

1           **High Sensitivity for Lung Cancer Detection by Analysis of Exhaled**  
2   **Carbonyl Compounds**

3           Erin M. Schumer MPH, MD<sup>1</sup>, Jaimin R. Trivedi, MPH, MD<sup>1</sup>, Victor van Berkel  
4           MD<sup>1</sup>, PhD, Matthew C. Black, MD<sup>1</sup>, Mingxiao Li PhD<sup>2</sup>, Xiao-An Fu PhD<sup>2</sup>, Michael  
5   Bousamra II MD<sup>1</sup>

6  
7   <sup>1</sup>Department of Cardiovascular and Thoracic Surgery

8   <sup>2</sup>Department of Chemical Engineering

9   University of Louisville School of Medicine, Abell Administration Center

10   323 E. Chestnut St., Louisville, Kentucky 40292

11  
12           This work was supported by the Coulter Foundation, NSF, and Gates Foundation.

13  
14           Drs. Bousamra, van Berkel, and Fu are founders of Breath Diagnostics Inc. All  
15           other authors declare no conflict of interest .

16  
17           **Corresponding Author:** Michael Bousamra II, MD

18           Department of Cardiovascular and Thoracic Surgery, University of Louisville

19           201 Abraham Flexner Way, Suite 1200, Louisville, Kentucky 40202

20           Tel: 502-588-7601

21           Fax: 502-588-7701

22           E-mail: [michael.bousamra@ulp.org](mailto:michael.bousamra@ulp.org)

23           **Article Word Count: 2719**

24 **Abbreviations**

25 **2-HA** = 2-hydroxyhexanal

26 **4-HHE** = 4-hydroxyhexanal

27 **ATM** = 2-(aminoxy)-N, N, N trimethylethanammonium

28 **CT** = computed tomography

29 **COPD** = chronic obstructive pulmonary disease

30 **NLST** = National Lung Screening Trial

31

32

33

34

35

36

37

38

39

40

41

42

43

44

45

46

47

## Abstract

48 **Objective:** Several volatile carbonyl compounds in exhaled breath have been  
49 identified as cancer specific markers. The potential for these markers to serve as  
50 a screening test for lung cancer is reported.

51 **Methods:** Patients with CT-detected intra-thoracic lesions and healthy controls  
52 were enrolled from 2011 onwards. One liter of breath was collected from a single  
53 exhalation. The contents were evacuated over a silicon microchip, captured by  
54 oximation reaction, and analyzed by mass spectrometry. Concentrations of 2-  
55 butanone, 3-hydroxy-2-butanone, 2-hydroxyacetaldehyde, and 4-hydroxyhexanal  
56 were measured. The overall population was divided into lung cancer, benign  
57 disease, and control groups. An elevated cancer marker was defined as  $\geq 1.5$   
58 standard deviations above the mean concentration of the control population.  
59 One or more elevated cancer markers constituted a positive breath test.

60 **Results:** There were 156 lung cancer, 65 benign disease, and 194 control  
61 subjects. A total of 103 (66.0%) lung cancer patients were early stage (Stage 0, I,  
62 and II). For  $\geq 1$  elevated cancer marker, breath analysis showed a sensitivity of  
63 93.6% and a specificity of 85.6% for lung cancer patients. Additionally, 83.7% of  
64 stage I tumors  $\leq 2$  cm were detected while only 14% of the control population  
65 tested positive. When comparing cancer to benign disease, specificity was  
66 proportional to the number of elevated cancer markers present.

67 **Conclusion:** Screening using low-dose CT scan is associated with high cost,  
68 repeated radiation exposure, and low accrual. The high sensitivity, convenience,

69 and low cost of breath analysis for carbonyl cancer markers suggests it has the  
70 potential to become a primary screening modality for lung cancer.

71 **Word count of the abstract: 250**

72

73

74

### **Perspective**

75 Several volatile carbonyl compounds in exhaled breath have been identified as  
76 cancer specific markers. The high sensitivity of this clinical trial using carbonyl  
77 compounds to detect cancer suggests it has the potential to become a primary  
78 screening modality for lung cancer.

79

80

### **Central Picture**

81 The collection bag, microchip, and evacuation system are shown here.

82

83

### **Central Message**

84 Analysis of exhaled breath carbonyls has a high sensitivity for detecting lung  
85 cancer.

86

87

88

89

90

91

92 **Introduction**

93 Lung cancer remains the leading cause of cancer death of both men and women  
94 in the United States, and the second most common cancer in each of these  
95 demographics, representing 13 % of all new cancer diagnoses<sup>1</sup>. It is an  
96 aggressive disease with a 5-year survival rate of 17.8%. Despite evolution in  
97 surgery, chemotherapy, and radiotherapy, long-term survival has remained poor  
98 compared to many other common cancers<sup>2</sup>. Improvements in survival of these  
99 cancer types can be partially attributed to effective screening modalities resulting  
100 in early detection<sup>3,4</sup>. However, screening is not uniformly effective and may lead  
101 to over diagnosis and increased morbidity, as has been observed with prostate  
102 cancer<sup>5</sup>.

