

UNIVERSIDADE FEDERAL DO RIO GRANDE DO SUL
FACULDADE DE FARMÁCIA
TRABALHO DE CONCLUSÃO DE CURSO DE FARMÁCIA

**SEQUENCE VARIATIONS IN *RAN* GENE AS POTENTIAL MODIFIERS OF AGE AT ONSET OF
SPINOCEREBELLAR ATAXIA TYPE 3/MACHADO-JOSEPH DISEASE**

Carolina Konrdörfer Rangel

Porto Alegre, outubro de 2020.

UNIVERSIDADE FEDERAL DO RIO GRANDE DO SUL
FACULDADE DE FARMÁCIA
TRABALHO DE CONCLUSÃO DE CURSO DE FARMÁCIA

**SEQUENCE VARIATIONS IN *RAN* GENE AS POTENTIAL MODIFIERS OF AGE AT ONSET OF
SPINOCEREBELLAR ATAXIA TYPE 3 / MACHADO-JOSEPH DISEASE**

Trabalho de Conclusão de Curso apresentado como requisito para obtenção de título de farmacêutico(a) pelo Curso de Farmácia da Universidade Federal do Rio Grande do Sul.

Aluna: Carolina Konrdörfer Rangel
Orientadora: Prof^a. Dr^a. Maria Luiza Saraiva Pereira

Porto Alegre, outubro de 2020.

“A gente quer passar um rio a nado, e passa; mas vai dar na outra banda é num ponto muito mais embaixo, bem diverso do em que primeiro se pensou. Viver nem não é muito perigoso?”

O Grande Sertão: Veredas
João Guimarães Rosa

AGRADECIMENTOS

Seria injusto começar sem agradecer à pessoa que esteve ao meu lado em todos os momentos da graduação, e da vida também. Agradeço à minha mãe, Sandra, por ser meu porto seguro e por me apoiar em todas as minhas escolhas. Graças a ela pude estudar em uma Universidade Pública e ter meus horizontes ampliados para uma infinidade de possibilidades. Obrigada mãe, por todo carinho, amor e cafés nas noites de frio e de estudos. Mas obrigada, principalmente, por me permitir viver meus sonhos.

Agradeço ao meu namorado e também melhor amigo Everaldo, por todo o apoio, incentivo e compreensão. Obrigada por acreditar em mim e por sempre demonstrar isso em todos os teus gestos. Agradeço pelo cuidado e pelo carinho, pelas infinitas caronas ao Campus do Vale nos sábados de manhã, pelas aventuras por Porto Alegre e por sempre me lembrar de respirar. Por fim, obrigada pela paciência e por viver comigo um amor que liberta e que permite que sonhos se tornem realidade.

Ao meu pai, Roberto, que esteve comigo em momentos importantes da graduação. Pelas caronas, cafés na obra e pelo apoio a todas as minhas aventuras.

Aos meus avós, Nelson e Clair, que me tornaram quem sou hoje e que me apoiaram durante todos os dias. À minha avó, pelo orgulho que vi nos seus olhos quando recebeu a notícia de que eu havia passado no vestibular. Obrigada por todo o amor.

Ao Prof. Dr. Itabajara Vaz, ao Dr. Luís Parizi e à Dr^a Gabriela Sabadin agradeço por abrirem as portas da ciência para mim e por terem me ensinado muito mais do que eu poderia imaginar. Graças a vocês me apaixonei pela pesquisa e pude começar a trilhar um caminho de muitos aprendizados, experiências e de expansão cultural. Obrigada pelas oportunidades e pela orientação transformadora.

Agradeço à Prof^a. Dr^a. Maria Luiza Saraiva-Pereira pela ótima orientação, pelo incentivo e pelos inúmeros aprendizados e oportunidades. Este trabalho só foi possível pela sua confiança. Agradeço também por possibilitar uma das experiências mais importantes da graduação, o meu intercâmbio em pesquisa na Holanda. Agradeço também a todos os colegas do Laboratório de Neurogenética Translacional por tanto aprendizado. Tenho orgulho de ter feito parte desta equipe. Obrigada pelo companheirismo Márcia, Rafaella, Amanda, Eduardo, Luís e Rafael. Em especial, agradeço à Ana Carolina e ao Gabriel, que me ensinaram muito e que se tornaram grandes amigos.

Agradeço à UFRGS e à Faculdade de Farmácia pelo maior desafio de minha vida. Por todos os ensinamentos, oportunidades e por ampliar meus horizontes. Obrigada pelo ambiente plural e pela cultura. Agradeço também pelos ensinamentos sobre saúde pública e humanizada. Agradeço ao movimento estudantil pela educação político-social. Saio da UFRGS com a missão de buscar um futuro melhor para a sociedade.

