

1 **Immune and inflammatory responses to freediving apnea calculated from leukocyte**  
2 **gene expression profiles**

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21

22 **Running Head:** Immune and inflammatory responses to freediving apnea

23

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26 **Abstract**

27 Freedivers hold their breath while diving, causing blood oxygen levels to decrease (hypoxia)  
28 while carbon dioxide increases (hypercapnia). Whereas blood gas changes are presumably  
29 involved in the progression of respiratory diseases, less is known about their effect on healthy  
30 individuals. Here we have used gene expression profiling to analyze immune and  
31 inflammatory responses in elite freedivers. Blood was collected before, 1 and 3 h after a series  
32 of static and dynamic apneas during a freediving competition, and peripheral blood gene  
33 expression was mapped on genome-wide microarrays. Fractions of phenotypically distinct  
34 immune cells were computed by deconvolution of the gene expression data using Cibersort  
35 software. Apnea-induced changes in gene activity and associated biological pathways were  
36 determined using R and GeneGo software. The results indicated a temporary increase of  
37 neutrophil granulocytes, and a decrease of cytotoxic lymphocytes; CD8+ T cells and resting  
38 NK cells. Biological pathway associations indicated possible protective reactions: genes  
39 involved in anti-inflammatory responses to proresolving lipid mediators were upregulated,  
40 whereas central factors involved in granule-mediated lymphocyte cytotoxicity were  
41 downregulated. While it remains unresolved whether freediving alters the immune system's  
42 defensive function, these results provide new insight into leukocyte responses and the  
43 protection of homeostasis from apnea-induced stress in healthy athletes.

44

45 **New & Noteworthy**

46 Freedivers hold their breath while diving; causing blood oxygen to fall while carbon dioxide  
47 rises. Blood gas changes presumably affect respiratory diseases, yet freedivers remain  
48 unharmed. We have studied immune cell activity in elite freedivers through their peripheral  
49 blood transcriptomes, finding that freediving triggered neutrophil activity while suppressing  
50 certain lymphocytes. The data also implied defensive responses, possibly resolving

51 inflammation and limiting cytotoxicity. These novel findings may promote our understanding  
52 of physiological responses to non-pathological apnea.

53

#### 54 **Introduction**

55 Freedivers dive on a single breath, and their performance hinge on their ability to voluntarily  
56 suppress breathing while floating face down (static apnea) or swimming horizontally  
57 (dynamic apnea) or vertically (constant weight apnea, free immersion apnea, no-limits apnea).  
58 In order to improve their performance, they use adaptive techniques that increase their lung  
59 capacity, reduce metabolic rates and improve their tolerance to apnea, i.e. to hypoxia and  
60 hypercapnia (22). Freediving performance is often further enhanced by hyperventilation to  
61 reduce carbon dioxide levels prior to the dive, and by glossopharyngeal insufflation (“lung  
62 packing”) for extra volumes of air or breathing pure oxygen to add to the body’s oxygen  
63 reserves (19). During dives, an initial easy-going phase is followed by a physiological  
64 breaking point after which the urge to breath causes a struggle phase with displays of  
65 involuntary movements of the respiratory muscles that are thought to increase cardiac output  
66 (12, 31). This effect restores oxygen supply to the vital organs, such as the brain and the heart.  
67 Still, hypoxia can be severe at the end of a dive; oxygen levels that are considered  
68 pathological in untrained individuals have been measured in freediving athletes’ first expired  
69 breaths and arterial blood after diving (21, 30, 52). Adaption to hypercapnia also permits  
70 freedivers to prolong their apnea times, and the carbon dioxide first expired after breaking off  
71 a dive is considerably elevated (30). In light of an emerging understanding of the role of the  
72 immune system and inflammatory signaling in maintaining tissue and organ homeostasis (24),  
73 it is of interest to understand the responses of the white blood cells; leukocytes, to  
74 physiologically stressful changes in blood gas during voluntary apnea.

75 The possibility of genome-wide measurements of gene expression on microarrays has  
76 expedited research into the molecular basis of biological states and responses. For studies of  
77 the immune system, peripheral blood is an obvious choice for gene expression analysis (5).  
78 Blood is a highly heterogeneous tissue. Of its formed elements: the erythrocytes, platelets and  
79 leukocytes, only leukocytes have chromosome-containing nuclei; genome-wide gene  
80 expression in peripheral blood therefore ideally represent the biological state of its leukocytes.  
81 However, the interpretation of gene expression data from blood is complicated by the  
82 heterogeneity of the leukocyte compartment, which consists of a number of phenotypically  
83 different cell types. The main leukocytes: the neutrophils, eosinophils, basophils, lymphocytes  
84 and monocytes, are further divided into subset of cells with different function in the immune  
85 system. Each leukocyte subtype derives its phenotype from the particular set of genes it  
86 expresses, and the cell types are present in blood in variable amounts (51). In practical terms,  
87 this means that a measured change in the abundance of any transcript in blood does not  
88 immediately tell us whether the activity of its gene has changed, or whether there has been a  
89 change in the relative abundance of cells in which this gene is expressed (39).