103

104 The National Lung Screening Trial (NLST) demonstrated a 20% reduction in lung  
105 cancer mortality and a 6.7% overall survival benefit for patients screened with CT  
106 scan<sup>6</sup>. However, CT scan resulted in a positive screening test in 24.2% of which  
107 94% were falsely positive<sup>7</sup>. These false positives led to additional radiographic  
108 imaging or testing, sometimes invasive<sup>8</sup>, with occasional major complications.  
109 Low dose CT scan detected a high proportion of early cancer (49% Stage IA);  
110 however 35% of detected cancers were advanced stage (III, IV). In turn, the  
111 number needed to screen to prevent one death from lung cancer was 340<sup>6</sup>. CT  
112 screening has recently been implemented in the United States and costs are  
113 anticipated to be in the billions of dollars annually<sup>9</sup>. Furthermore, the degree of

114 patient compliance is uncertain. These limitations imply that an alternative  
115 strategy for lung cancer detection would be welcome.

116

117 The analysis of exhaled breath is promising as a noninvasive diagnostic tool for  
118 detecting lung cancer. Previously, we have shown the ability of breath analysis  
119 to distinguish benign from malignant pulmonary disease<sup>10,11</sup>. In the current study,  
120 the cutoff level for an elevated cancer marker was set lower in order to capture  
121 more cases of lung cancer with the expectation that there would be more false  
122 positives. This study is an initial evaluation of the concept that breath analysis  
123 may eventually serve as an initial screening test for lung cancer to be followed by  
124 a CT scan in cases where the breath analysis is positive.

125

## 126 **Material and Methods**

### 127 *Collection of Breath Samples*

128 The Institutional Review Board at the University of Louisville approved the  
129 research protocol for collection of exhaled breath samples. All study subjects  
130 signed informed consent before providing breath samples. One liter of breath  
131 was collected into a Tedlar ® bag (Sigma-Aldrich, St Louis, MO) from a single  
132 exhalation from each subject. Breath samples were collected from 415 patients.  
133 Lung cancer was confirmed by pathologic diagnosis in 149 (93.6%) patients.  
134 Benign pathology was confirmed by tissue diagnosis in 47 (72.3%) patients or by  
135 repeated CT scan with no change or decrease in size over at least two years.

136

137 *The silicon chip and mass spectrometry*

138 As previously described, the silicon microchips were fabricated from silicon  
139 wafers and consist of an array of micropillars<sup>11</sup>. A quaternary ammonium  
140 compound, 2-(aminoxy)-N, N, N trimethylethanammonium (ATM) iodide, was  
141 then used to coat the surfaces of the micropillars. ATM adsorbs to the silicon  
142 dioxide surfaces of the micropillars via electrostatic and hydrogen bond  
143 interactions. ATM selectively traps carbonyl compounds in exhaled breath by  
144 means of oximation reactions with capture efficiencies of  $\geq 98\%$ .

145

146 The procedure for capture of carbonyl compounds in air and exhaled breath has  
147 been previously described<sup>10</sup>. In brief, exhaled breath was collected in 1 Liter  
148 Tedlar bags and drawn through the silicon microreactor chip by applied vacuum  
149 (Figure 1). After this process, ATM iodide adducts in the microreactor chip were  
150 eluted with methanol from a slightly pressurized small vial. 99% of ATM adducts  
151 were recovered. The eluted solution was directly analyzed by Fourier transform-  
152 ion cyclotron resonance-mass spectrometry. A known amount of deuterated  
153 acetone completely reacted with ATM (ATM-acetone-d6) was added to the eluted  
154 solution as an internal reference. The concentrations of all carbonyl compounds  
155 in exhaled breath were determined by comparison of the relative abundance with  
156 that of added ATM-acetone-d6.

157

158 The analysis of the entire study population included the use of two different  
159 microchips with a different density of micropillars. Sub-analysis of these groups  
160 did not reveal a meaningful difference between the two microchips.

161

### 162 *Data Analysis*

163 We have previously described the initial identification of carbonyl cancer markers  
164 in breath samples of 88 healthy controls and confirmed lung cancer patients<sup>10,11</sup>.

165 In this study, four carbonyl cancer markers, 2-butanone, 3-hydroxy-2-butanone,  
166 and 2-hydroxyacetadehyde, 4-hydroxyhexanal (4-HHE), out of a spectrum of 25  
167 carbonyl compounds were again established as elevated in cancer patients and  
168 used for this analysis. Of note, heavier compounds, including 4-hydroxyhexanal,  
169 are fully evacuated within the last thirty minutes of complete evacuation, thus  
170 only cases using complete evacuation were included. Three cutoff values were  
171 used to determine a positive carbonyl marker:  $\geq 1$ ,  $\geq 1.5$ , and  $\geq 2$  standard  
172 deviations about the mean of the control population. A positive breath test was  
173 defined as at least one positive carbonyl marker with a given patient having  
174 between zero and four elevated carbonyl cancer markers. Descriptive and  
175 univariate analyses were performed using SAS version 9 (SAS Institute, Cary,  
176 North Carolina). A p-value  $< 0.05$  was considered significant.