Por fim, agradeço às melhores pessoas que pude conhecer ao longo da graduação: meus amigos. Vocês tornaram essa jornada possível, alegre, cheia de amor e de boas lembranças. Não seria possível passar por esses cinco anos e meio de Faculdade de Farmácia, esses dias infinitos de muitas horas no trem, sem a companhia de vocês. Agradeço aos meus amigos Pimpetes Rebeca, Gabriel, Victória, Bárbara e Pricilla. Agradeço também ao meu amigo Ricardo, que esteve comigo desde o início e que foi um grande companheiro. À Gabriele, por ser uma amiga incrível e por sempre me fazer feliz. Às minhas irmãs de alma, Michele, Luciane e Vitória, agradeço por tanto, tanto amor. A todos vocês, obrigada pelas risadas, por me deixarem cozinhar pra vocês, pelos olhares, pelas lágrimas, pela confiança, pelas festas, pelas memórias, pelos sorvetes e pelos cafés. Obrigada!

APRESENTAÇÃO

Este trabalho apresenta-se sob a forma de artigo original, que será submetido à publicação no periódico *NeuroMolecular Medicine*. As normas técnicas de instrução aos autores encontram-se disponíveis em anexo. Figuras e legendas foram colocadas no corpo do texto para facilitar a leitura dos avaliadores.

Title: Sequence variations in *RAN* gene as potential modifiers of age at onset of Spinocerebellar Ataxia Type 3/Machado-Joseph disease

Authors:

Carolina Konrdörfer Rangel¹; Eduardo Preusser de Mattos^{1,2,*}; Gabriel Vasata Furtado^{1,2,*}; Vanessa Bielefeldt Leotti^{3,4}, Laura Bannach Jardim^{1,5,6}, Maria Luiza Saraiva-Pereira^{1,2, 5,7}

Affiliations:

1 Laboratório de Neurogenética Translacional, Serviço de Pesquisa Experimental, Hospital de Clínicas de Porto Alegre, Porto Alegre, Brazil

2 Programa de Pós-Graduação em Genética e Biologia Molecular, Universidade Federal do Rio Grande do Sul, Porto Alegre, Brazil

3 Departamento de Estatística, Universidade Federal do Rio Grande do Sul, Porto Alegre, Brazil

4 Programa de Pós-Graduação em Epidemiologia, Universidade Federal do Rio Grande do Sul, Porto Alegre, Brazil

5 Serviço de Genética Médica, Hospital de Clínicas de Porto Alegre, Porto Alegre, Brazil

6 Departamento de Medicina Interna, Universidade Federal do Rio Grande do Sul, Porto Alegre, Brazil

7 Departamento de Bioquímica, Instituto de Ciências Básicas da Saúde, Universidade Federal do Rio Grande do Sul, Porto Alegre, Brazil

* Current address: Department of Biomedical Sciences of Cells and Systems, Section Molecular Cell Biology, University Medical Center Groningen, University of Groningen, Netherlands

Correspondence to:

Maria Luiza Saraiva-Pereira, PhD

Serviço de Genética Médica

Hospital de Clínicas de Porto Alegre

Rua Ramiro Barcelos, 2350

90035-003 – Porto Alegre – RS

Brazil

Tel: + 55 51 33168011

Fax: + 55 51 33168010

e-mail: mlpereira@hcpa.edu.br

Abstract

Spinocerebellar ataxia type 3 or Machado-Joseph disease (SCA3/MJD) is the most prevalent autosomal dominant hereditary type of ataxia worldwide, causing motor incoordination by progressive neurodegeneration. The disease is due to a CAG trinucleotide expansion at the gene *ATXN3* that is inversely correlated to the disease age of onset (AO). This correlation explains about 60% of variation in AO, suggesting that genetic and/or environmental factors may act as modifiers of the disease manifestations. Neuronal intranuclear inclusions (NII) were reported to directly affect the disease progression. Genetic variations in the gene coding for Ran (ras-related nuclear protein), an essential component of the nucleocytoplasmic transport system, can interfere with NII formation and potentially modify the AO. In this study, variants rs14035 and rs7132224 were genotyped in patients of a SCA3/MJD from South Brazil. In addition, linkage disequilibrium (LD) and haplotype reconstruction were assessed, and combined haplotypes correlated to AO. No statistical differences were found between patients and control groups in allelic and genotypic distributions. However, minor allele frequencies were shown to be less represented in SCA3/MJD group for rs14035 and rs7132224 ($p=0.081$ and $p=0.058$ respectively, for genotypic distributions). The most frequent haplotype found was AC, followed by GT, corroborating with the LD found. Patients carrying GT/GT combined haplotype have, on average, a delay of 1.8 years in AO ($p=0.089$). Therefore, our data suggests that the studied *RAN* variants are involved in genetic modulation of AO in SCA3/MJD, enhancing the requirement for further studies evaluating the relationship between nucleocytoplasmic transport and polyglutaminopathies neurotoxicity.

Key-words: Spinocerebellar ataxia type 3, Machado-Joseph disease, *RAN* gene, Genetic modifiers, PolyQ.