90 Traditional microarray analysis does not take sample composition into account, but recent  
91 papers have presented methods where transcriptome contributions from phenotypically  
92 distinct cell types are separated by signal deconvolution on basis of cell type-specific gene  
93 expression (1, 25, 38). Deconvolution of microarray signals extracts cell type-specific  
94 information from system-wide data, and has been found to corroborate results from flow  
95 cytometric phenotyping. Also, since deconvolution is done after the genome-wide data is  
96 collected, it eliminates the need for fractioning of samples, and facilitates unbiased detection  
97 of cell types for which the patterns of gene expression are known.

98 In this study we examine the effects of voluntary apnea on cells of the immune system.  
99 Genome-wide cDNA microarrays were used to analyze the peripheral blood transcriptome of

100 elite freedivers who performed a series of static and dynamic apnea dives in a pool with their  
101 respiratory tract immersed. The proportions of major immune cell types in the participant's  
102 blood before and after dives were calculated by cell type-specific deconvolution of the  
103 microarray data. Changes in biological pathways in response to apneas were predicted on  
104 basis of differentially expressed genes.

105

## 106 **Materials and Methods**

### 107 *Research ethics*

108 The experimental procedures were performed in compliance with the declaration of Helsinki  
109 ethical principles for human experimentation, and approved by the Ethics Committee of the  
110 University of Split School of Medicine (No. 2181-198-03-04-14-0011), and the Norwegian  
111 Regional Committee for Medical and Health Research Ethics (No. 2015/200). Prior to  
112 inclusion, the subjects were informed about the study's purpose and scope, and of possible  
113 risks associated with participation. Inclusion into the study was based on signed informed  
114 consent.

115

### 116 *Study subjects*

117 The study group consisted of ten elite free-diving athletes; one female and nine males aged 20  
118 – 48 yrs ( $30 \pm 9$  yrs, mean  $\pm$  SD), height 160 – 191 cm ( $183 \pm 8$ , mean  $\pm$  SD) and weighing 51  
119 -100 kg ( $82 \pm 14$ , mean  $\pm$  SD) were included on basis of the following criteria: the athlete  
120 should be a former or present members of a national free-diving team, with participation in at  
121 least one world or European championship in the last three years resulting in a placement  
122 among the top ten competitors in at least one discipline. All subjects were healthy non-  
123 smokers. Two individual blood samples were discarded on basis of RNA quality; the study  
124 was therefore performed on material from eight participants.

125

126 *Apnea protocol*

127 The experimental apnea was conducted in a swimming pool with a water temperature of 27°C  
128 at the Sports Park Mladost in Zagreb, Croatia. All experiments were done in the afternoon,  
129 limiting the impact of circadian variation in gene expression. On the day of the experiment,  
130 the subjects were instructed not to consume alcohol, caffeine or other stimulants. The subjects  
131 started one by one on a series of 8 repeated apneas; one dynamic apnea without fins followed  
132 by seven bouts of static apneas, with the aim of provoking physiological stress. The subjects  
133 were allowed individual preparations prior to the first and fifth apnea. Most chose to prepare  
134 by moderate hyperventilation and/or glossopharyngeal insufflation. The second, third and  
135 fourth apnea continued until the subject experienced 10 involuntary breathing movements, i.e.  
136 involuntary respiratory muscle contractions. The experimental protocol with the order, mode  
137 and duration (means  $\pm$  SD) of apneas and intermitting rests is outlined in Table 1.

138

139 *Blood sampling and pre-analytic handling*

140 For each subject, peripheral blood (2.5 mL) was drawn on PAXgene tubes (PreAnalytix,  
141 Hombrechtikon, Switzerland) by standard venipuncture three times on the day of  
142 experiments: the first sample was taken shortly before the first apnea, and the second and  
143 third samples were taken 1 and 3 h after completion of the experimental protocol (Table 1). In  
144 order to minimize technical variation, all samples were collected on a single batch of  
145 PAXgene tubes by the same technician. The filled tubes were kept at room temperature for 4  
146 h for fixation of the gene expression profile, transported to the microarray laboratory on dry  
147 ice, and kept at -80 °C until RNA extraction.

148

149 *Microarray processing*

150 Total RNA was extracted from the blood samples using PAXgene Blood RNA kit version 2  
151 (PreAnalytix). RNA concentration and quality was measured on a NanoDrop ND-100  
152 spectrophotometer (NanoDrop Technologies, Wilmington, DE, USA) and an Agilent 2100  
153 Bioanalyzer (Agilent Technologies, Palo Alto, CA, USA): RNA concentrations of the  
154 included samples ranged from 100 to 400 ng/ $\mu$ L, and the RNA integrity number (RIN) ranged  
155 from 8.2 to 9.2. Two samples were excluded based on low RNA concentration, resulting in  
156 the exclusion of two male athletes from downstream analyses. For *in vitro* preparation of  
157 material for microarrays, total RNA was amplified using the TotalPrep RNA amplification kit  
158 (Ambion Inc., Austin, TX, USA), first and second strand cDNA synthesis was performed by  
159 reverse transition and replication, and cRNA was synthesized by transcription. Gene  
160 expression measurements were done on the Illumina humanHT-12 v4 Expression BeadChips  
161 (Illumina, San Diego, CA, USA), which provide genome-wide measurement of the expression  
162 of more than 31,000 genes with over 47,000 probes. Scanning of the microarrays was done on  
163 the Illumina HiScan System.

