skeletal muscle index (SMI) (cm<sup>2</sup>/m<sup>2</sup>) and skeletal muscle radiodensity, for men and women separately. A line for perfect agreement has been added to all plots.**

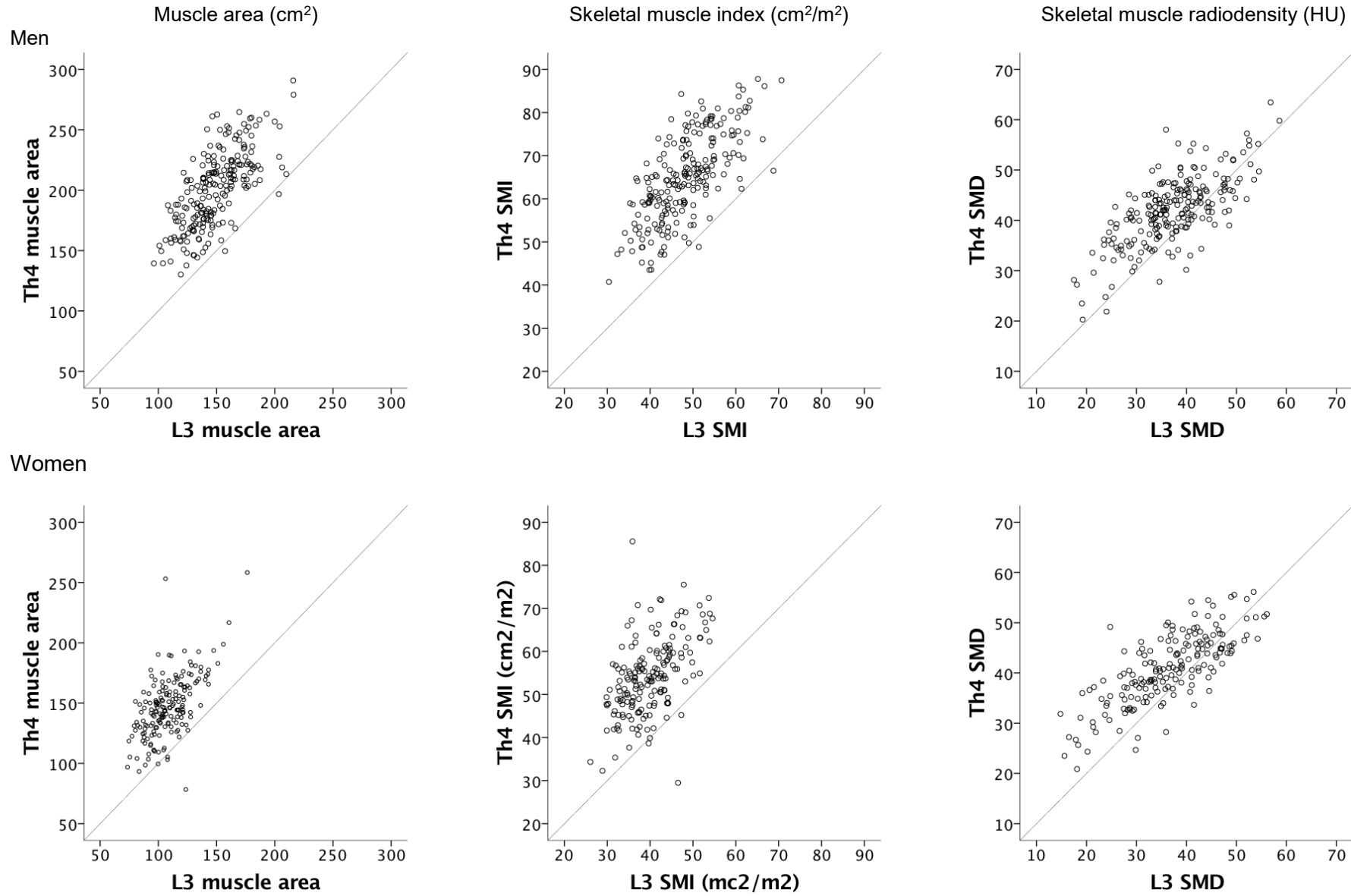
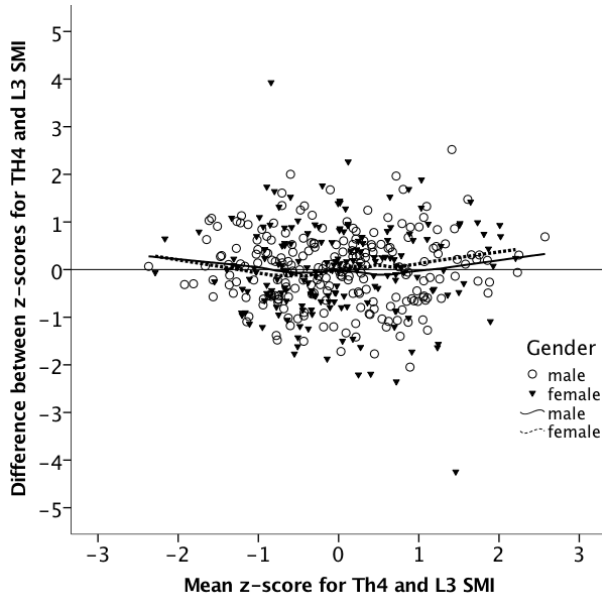