177

### 178 **Results**

179 Patients were divided into three groups: healthy controls (n=194), benign  
180 pulmonary disease (single or multiple pulmonary nodules and/or mediastinal



181 adenopathy, n=65), and primary lung cancer (n=156). Age, smoking history, and  
182 tumor size of the three groups are summarized in Table 1. Lung cancer patients  
183 were older and had a higher proportion of current and former smokers when  
184 compared to the benign disease and control groups. There was a higher  
185 concentration of 3-hydroxy-2-butanone among smokers compared to non-  
186 smokers in the control and benign pulmonary disease groups; however these  
187 levels remained below those of cancer patients independent of smoking status.  
188 All other cancer markers were similar between smokers and non-smokers in  
189 each group (Table 2).

190

191 The lung cancer group was then divided into early (0, I, II) and advanced stage  
192 (III, IV) disease. The median (interquartile range) concentrations for each cancer  
193 marker are summarized for each group in Table 3. There is a progressive and  
194 significant increase in median concentration of each carbonyl cancer marker from  
195 the control group to the benign group to patients with lung cancer.

196

197 Sensitivity and specificity for the lung cancer and control populations are shown  
198 in Table 4. Sensitivity has a strong inverse correlation to the number of elevated  
199 cancer markers used to define a positive cancer result. It is less dependent on  
200 the carbonyl marker concentration cutoff point. At  $\geq 1$  standard deviations above  
201 the mean of the control population with at least one elevated carbonyl marker,  
202 sensitivity is 95.5%; at  $\geq 1.5$  standard deviations above the mean, sensitivity is  
203 93.6%; and finally, at  $\geq 2$  standard deviations above the mean, sensitivity is

204 88.5%. When three cancer markers are used at all cutoff levels, sensitivity  
205 decreases but specificity increases to 100%. Therefore, specificity is highly and  
206 positively correlated with the number of elevated cancer markers while sensitivity  
207 is highest at the lowest cutoff point with at least one elevated cancer marker.

208

209 To compare to the NLST, a sub-analysis was performed using control subjects  
210 who approximate the criteria for the NLST (n=52), that is those at least 55 years  
211 of age and who are current (n=22, 42.3%) or former smokers (n=30, 57.7%)  
212 (Table 5). The results were similar to the comparison with the entire control  
213 group. At  $\geq 1$  standard deviation above the mean of the control population with at  
214 least 1 elevated cancer marker, sensitivity was 95.5% and specificity was 61.5%.  
215 At  $\geq 1.5$  standard deviations above the mean of the control population with at  
216 least 1 elevated cancer marker, sensitivity was 93.6% and specificity was 80.8%.  
217 At  $\geq 2$  standard deviations above the mean of the control population with at least  
218 1 elevated cancer marker, sensitivity was 88.5% and specificity was 86.5%.

219

220 Overall stage distribution and histologies of the lung cancer group are  
221 summarized in Table 6. Ten patients did not have lung cancer confirmed  
222 pathologically and were presumed to have lung cancer based on radiologic  
223 characteristics. A total of 103 (66.0%) patients were early stage (Stage 0, I, and  
224 II) of whom 43 (41.7%) were stage 0 or I with tumor size  $< 2$  cm. A total of 36  
225 (83.7%) of these patients tested positive at  $\geq 1.5$  standard deviations above the  
226 mean of the control population.

227

228 Within the benign disease group, there was a high prevalence of granulomatous  
229 disease (N=26, 40%). The specificity for lung cancer was strongly correlated with  
230 the number of elevated cancer markers defining a positive result. With one, two,  
231 and three elevated cancer markers, specificity was 44.6%, 78.5%, and 90.8%,  
232 respectively, when comparing the benign and cancer populations at 1.5 standard  
233 deviations. Notably, 74.8% (n=77) of early stage cancer patients have two or  
234 three elevated cancer markers.

235

## 236 **Conclusion**

237 Increased concentrations of volatile organic compounds (VOCs) in exhaled  
238 breath have been detected in patients with lung cancer<sup>10-14</sup>. Our diagnostic model  
239 utilizes four compounds, 2-butanone, 2-hydroxyacetaldehyde, 3-hydroxy-2-  
240 butanone, and 4-hydroxyhexanal, out of 25 carbonyl compounds separable by  
241 mass spectrometry. No other carbonyl compounds were specific for cancer or  
242 benign disease in this spectrum. These markers were not associated with  
243 smoking except for 3-hydroxy-2-butanone, which was higher in smokers in both  
244 the control and benign disease populations; however, control values were still  
245 significantly below the range of lung cancer patients.

246

247 The sensitivity for detecting lung cancer by breath analysis of exhaled carbonyl  
248 compounds is greater than 93% with at least one elevated carbonyl compound at  
249  $\geq 1.5$  standard deviations above the mean of the control population. Additionally,

250 when the control population was limited to those  $\geq 55$  years with a history of  
251 smoking, sensitivity and specificity were 93.6% and 80.8%, respectively, under  
252 the same conditions. In both the entire control population and a subset of  
253 patients who meet NLST criteria, the specificity for lung cancer was greater than  
254 80% when at least one carbonyl compound was elevated. For the purposes of  
255 potential screening it would follow that high sensitivity is needed. Thus choosing  
256 a lower carbonyl cancer marker concentration and accepting a single marker as  
257 positive would yield greater sensitivity with presumed reduction in specificity.