164

#### 165 *Gene expression profiling*

166 Microarray data background signal subtraction with Benjamini Hochberg false discovery *p*-  
167 value correction was performed in the Illumina GenomeStudio software, version 1.7.0, before  
168 the data was exported to R (<http://www.r-project.org/>) for further analysis using the lumi  
169 Bioconductor package version 1.1.0 (11). Negative signal intensities were flagged and set to  
170 zero after log<sub>2</sub> transformation, and inter-sample differences were normalized by quantile  
171 transformation. We excluded probes with detection *p*-values outside of the 0.01 threshold in  
172 more than 50% of the samples. An exploratory analysis was performed using multilevel  
173 partial least squares regression to determine sensible choices for blocking structure in the  
174 subsequent differential testing, and to obtain a global visualization of sample relations.

175 Differential gene expression was estimated by a moderated paired *t*-test. A false discovery  
176 adjusted *p*-value of < 0.05 was considered significant.

177

#### 178 *Leukocyte cell-type enumeration*

179 Determination of the relative numbers of different leukocyte types in each sample was done  
180 by deconvolution of the gene expression data using the Cibersort software (25), with a default  
181 input matrix of cell-type specific gene expression signatures. The LM22 signature matrix  
182 contains 547 genes that distinguish 11 leukocytes subtypes: B cells, plasma cells, cytotoxic T  
183 cells (CD8+), helper- and regulatory T cells (CD4+),  $\gamma\delta$  T cells, natural killer cells (NK cells),  
184 monocytes and macrophages, dendritic cells, mast cells and eosinophil and neutrophil  
185 granulocytes. These can be further divided into 22 phenotypic variants. In the present study,  
186 cut-off was set so that only cells with a mean relative fraction across all samples of  $\geq 5\%$  of  
187 the calculated leukocyte population were included in comparisons across time-points. Further  
188 statistical analyses were done in IBM SPSS statistics software version 21.0 ([http://www-](http://www-01.ibm.com/software/uk/analytics/spss/)  
189 [01.ibm.com/software/uk/analytics/spss/](http://www-01.ibm.com/software/uk/analytics/spss/)). Normal distribution of the calculated leukocyte  
190 fractions at each time-point was verified by Kolmogorov-Smirnov tests and Q-Q normal  
191 probability plots. Kruskal-Wallis tests were used to compare means over all time-points, and  
192 to subsequently identify significant changes in pairwise comparison between time-points. *p*-  
193 values < 0.05 were considered significant.

194

#### 195 *Enrichment analysis for biological pathways*

196 Functional clustering of gene expression data was performed using the MetaCore GeneGo  
197 software release 6.21 (<http://thomsonreuters.com/metacore/>), with the differentially expressed  
198 gene lists from the gene expression analysis as input. The enrichment analyses were ranked  
199 according to the probability of a particular pathway or process occurring by chance in the



200 gene list in comparison to a background consisting of all probes on the Illumina humanHT-12  
201 v4 Expression BeadChips. The absolute threshold for transcription change was set to 0.5, and  
202 false discovery adjusted  $p$ -values  $< 0.05$  were considered significant.

203

#### 204 *Microarray data availability*

205 The microarray data has been submitted for open access in the EMBL-EBI ArrayExpress  
206 repository (<http://www.ebi.ac.uk/arrayexpress/>) according to MIAME standards. The  
207 accession code is E-MTAB-3547.

208

## 209 **Results**

### 210 *Experimental procedure*

211 Peripheral blood samples were collected from elite participants at a freediving competition.  
212 The participants provided base-line blood samples before start, and proceeded to give two  
213 additional samples 1 and 3 h after completion of the freediving protocol outlined in Table 1.  
214 All participants successfully completed the protocol, and there were no reports of adverse  
215 effects caused by the apneas or blood collection.

216

### 217 **Table 1.**

218

### 219 *Sample relations in the microarray data*

220 After microarray data processing and signal filtering, an exploratory multilevel partial least  
221 squares regression analysis was performed on the data in order to visualize sample relations.  
222 As shown in Figure 1, data from individual samples fell into distinctively separable classes  
223 according to time of blood collection relative to the apneas. Freediving apnea hence

224 outweighed other sources of variation in this supervised analysis, and differential gene  
225 expression was considered to be apnea-induced in the subsequent analyses.