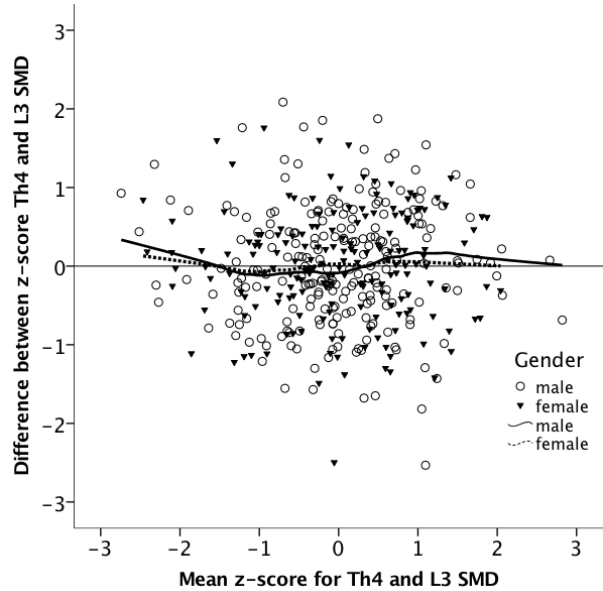
Figure 3

A) Bland Altman plot for the agreement between Th4 SMI and L3 SMI z-scores (with loess curves for each gender). B) Bland Altman plot for the agreement between Th4 SMD and L3 SMD z-scores (with loess curves for each gender). C) Scatter plot showing actual L3 SMI values and L3 SMI values recomputed from Th4 SMI-scores (by z-scores) (linear fit line for overall sample with 95% CI and loess curves for each gender) D) Scatter plot showing actual L3 SMD values and L3 SMD values recomputed from Th4 SMI-scores (by z-scores) (linear fit line for overall sample with 95% CI and loess curves for each gender).

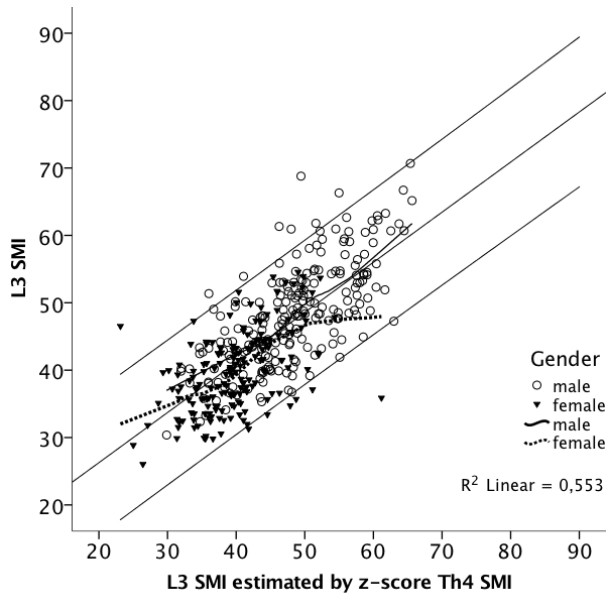
A



B



C



D