258

259 The probability that a given patient has lung cancer increases with the increasing  
260 carbonyl marker concentration and the number of elevated carbonyl markers. If a  
261 CT scan is performed first and a pulmonary nodule is detected, then an algorithm  
262 yielding greater specificity is of interest. One could then apply the same data  
263 utilizing the higher carbonyl concentration and a greater number of carbonyl  
264 markers to serve as predictive of cancer versus benign disease. In our subset of  
265 patients comparing benign disease with malignant disease, evaluating two or  
266 more carbonyl markers at  $\geq 2$  standard deviations above the mean of the control  
267 population achieved a balance with 61.8% sensitivity and 84.6% specificity. At  
268 issue is whether or not this degree of specificity would prompt a change in clinical  
269 decision-making. A prospective, multi-institutional trial is proposed to evaluate  
270 the value added by breath analysis given an indeterminate pulmonary nodule  
271 detected by CT scan. A pretest probability based purely on CT scan and clinical  
272 findings could be rendered prior to evaluation of breath analysis data. Such a

273 comparison could ultimately determine whether breath analysis is more or less  
274 predictive of malignancy than established predictive models<sup>15</sup> based on clinical  
275 and radiographic data.

276

277 Our group has previously published results from analysis of exhaled breath  
278 distinguishing benign and malignant lung disease with a positive breath test  
279 defined as at least two of four cancer markers elevated<sup>10</sup>. The sensitivity and  
280 specificity to detect early stage lung cancer was 83% and 75%, respectively.  
281 This previous study treated breath analysis as a diagnostic test; however, to use  
282 breath analysis as a screening modality, the threshold to define an elevated  
283 carbonyl compound was lowered in order to capture a greater proportion of  
284 patients with lung cancer. The current study presents data at multiple cutoff  
285 values demonstrating the utility of breath analysis in different capacities both as a  
286 screening and diagnostic modality. With three elevated compounds at any  
287 threshold, the specificity is 100% indicating the ability of breath analysis to  
288 diagnose lung cancer. When at least one compound is elevated at  $\geq 1$  and 1.5  
289 standard deviations, the sensitivity to detect lung cancer is high and similar to  
290 that of the NLST<sup>7</sup>. The stage distributions for breath analysis and the NLST are  
291 similar. A total of 66.0% of lung cancer patients were early stage in the breath  
292 analysis screening study, slightly higher than the proportion (57.1%) of early  
293 stage patients diagnosed during the screening trial. The NLST had a smaller  
294 proportion of patients with adenocarcinoma (36.3% vs. 41.0% in NLST and  
295 breath analysis, respectively) and squamous cell carcinoma (23.2% vs. 35.9% in

296 NLST and breath analysis, respectively) detected on initial CT scan screening;  
297 however, in our study population, all major cancer histologies were detected with  
298 high sensitivity. Because of the similar sensitivity and the high cost prediction of  
299 screening at-risk patients with low-dose CT scanning, breath analysis may be a  
300 possible substitute for the screening of this patient population. Additionally,  
301 patients who are false positives with breath analysis may have indolent cancers  
302 that may have contributed to over diagnosis with CT scanning<sup>16</sup>. The question  
303 can only be answered with a prospective trial comparing breath analysis to low-  
304 dose CT scanning. If it is born out that breath analysis has a similar sensitivity  
305 for early lung cancer detection, then one may presume an equivalent survival  
306 benefit with breath analysis to CT scan screening.

307

308 There are many advantages to the method of analysis of exhaled breath for  
309 volatile organic compounds described herein<sup>11</sup>. The patient need only supply  
310 one exhaled breath. Once the breath is collected, the bag could be immediately  
311 evacuated over the silicon microchip in an office or hospital setting and  
312 subsequent quantitative analysis could be performed at a central facility. The  
313 analytical process has multiple advantages. The amino-oxy compound coated  
314 on the microchip serves to isolate only carbonyl compounds and to concentrate  
315 them by 10,000 fold<sup>11</sup>. Analysis by mass spectrometry is then straightforward: it  
316 provides quantitative values of a limited number of easily identified carbonyl  
317 compounds. Another benefit includes the noninvasiveness of the test. It is  
318 inherently convenient for the patient and would avoid annual radiation exposure

319 associated with CT screening. Additionally, patient compliance may improve  
320 since breath analysis can be completed in the clinical setting during an office visit.  
321 Assuming nearly equal sensitivity, increased compliance would translate to a  
322 greater proportion of lung cancers detected at an early stage and, in turn, a  
323 greater improvement in overall lung cancer survival.

324

325 Our study has limitations. The control and benign disease groups are both  
326 younger than the lung cancer group; however, the results using an approximation  
327 of the NLST criteria in the breath analysis control population revealed similar  
328 results to the original analysis with high sensitivity and specificity. However, the  
329 proportion of false positives using breath analysis is less than that of the NLST<sup>7</sup>.