226

227 **Fig 1.**

228

229 *Apnea-induced gene expression changes*

230 Gene expression profiling of the processed and filtered microarray data was done in order to  
231 determine the effects of apneas on the global peripheral blood transcriptome. As summarized  
232 in the Venn diagram in Fig 2A, the analysis revealed differential expression of 5,353 probes  
233 representing 4,585 genes in measurements performed 1 h after apneas, and 2,321 representing  
234 for 2,054 genes in the later measurement 3 h after apneas. Ninety-one % of all differentially  
235 expressed genes were present after 1 h, whereas the remaining 9% were unique to the later  
236 dataset. The signature overlaps comprised in the intersection between the 1 and 3 h data  
237 consisted of one third of apnea-induced gene expression changes, and approximately of 60%  
238 of the genes were no longer present after 3 h. Complete lists of differentially expressed genes  
239 at both time points are presented in the Appendix.

240

241 **Fig 2.**

242

243 In an initial assessment of apnea-related effects, we considered the genes with the most  
244 pronounced expression changes. The top upregulated genes pointed to temporary activation  
245 and recruitment of neutrophil granulocytes: 1 h after apneas, the single most upregulated gene  
246 codes for matrix metalloproteinase 9 (MMP9) (Fig 3). MMP9 facilitates the migration of  
247 neutrophils between the endothelium and underlying tissues by degrading collagens in the  
248 basement membrane (10). MMP9 is activated in neutrophil granulocytes by interleukin 8 (IL-

249 8) inflammatory signaling via Toll-like receptors 2 and 4 (TLR2 and TLR4) and the adapter  
250 myeloid differentiation factor 88 (MyD88) (26, 34), all of which were upregulated. The  
251 expression of *MMP9* and *IL-8* was no longer upregulated 3 h after apneas, whereas the *TLRs*  
252 and *MyD88* still were.

253 On the other end of the expression scale, the most downregulated genes comprised a striking  
254 number of factors involved in the mediation of lymphocyte cytotoxicity, i.e. CD8+ T cells and  
255 NK cells. Along with markers for cytotoxic lymphocytes; natural killer cell granule protein 7  
256 (NKG7) and G protein-coupled receptor 56 (GPR56), all major components of cytolytic  
257 granules; the membrane-destroying proteins perforin (*PRFI*) and granulysin (*GNLY*), and the  
258 apoptosis-inducing serine proteinase granzymes (*GZMs*) *GZMA*, *GZMB*, *GZMH*, *GZMK* and  
259 *GZMM* were downregulated 1 h after apnea. In the 3 h dataset only *GZMB* and *GZMM* were  
260 still downregulated, indicating that the effect was temporary.

261

262 **Fig 3.**

263

264 *Calculated changes in immune cell fractions*

265 In order to determine whether apneas affected the composition of immune cells in peripheral  
266 blood, we performed signal deconvolution of the transcriptome data using the Cibersort  
267 software with leukocyte-specific gene expression signatures in the input matrix (25). The  
268 deconvolution returned 14 phenotypically distinct immune cell types, listed in Table 2.  
269 Comparison of the calculated fractions across and between time-points revealed apnea-  
270 associated changes in three immune cell types 1 h after apneas; neutrophil granulocytes  
271 ( $p=0.001$ ) increased, whereas CD8+ T cells ( $p=0.007$ ) and resting NK cells ( $p=0.011$ )  
272 decreased. Naïve CD4+ T cells and M2 macrophages came close, but were not significantly

273 changed. The effects of apneas on immune cell fractions appeared to be temporary, as no  
274 significant effects were found 3 h after apneas.

275

276 **Table 2.**

277

278 In Fig 4, immune cell types that on average were found to represent > 5% of all leukocytes  
279 are shown as box plots. While the analysis did not identify sustaining differences in immune  
280 cell fractions 3 h after apneas, the data in Fig 4 indicates that they were not fully restored to  
281 before apnea-levels.

282

283 **Fig 4.**

284

285 *Biological pathway associations*

286 In order to further investigate the biology of immune cell responses, we used MetaCore  
287 GeneGo software to identify biological pathway associations for apnea-induced gene  
288 expression changes. The 1 and 3 h data for differentially expressed genes were first analyzed  
289 together, on merged data ( $1\text{ h} \cup 3\text{ h}$ ); i.e. all genes in the Venn diagram in Fig 2, and on the  
290 intersection between the datasets ( $1\text{ h} \cap 3\text{ h}$ ); i.e. genes contained within the Venn overlap.  
291 Both analyses returned almost identical results, and no pathways were identified in  
292 subsequent analysis of the contrast between the 1 and 3 h data ( $1\text{ h} \Delta 3\text{ h}$ ). Individual analysis  
293 of the 1 and 3 h data returned similar pathway associations at both time points, with different  
294 significance and some variation in order; whereas the order of pathways in the 1 h data were  
295 essentially the same as for the merged data, the top pathway association in the 3 h data was  
296 that for Toll-like receptor TLR2 and TLR4 signaling. The top five pathways associated with  
297 the up- and downregulated gene expression respectively are shown in Table 3.