330

331 A multi-center trial across various geographic areas and environmental  
332 conditions is necessary to validate the sensitivity and specificity to detect lung  
333 cancer shown in this study. Other pulmonary diseases have the potential to  
334 produce false positive results; however, COPD, common in our control  
335 population, does not appear to be a confounding factor. As a screening modality,  
336 we would project that only patients in their baseline state of health should be  
337 screened. It would be reasonable to propose a prospective trial simultaneously  
338 comparing screening with CT scan vs. breath analysis in at-risk patients. Given  
339 the high rate of false positivity with both modalities, an accurate comparison of  
340 specificity could be made with a relatively low sample size. Conversely, the low  
341 incidence of lung cancer in the at-risk population of smokers, 1.5% per year,

342 could be augmented by including early stage cancer patients who present in an  
343 equivalent fashion with asymptomatic incidental findings.

344

345 In conclusion, the detection of elevated concentrations of 2-butanone, 3-hydroxy-  
346 2-butanone, 2-hydroxyacetaldehyde, and 4-HHE in exhaled breath can detect  
347 lung cancer with high sensitivity and acceptable specificity given the limitations of  
348 a lack of paired CT scans among control patients. A prospective trial comparing  
349 breath analysis and CT screening is being carried out currently. A reliable breath  
350 analysis method could spare annual CT imaging for a large proportion of subjects  
351 at risk for lung cancer, such that only those with a positive breath screen undergo  
352 radiographic imaging. The downstream savings from not evaluating  
353 indeterminate nodules may be profound.

354

355

356

357

358

359

360

361

362

363

364



## **Acknowledgements**

365

366 The authors acknowledge funding from Clinical and Translational Science Pilot  
367 Grant Program (CTSPGP) of the University of Louisville, the National Science  
368 Foundation (CBET:1159829), the University of Louisville Coulter Grant Program,  
369 and the Bill & Melinda Gates Foundation.

370

371

372

373

374

375

376

377

378

379

380

381

382

383

384

385

386

387

## References

- 388  
389  
390 1. Siegel R, Ma J, Zou Z, Jemal A. Cancer statistics, 2014. *CA: a cancer*  
391 *journal for clinicians*. Jan-Feb 2014;64(1):9-29.
- 392 2. Oken MM, Hocking WG, Kvale PA, et al. Screening by chest radiograph  
393 and lung cancer mortality: the Prostate, Lung, Colorectal, and Ovarian  
394 (PLCO) randomized trial. *JAMA : the journal of the American Medical*  
395 *Association*. Nov 2 2011;306(17):1865-1873.
- 396 3. DeSantis C, Ma J, Bryan L, Jemal A. Breast cancer statistics, 2013. *CA: a*  
397 *cancer journal for clinicians*. Jan-Feb 2014;64(1):52-62.
- 398 4. DeSantis CE, Lin CC, Mariotto AB, et al. Cancer treatment and  
399 survivorship statistics, 2014. *CA: a cancer journal for clinicians*. Jul-Aug  
400 2014;64(4):252-271.
- 401 5. Castle PE. PSA testing for prostate cancer screening. *The Lancet.*  
402 *Oncology*. Jan 2015;16(1):e2-3.
- 403 6. National Lung Screening Trial Research T, Aberle DR, Adams AM, et al.  
404 Reduced lung-cancer mortality with low-dose computed tomographic  
405 screening. *The New England journal of medicine*. Aug 4 2011;365(5):395-  
406 409.
- 407 7. National Lung Screening Trial Research T, Church TR, Black WC, et al.  
408 Results of initial low-dose computed tomographic screening for lung  
409 cancer. *The New England journal of medicine*. May 23  
410 2013;368(21):1980-1991.

- 411 8. de Koning HJ, Meza R, Plevritis SK, et al. Benefits and harms of  
412 computed tomography lung cancer screening strategies: a comparative  
413 modeling study for the U.S. Preventive Services Task Force. *Annals of*  
414 *internal medicine*. Mar 4 2014;160(5):311-320.
- 415 9. Mauchley DC, Mitchell JD. Current estimate of costs of lung cancer  
416 screening in the United States. *Thoracic surgery clinics*. May  
417 2015;25(2):205-215.
- 418 10. Bousamra M, 2nd, Schumer E, Li M, et al. Quantitative analysis of exhaled  
419 carbonyl compounds distinguishes benign from malignant pulmonary  
420 disease. *The Journal of thoracic and cardiovascular surgery*. Sep  
421 2014;148(3):1074-1081.
- 422 11. Fu XA, Li M, Knipp RJ, Nantz MH, Bousamra M. Noninvasive detection of  
423 lung cancer using exhaled breath. *Cancer medicine*. Feb 2014;3(1):174-  
424 181.
- 425 12. van der Schee MP, Paff T, Brinkman P, van Aalderen WM, Haarman EG,  
426 Sterk PJ. Breathomics in lung disease. *Chest*. Jan 2015;147(1):224-231.
- 427 13. Wagner C, Munoz MA, Jareno J, et al. Volatile organic compounds, new  
428 biomarkers in exhaled breath samples of lung cancer patients with and  
429 without chronic obstructive pulmonary disease. *Chest*. Mar 1 2014;145(3  
430 Suppl):332A.
- 431 14. Phillips M, Cataneo RN, Cummin AR, et al. Detection of lung cancer with  
432 volatile markers in the breath. *Chest*. Jun 2003;123(6):2115-2123.

- 433 15. MacMahon H, Austin JH, Gamsu G, et al. Guidelines for management of  
434 small pulmonary nodules detected on CT scans: a statement from the  
435 Fleischner Society. *Radiology*. Nov 2005;237(2):395-400.
- 436 16. Patz EF, Jr., Pinsky P, Gatzonis C, et al. Overdiagnosis in low-dose  
437 computed tomography screening for lung cancer. *JAMA internal medicine*.  
438 Feb 1 2014;174(2):269-274.

439

440

441

442

443

444

445

446

447

448

449

450

451

452

453

454

455

456

Tables

457

Table 1. Demographic characteristics of study population.

458

459

|                        | Lung Cancer<br>(N=156) | Benign<br>(N=65) | Control<br>(N=194) | P-value |
|------------------------|------------------------|------------------|--------------------|---------|
| <b>Patients</b>        |                        |                  |                    |         |
| Age (years)            | 65.1±10.4              | 54.2±13.1        | 49.4±16.4          | <0.001  |
| Gender (Male)          | 81 (51.9)              | 32 (49.2)        | 108 (55.7)         | 0.610   |
| <b>Smoking History</b> |                        |                  |                    |         |
| Current                | 69 (44.2)              | 25 (38.5)        | 73 (37.6)          | <0.001  |
| Former                 | 80 (51.3)              | 20 (30.8)        | 41 (21.1)          | <0.001  |
| Never                  | 7 (4.5)                | 20 (20.8)        | 80 (41.2)          | <0.001  |
| <b>Size of nodule</b>  |                        |                  |                    |         |
| <4 mm                  | 0                      | 2                |                    |         |
| 4-6 mm                 | 4                      | 5                |                    |         |
| 7-10 mm                | 8                      | 7                |                    |         |
| 11-20 mm               | 49                     | 28               |                    |         |
| 21-30 mm               | 27                     | 8                |                    |         |
| >30 mm                 | 62                     | 11               |                    |         |
| Unknown                | 6                      | 4                |                    |         |

460

461

462 Summary of demographic information for the entire study population. Former

463 smokers include patients who quit > 1 week prior to sample collection. Results

464 are reported in n (%). A p-value <0.05 is considered significant.

465

466

467

468

469

470

471

472 **Table 2. Concentrations of carbonyl compounds by disease state. and**  
 473 **smoking status**

474

|                   | <b>2-Butanone</b> | <b>2-hydroxy-3-butanone</b> | <b>2-HA</b>       | <b>4-HHE</b>         |
|-------------------|-------------------|-----------------------------|-------------------|----------------------|
| <b>Control</b>    |                   |                             |                   |                      |
| Non-smoker (N=80) | 1.26 (0.93,1.93)  | 0.07 (0.03, 0.10)           | 0.19 (0.11, 0.28) | 0.001 (0.000, 0.003) |
| Smoker (N=114)    | 1.40 (0.86, 1.92) | 0.09 (0.04, 0.13)           | 0.17 (0.07, 0.25) | 0.002 (0.001, 0.004) |
| P-Value           | 0.693             | 0.037                       | 0.060             | 0.308                |
| <b>Benign</b>     |                   |                             |                   |                      |
| Non-smoker (N=20) | 1.45 (1.23, 2.43) | 0.13 (0.09, 0.17)           | 0.17 (0.06, 0.27) | 0.001 (0.000, 0.004) |
| Smoker (N=45)     | 1.77 (1.31, 2.48) | 0.16 (0.10, 0.31)           | 0.21 (0.12, 0.33) | 0.002 (0.001, 0.005) |
| P-Value           | 0.143             | 0.043                       | 0.231             | 0.491                |
| <b>Cancer</b>     |                   |                             |                   |                      |
| Non- smoker (N=7) | 2.47 (1.51, 3.13) | 0.15 (0.13, 0.36)           | 0.29 (0.08, 0.38) | 0.007 (0.003, 0.027) |
| Smoker (N=149)    | 3.04 (2.39, 3.97) | 0.31 (0.20, 0.54)           | 0.33 (0.21, 0.46) | 0.007 (0.002, 0.015) |
| P-Value           | 0.565             | 0.08                        | 0.177             | 0.517                |

475

476 Values are reported in median (interquartile range). 2-HA = 2-

477 hydroxyacetaldehyde, 4-HHE = 4-hydroxyhexanal.

478

479

480

481

482

483

484

485 **Table 3. Concentrations of carbonyl compounds by disease state.**

486

|                        | <b>2-Butanone</b> | <b>2-hydroxy-3-butanone</b> | <b>2-HA</b>       | <b>4-HHE</b>         |
|------------------------|-------------------|-----------------------------|-------------------|----------------------|
| <b>Control (N=194)</b> | 1.36 (0.88, 1.92) | 0.07 (0.04, 0.12)           | 0.18 (0.09, 0.26) | 0.001 (0.001, 0.004) |
| <b>Benign (N=65)</b>   | 1.72 (1.29, 2.48) | 0.14 (0.10, 0.26)           | 0.20 (0.09, 0.33) | 0.001 (0.001, 0.005) |
| <b>Cancer (N=156)</b>  |                   |                             |                   |                      |
| Early (N=103)          | 2.89 (2.17, 3.60) | 0.27 (0.17, 0.51)           | 0.33 (0.20, 0.43) | 0.007 (0.002, 0.014) |
| Late (N=53)            | 3.44 (2.55, 4.63) | 0.33 (0.20, 0.67)           | 0.31 (0.20, 0.55) | 0.009 (0.003, 0.016) |
| <b>P-value</b>         | <0.001            | <0.001                      | <0.001            | <0.001               |

487

488 Median concentrations (nmol/L) of 2-butanone, 2-hydroxy-3-butanone, 2-  
 489 hydroxyacetaldehyde (2-HA), 4-hydroxyhexanal (4-HHE) reported in median  
 490 (interquartile range).