298 Biological pathways involved in the development, migration and activity of neutrophil  
299 granulocytes in response to inflammatory stimuli are highly represented among those  
300 associated with upregulated gene expression, most so at the earliest time point (1 h) after  
301 apneas. The top pathway association was that for inhibition of neutrophil migration by  
302 proresolving lipid mediators; an anti-inflammatory process that limits airway inflammation  
303 caused by trans-endothelial migration and accumulation of neutrophils in chronic obstructive  
304 pulmonary disease (20). The bottom part of Table 3 contains pathways of cytotoxic  
305 lymphocyte receptor-mediated signaling and pre-apoptotic activity. Whereas most of the  
306 genes associated with NK cell-mediated immunity were downregulated; including the  
307 inhibitory killer cell receptors *KLRD1* and *KIR2DL3* and intracellular signal transmitting  
308 kinases *ZAP70* and *FYN*, the pattern of gene expression changes was more variable in the  
309 granzyme B signaling pathway: the cytotoxic granule-associated *PRF1* and *GZMB* were  
310 strongly downregulated, but several other genes acting further downstream in intercellular  
311 apoptotic signaling were upregulated.

312 In all major pathways associated with differential gene expression, the direction of gene  
313 expression changes was identical across all data. Overall, the results indicated that the same  
314 immune and inflammatory responses were reflected in the data measured both 1 and 3 h after  
315 apneas. However, as seen in Table 3, the number of involved objects was higher in the earliest  
316 (1 h) measurement. The log-fold change of differentially expressed genes was also  
317 consistently larger in earliest dataset (Appendix). The responses thus appeared to be  
318 temporary, diminishing within hours of the apnea exposure.

319

320 **Table 3:**

321

322 **Discussion**

323 Freedivers maximize their performance by optimal oxygen use and heightened tolerance to  
324 CO<sub>2</sub>. They emerge from dives hypoxic and hypercapnic. Prior studies have addressed the  
325 effects of physiological stress in freediving on specific leukocytes, demonstrating e.g. altered  
326 antioxidant responses in mononuclear cells (44, 45) and increased tolerance to oxidative stress  
327 in neutrophil granulocytes (42, 43). In this study we have demonstrated that experimental  
328 apnea extensively alters the global peripheral blood transcriptome of elite freediving athletes.  
329 Deconvolution of transcriptomes indicated a temporary increase in neutrophil granulocytes,  
330 and a decrease of CD8<sup>+</sup> T cells and resting NK cells. Biological pathway analysis showed  
331 that genes involved in neutrophil responses to anti-inflammatory proresolving lipid mediators  
332 were upregulated, whereas those coding for components of granule-mediated lymphocyte  
333 cytotoxicity were downregulated. This is to our knowledge the first study that addresses the  
334 effects of freediving apnea across the complete leukocyte compartment.

335 In diseases that are associated with chronic or intermittent hypoxia and hypercapnia, such as  
336 chronic obstruction pulmonary disease and sleep apnea, systemic inflammation is thought to  
337 contribute to pathological progression and sequelae (16, 49). The inflammatory activation  
338 progresses via TLR signaling, and results in increased amounts of circulating neutrophils (2,  
339 35). There is an intimate connection between hypoxia, inflammation and innate immunity that  
340 is evident on the level of gene expression (7, 9, 27). Two transcription factors are of particular  
341 importance; HIF-1 $\alpha$  is considered the master switch of transcription in hypoxia (36), whereas  
342 NF- $\kappa$ B regulates the transcription of genes in inflammatory signaling (29). The two act in  
343 concert to control the genetic activity of immune cells (33). Hypoxia-driven gene expression  
344 affects different immune cells in different ways; whereas innate immune cells are triggered, it  
345 appears that some features of adaptive immunity are suppressed (40). A possible explanation  
346 for this lies in our evolutionary history. The development of cellular defenses against  
347 pathogen invasion in early eukaryotes took place when the atmosphere's oxygen was low

348 (23). The current descendants of early immune cells remain quiescent under normal oxygen  
349 tensions, but they have retained the capacity to switch to anaerobic metabolism in response to  
350 inflammatory signaling, thus stimulating their function in hypoxic tissues (17). Neutrophil  
351 granulocytes are essential constituents of the innate immune system, and experimental  
352 hypoxia in healthy individuals has been shown to boost both the cytotoxicity and the survival  
353 of neutrophils (46, 50). The adaptive immune system emerged in an oxygenized atmosphere,  
354 and NK cells - although considered effectors of innate immunity - are also late arrivers on the  
355 evolutionary scene (4, 13). The response of lymphocytes to changes in oxygen tension is more  
356 complex than that of neutrophils, but hypoxia has been shown to decrease the survival of  
357 human lymphocytes *in vitro* (6, 41, 47). However, whereas the number of lymphocytes is  
358 reduced in hypoxia, it has been reported that their effector function, i.e. the ability of CD8+ T  
359 cells and NK cells to kill target cells by granule-mediated apoptosis, increases (3).

360 CO<sub>2</sub> is also a modulator of inflammatory gene expression (48). Therapeutic hypercapnia has  
361 been shown to inhibit lung and systemic inflammation (14), which may be explained by the  
362 ability of CO<sub>2</sub> to suppress NF-κB-dependent gene transcription (8, 28). Hypoxia and  
363 hypercapnia may therefore have opposite effects on inflammatory processes, and while we  
364 could not separately assess effects of hypoxia and hypercapnia in this study it appears likely  
365 that the changes in immune cell fractions after apneas were triggered predominantly by  
366 hypoxia.

367 In this study there was a strong association between differentially expressed genes and the  
368 biological pathway involved in inhibition of neutrophil migration by proresolving lipid  
369 mediators. Endogenous proresolving lipid mediators are highly conserved structures with  
370 essential functions in resolution of acute inflammation, and their synthetic counterparts are  
371 potent anti-inflammatory agents when administered *in vivo* (37). This may imply that there  
372 was activation of endogenous anti-inflammatory proresolving lipid mediators in reaction to

373 the neutrophil activation, possibly protecting the divers' own cells from inflammatory injury.  
374 Similarly, the downregulation of genes coding for components of cytolytic granules may  
375 confer some self-protection against a hypoxia-induced increase in lymphocyte cytotoxicity.  
376 As the study participants were all elite freedivers, these findings may imply that frequent  
377 apnea exposure causes an adaptation. Similar studies of healthy apnea-naïve individuals might  
378 elucidate this.

379

### 380 *Limitations*

381 The interpretations of results in this study are based on assumed matches between gene  
382 expression levels and the presence and activity of phenotypically distinct leukocytes in  
383 peripheral blood. However, there are some caveats. First, the deconvolution method uses  
384 reference profiles for gene expression that are derived from purified or enriched leukocyte  
385 subsets. These profiles are reported to be of high sensitivity and specificity, but they do not  
386 make allowance for possible deviations in gene expression from cells that are phenotypically  
387 abnormal due to e.g. biological plasticity or disease (25). Second, there is the assumption that  
388 the peripheral blood transcriptome originates exclusively from leukocytes. Other formed  
389 elements of blood; immature erythrocytes (reticulocytes) and platelets, though devoid of cell  
390 nuclei still contain mRNAs from their precursor cells (15, 18). Any contribution they may  
391 have given to the gene expression profiles is disregarded. Third, transcriptome changes are  
392 not necessarily reflected in phenotypes. However, since the principal differences in  
393 transcriptome measurements before and after apneas are contributed by genes with well-  
394 established roles in cell-specific immune responses and inflammatory signaling, we believe  
395 that our results represent normal leukocyte biology. It should also be noted that this study  
396 does not control for water immersion alone. As immersion causes blood volumes to shift from  
397 the extremities to the trunk, and drainage of fluids from cells into the vascular lumen (32), it is



398 conceivable that leukocytes might be affected. The gene expression changes identified in this  
399 study were compatible with transcriptional responses to hypoxia, but we cannot decidedly rule  
400 out effects triggered by the water surrounding the participants during the apneas.

401

#### 402 *Conclusion*

403 Immune and inflammatory responses to apnea in freediving may be derived from peripheral  
404 blood gene expression profiles. Changes in the leukocyte compartment in experienced  
405 freedivers; a temporary increase of neutrophil granulocytes and reduction of CD8+ T cells  
406 and resting NK cells, are likely triggered by hypoxia. The biological pathways most  
407 associated with apnea-induced gene expression point to possible compensatory reactions that  
408 limit the injury from altered immune and inflammatory activity. While it remains unknown  
409 whether the immune system's defensive function is affected, our findings provide novel  
410 insight into the effects of non-pathological apneas on phenotypically distinct leukocyte types,  
411 and the protection of homeostasis from physiological stress in freediving.

412

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426

## 427 **Disclosures**

428 There are no competing interests to declare.

429

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567  
568  
569

570 **Figure Captions**

571

572 **Fig 1. Partial Least Square (PLS) analysis for dimensional reduction of freedivers'**  
573 **peripheral blood transcriptome data.** In this plot, the small equilateral triangles represents  
574 the position of data from individual samples, colored according to time of sampling, and  
575 positioned in the plot by the first two principal components of a PLS model derived from a  
576 naïve Bayesian classifier on the transformed subspace spanned by the two first principal  
577 components (PC1 and PC2). The larger, protruding triangles represent normalized fractions of  
578 the cell types that explain the majority of observed differences; neutrophil granulocytes,  
579 cytotoxic T cells and resting NK cells. Class probabilities are indicated by background colors.  
580 The plot shows distinctive separation of samples according to classes; i.e. to time relative to  
581 blood sample collection.

582

583 **Fig 2. Apnea-induced differential gene expression.** Venn diagram of the differentially  
584 expressed genes that were identified by GeneGo analysis 1 and 3 h after experimental apneas.  
585 Out of > 5,000 unique genes, the majority (91%) were present in, and almost 60% unique to,  
586 the earliest (1 h) dataset, whereas only 9 % were unique to the later (3 h) dataset, indicating  
587 that the effects of the experimental apneas on gene expression in leukocytes were  
588 predominantly transient.