491

492

493

494

495

496

497

498

499

500

501  
502  
503

**Table 4. Sensitivity and specificity of breath analysis for lung cancer.**

| <b>≥1 standard deviation</b>    |             |             |
|---------------------------------|-------------|-------------|
| <b>All Lung Cancer</b>          |             |             |
| Elevated cancer markers, n      | Sensitivity | Specificity |
| ≥1                              | 95.5%       | 64.4%       |
| ≥2                              | 83.3%       | 92.3%       |
| ≥3                              | 55.8%       | 100.0%      |
| <b>Early Stage Lung Cancer</b>  |             |             |
| Elevated cancer markers, n      | Sensitivity | Specificity |
| ≥1                              | 93.1%       | 64.4%       |
| ≥2                              | 80.2%       | 92.3%       |
| ≥3                              | 51.5%       | 100.0%      |
| <b>≥1.5 standard deviations</b> |             |             |
| <b>All Lung Cancer</b>          |             |             |
| Elevated cancer markers, n      | Sensitivity | Specificity |
| ≥1                              | 93.6%       | 85.6%       |
| ≥2                              | 76.9%       | 99.5%       |
| ≥3                              | 40.4%       | 100.0%      |
| <b>Early Stage Lung Cancer</b>  |             |             |
| Elevated cancer markers, n      | Sensitivity | Specificity |
| ≥1                              | 91.1%       | 85.6%       |
| ≥2                              | 74.3%       | 99.5%       |
| ≥3                              | 36.6%       | 100.0%      |
| <b>≥2 standard deviations</b>   |             |             |
| <b>All Lung Cancer</b>          |             |             |
| Elevated cancer markers, n      | Sensitivity | Specificity |
| ≥1                              | 88.5%       | 91.8%       |
| ≥2                              | 61.5%       | 100.0%      |
| ≥3                              | 26.9%       | 100.0%      |
| <b>Early Stage Lung Cancer</b>  |             |             |
| Elevated cancer markers, n      | Sensitivity | Specificity |
| ≥1                              | 85.1%       | 91.8%       |
| ≥2                              | 58.4%       | 100.0%      |
| ≥3                              | 18.8%       | 100.0%      |

504  
505  
506  
507

Early stage lung cancer includes patients with stage 0, I, and II lung cancer.



508 **Table 5. Sensitivity and specificity for controls who meet National Lung**  
509 **Screening Trial Criteria**

510

| <b>≥1 standard deviation</b> |             |             |
|------------------------------|-------------|-------------|
| <b>All Lung Cancer</b>       |             |             |
| Elevated cancer markers, n   | Sensitivity | Specificity |
| ≥1                           | 95.5%       | 61.5%       |
| ≥2                           | 83.3%       | 86.5%       |
| ≥3                           | 55.8%       | 100.0%      |

| <b>≥1.5 standard deviations</b> |             |             |
|---------------------------------|-------------|-------------|
| <b>All Lung Cancer</b>          |             |             |
| Elevated cancer markers, n      | Sensitivity | Specificity |
| ≥1                              | 93.6%       | 80.8%       |
| ≥2                              | 76.9%       | 100.0%      |
| ≥3                              | 40.4%       | 100.0%      |

| <b>≥2 standard deviations</b> |             |             |
|-------------------------------|-------------|-------------|
| <b>All Lung Cancer</b>        |             |             |
| Elevated cancer markers, n    | Sensitivity | Specificity |
| ≥1                            | 88.5%       | 86.5%       |
| ≥2                            | 61.5%       | 100.0%      |
| ≥3                            | 26.9%       | 100.0%      |

511

512 Sensitivity and specificity for selected control subjects and lung cancer patients.

513 The control group includes patients ≥55 years who are current or former smokers.

514

515

516

517

518

519

520

521 **Table 6. Stage and histology of lung cancer patients.**  
 522

|                        | Breath Analysis<br>(N=156) | NLST <sup>6</sup><br>(N=1060) |
|------------------------|----------------------------|-------------------------------|
| <b>Stage</b>           |                            |                               |
| 0                      | 1 (0.6)                    | 0 (0)                         |
| IA                     | 52 (33.3)                  | 416 (40.0)                    |
| IB                     | 23 (14.7)                  | 104 (10.0)                    |
| IIA                    | 8 (5.1)                    | 35 (3.4)                      |
| IIB                    | 19 (12.2)                  | 38 (3.7)                      |
| IIIA                   | 21 (13.5)                  | 99 (9.5)                      |
| IIIB                   | 9 (5.8)                    | 122 (11.7)                    |
| IV                     | 23 (14.7)                  | 226 (21.7)                    |
| <b>Histology</b>       |                            |                               |
| Adenocarcinoma in situ | 1 (0.6)                    | 110 (10.5)                    |
| Adenocarcinoma         | 64 (41.0)                  | 380 (36.3)                    |
| Squamous cell          | 56 (35.9)                  | 243 (23.2)                    |
| Small cell             | 13 (8.3)                   | 137 (13.1)                    |
| Non-small cell, other  | 9 (5.8)                    | 131 (12.5)                    |
| Carcinoid              | 2 (1.3)                    | 6 (0.6)                       |
| Large cell             | 1 (0.6)                    | 41 (3.9)                      |
| Unknown                | 10 (6.4)                   | 0 (0)                         |