589

590 **Fig 3. Forest-plot of selected genes differentially expressed 1 h after experimental**  
591 **apneas.** The upper part of the plot includes genes with essential function in neutrophil  
592 granulocyte activation and recruitment, all of which were upregulated in the 1 h dataset. The  
593 bottom part comprises central factors in lymphocyte cytotoxicity, all downregulated 1 h after  
594 apneas. Whereas the direction of change was consistently the same 1 h and 3 h after apneas,

595 only a few genes still showed significantly different expression levels from pre-apnea  
596 measurements at the latter time point.

597

598 **Fig 4. Major immune cell fractions in peripheral blood calculated by transcriptome**  
599 **deconvolution.** Cell types that on average contributed  $\geq 5\%$  of all leukocytes are included in  
600 the box plot In the 1 h dataset, neutrophil granulocyte fractions were increased ( $p=0.001$ ),  
601 whereas CD8+ T cells ( $p=0.007$ ) and resting NK cells ( $p=0.011$ ) decreased. In the 3 h dataset,  
602 the cell fractions were no longer significantly different from before the experimental apneas.  
603 Horizontal bands, bars and whiskers indicate median values, lower and upper quartiles and  
604 min/max respectively. Outliners are shown as dots.

605

606

607 **Tables**

608

609 **Table 1. Experimental freediving protocol, with apnea types and durations.**

Step	Mode	Duration [s]	
		Mean (SD)	Range
	Individual preparation		
1	Dynamic apnea without fins	97 (26)	71-150
	Rest 10 min – passive exhale		
2	Static apnea until 10 involuntary breathing movements	73 (29)	42-144
	Rest 3 min		
3	Static apnea until 10 involuntary breathing movements	162 (51)	105-257
	Rest 7 min		
4	Static apnea until 10 involuntary breathing movements	203 (58)	150-321
	Rest 7 min		
	Individual preparation		
5	Maximal static apnea	286 (74)	206-430
	Rest 1 min – maximal inhale		
6	Maximal static apnea	209 (45)	160-294
	Rest - two breaths, maximal inhale		
7	Maximal static apnea	130 (27)	100-169
	Rest - two breaths, maximal inhale		
8	Maximal static apnea	126 (22)	93-164

610

611 **Table 2. The effect of experimental apnea on relative fractions of major immune cell**

612 **types in peripheral blood.** Cell types are sorted according to mean relative fractions over all

613 samples.

Cell type	Mean fraction	<i>p</i> -values for change <sup>1</sup>			
		Across all classes	Before vs 1 h after apnea	Before vs 3 h after apnea	1 h vs 3 h after apnea
Neutrophil granulocytes	0.401	0.002	0.001	0.111	0.442
CD8+ T cells	0.122	0.009	0.007	0.198	0.688
Monocytes	0.115	0.595			
Naïve CD4+ T cells	0.096	0.05			
Resting NK cells	0.091	0.015	0.011	0.537	0.359
Regulatory T cells	0.046	0.269			
Memory B cells	0.044	0.193			
Activated CD4+ memory cells	0.027	0.378			
Resting mast cells	0.026	0.512			
M0 macrophages	0.016	0.141			
Activated dendritic cells	0.005	0.690			
Activated NK cells	0.004	0.399			
M2 macrophages	0.002	0.045	0.051	1	0.219
Plasma cells	0.002	0.713			



614 <sup>1</sup>Adjusted *p*-values for pairwise comparisons between classes were calculated only when  
 615 Kruskal-Wallis tests showed significant differences across all classes.

616

617 **Table 3. Top biological pathway associations for effects of the experimental apneas.**

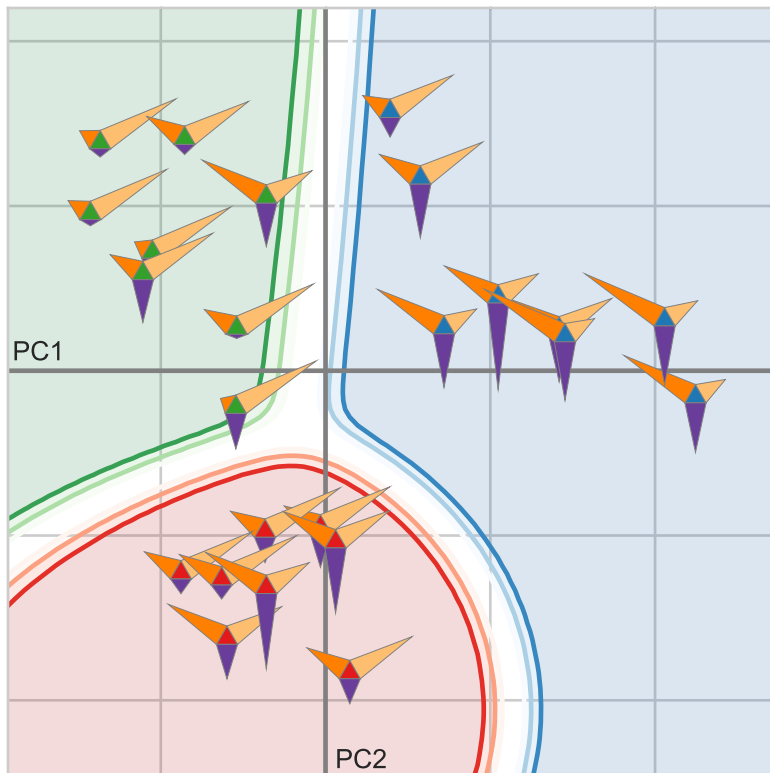
618 Objects associated with an absolute log fold expression change >0.5 in the 1 h dataset are  
 619 included; comprehensive lists of genes and apnea-associated pathways are presented in the  
 620 Appendix.

621

Biological pathway associations	1 h after apnea		3 h after apnea	
	<i>p</i> -value*	Significant objects	<i>p</i> -value*	Significant objects
<b>Top upregulated</b>				
Inhibition of neutrophil migration by proresolving lipid mediators in COPD	1.7 10 <sup>-7</sup>	C5AR, TLR4, FPRL1, LTBR1, IL8RA, FPR, TLR2, PAK1, L-selectin	0.013	C5AR, TLR4, FPRL1
Transcription regulation of granulocyte development	2.2 10 <sup>-6</sup>	G-CSF receptor, MAD, CD13, p47-phox, p67-phox, LRG	0.001	CD45, p67-phox, MAD
Inhibitory action of lipoxins on superoxide production induced by IL-8 and Leukotriene B4 in neutrophils*	2.4 10 <sup>-6</sup>	FPRL1, LTBR1, IL8RA, p47-phox, p40-phox, PAK1, p67-phox	0.048	FPRL1, p67-phox
TLR2 and TLR4 signaling pathways	5.9 10 <sup>-6</sup>	COX-2, TLR1, TLR2, TLR4, TLR6, Pellino 1, Pellino 2	2.7 10 <sup>-6</sup>	COX-2, TLR4, TLR6, MEK4, Pellino 1, Pellino 2
TLR ligands	3.2 10 <sup>-6</sup>	TLR1, TLR2, TLR4, TLR6, TLR8, HSP70	8.9 10 <sup>-5</sup>	TLR4, TLR6, TLR8, HSP70
<b>Top downregulated</b>				
Role of DAP12 receptors in NK cells	1.1 10 <sup>-9</sup>	KIR3DL1, KIR2DS2, KIR2DL3, Fyn, PLC-gamma 1, ZAP70, LAT, CD94	0.046	Fyn
T cell receptor signaling pathway	2.9 10 <sup>-8</sup>	CD3 zeta, IP3 receptor, Fyn, PLC-gamma 1, ZAP70, CARD11, LAT	0.045	Fyn
CXCR4 signaling via second messenger	1.8 10 <sup>-6</sup>	IP3 receptor, Fyn, PLC-gamma 1, ZAP70, LAT	0.029	Fyn
Differentiation and clonal expansion of CD8+ T cells	3.7 10 <sup>-6</sup>	CD8, CD27, Granzyme B, STAT4, Perforin	0.033	Granzyme B
CD16 signaling in NK cells	3.8 10 <sup>-6</sup>	CD3 zeta, IP3 receptor, PLC-gamma 1, ZAP70, LAT, CD94	0.058	Calcineurin B

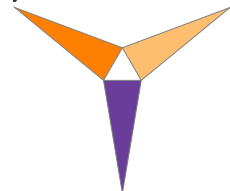
622 \* *p*-values are from GeneGo pathway analysis.

623



## Normalized fractions

Cytotoxic T-cells    Neutrophils



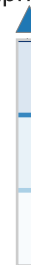
NK-cells

## Class

Before  
apnea

1hr

3hr

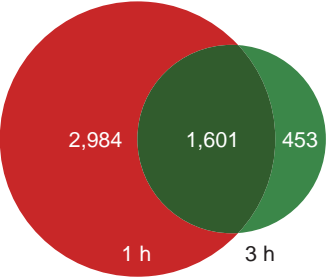


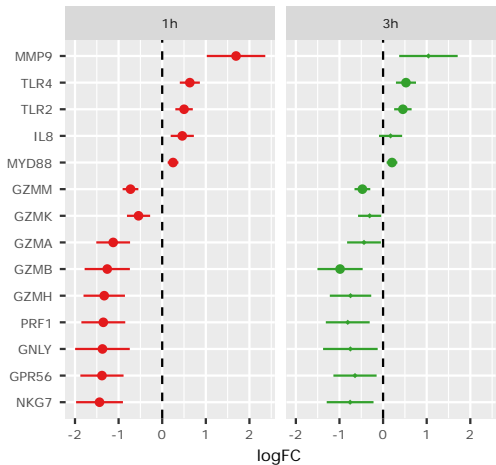
0.9

0.8

0.7

Class probability





P-Value



n.s



<0.05

95% CI



1h



3h