523

524 Results reported in n(%). NLST = National Lung Screening Trial

525

526

527

528

529

530

531

532

533

534

### Figure Legends

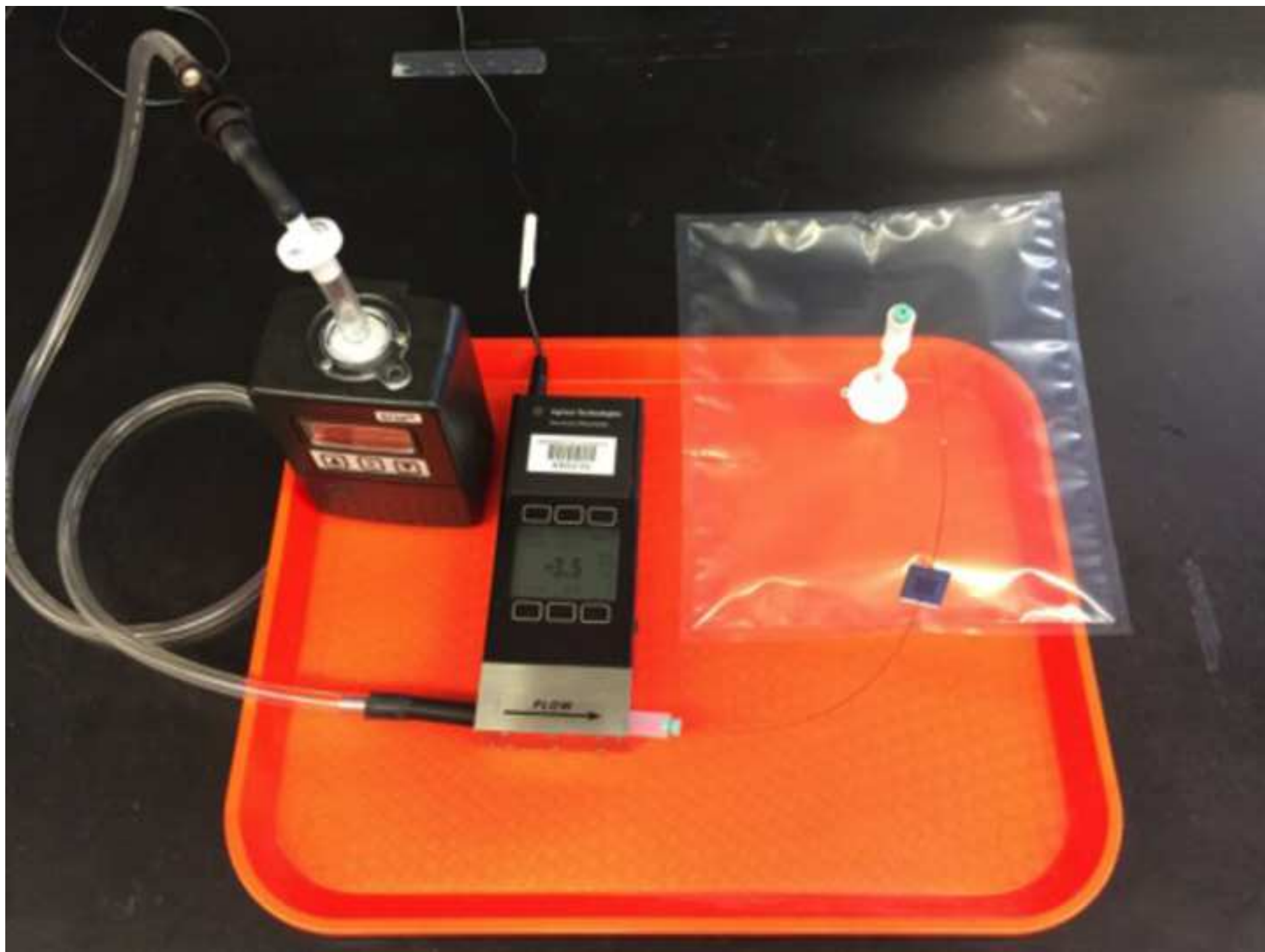
535 **Figure 1.** The collection bag, microchip, and evacuation system are shown here.

536 The contents of the bag are evacuated over the silicon microchip using the

537 vacuum pump and is regulated by the flow meter.

Figure(s) (see Info for Authors for details)

[Click here to download Figure\(s\) \(see Info for Authors for details\): Figure.tif](#)



Central Picture  
[Click here to download Central Picture: Figure 1.tif](#)