1. Introduction

Spinocerebellar ataxia type 3, also known as Machado-Joseph disease (SCA3/MJD), is an inherited autosomal dominant disorder caused by a CAG expansion (CAG_{exp}) at the *ATXN3* gene, which is responsible for ataxin-3 expression (Kawaguchi et al. 1994). SCA3/MJD is the most common autosomal dominant ataxia worldwide, with a frequency of 1.5 in 100,000 inhabitants in the general population (Ruano et al. 2014). The disease leads to neurodegeneration of cerebellar, motor neuron, pyramidal and extrapyramidal areas, which comprise mainly motor and coordination function, reflecting on several movement disorders (Paulson 2012).

SCA3/MJD is a polyglutaminopathy, since CAG_{exp} leads to the expression of an abnormally long polyglutamine (polyQ) tract in the protein ataxin-3. Unaffected individuals carry 14-40 CAG repeats, while in SCA3/MJD patients stretches are expanded ranging from 51 up to more than 87 repeats (Souza et al. 2016). In general, age at onset (AO) in SCA3/MJD is inversely correlated to CAG_{exp} , but the causal mutation explains just 50-65% of the interpatient variability in AO (Kuiper et al. 2017). Hence, disease modifiers, such as genetic and/or environmental factors, might change the clinical history of patients, perhaps by modulating AO and other phenotypes, such as severity of symptoms and velocity of disease progression. Some genetic and molecular modifiers of AO have been described for SCA3/MJD, such as single nucleotide polymorphisms (SNPs) in genes including *GRIK2*, *IL1B*, *NEDD8*, and *NEDD9* (Emmel et al. 2010), *APOE* (Bettencourt and Lima 2011), *FANI* (Mergener et al. 2020), CAG repeat length of the non-expanded *ATXN3* allele (Tezenas du Montcel et al. 2014; Chen et al. 2016), length of CAG repeats at the *ATXN2* gene (du Montcel et al. 2014), degree of methylation of the *ATXN3* promoter (Emmel et al. 2011) and HSP40 expression levels (Zijlstra et al. 2010). However, most of these findings were not replicated by other studies. Furthermore, none of these genetic modifiers resulted in treatment possibilities so far.

PolyQ expanded stretches facilitate the aggregation and intraneuronal accumulation of ataxin-3. Accordingly, the biological hallmark of SCA3/MJD is the presence of polyQ neuronal intranuclear inclusions (NII) (Nóbrega et al. 2018). Although the complete mechanism of SCA3/MJD has not been fully elucidated, the presence of polyQ NII is seen as a harmful event, related to gain of toxic function by mutant ataxin-3, which is required for disease-related neurodegeneration (Bichelmeier et al. 2007; Ramani et al. 2017; Sowa et al. 2018). Nevertheless, NII have also been described as less toxic than cytoplasmic inclusions in neurodegeneration (Seidel et al., 2017). Albeit there are dissonant views on the effect of NII in the onset and/or progression of in neurodegenerative diseases (Arrasate et al. 2004; Woerner et al. 2016), modulation of aggregate formation and cellular localization might be critical in SCA3/MJD and other polyQ diseases.

Mutant ataxin-3 is subjected to caspase and calpain cleavage into peptides as a cellular protective attempt, although this process is directly associated with disease severity (Hübener et al. 2013). The Ras-Related Nuclear Protein (Ran) is a GTP-binding nuclear protein essential for the import and export of different molecules through the nuclear pore complex (NPC) (Sazer and Dasso 2000; Macara 2001). Although molecules with less than 40 kDa can freely pass through the NPC via passive transport (Grima et al. 2017), larger peptides depend on active transport by Ran gradient between the nucleus and the cytoplasm. In cellular, mouse and *Drosophila* models, both full-length and truncated mutant ataxin-3 are transported to the nucleus via nuclear localization signals (NLS) in a Ran-GTPase dependent manner (Sowa et al. 2018; Wang et al. 2019). Therefore, considering Ran-mediated nucleocytoplasmic shuttling of mutant ataxin-3 and the straight relationship between

NII and neurodegeneration, it is tempting to speculate that biological differences in this system might contribute to AO variability in SCA3/MJD. Specifically, variable levels/activity of Ran due to rare genetic variants might predispose neurons to accumulate variable cytoplasmic ataxin-3 aggregates, thus hastening or retarding the disease onset.

In this work, we aimed to investigate the potential influence of genetic variability in *RAN* on age at onset of SCA3/MJD. We addressed whether *RAN* polymorphisms rs14035 and rs7132224 correlate with AO in a South Brazilian group of SCA3/MJD patients. Furthermore, haplotype reconstruction and linkage disequilibrium between variants were also assessed.

2. Materials and Methods

Patients and samples

Two hundred and eight SCA3/MJD patients from the Rio Grande do Sul, Brazil, were investigated in this study. DNA samples from study participants were obtained from the Serviço de Genética Médica (SGM) biorepository and were analysed at the Translational Neurogenetics Laboratory, both from Hospital de Clínicas de Porto Alegre (HCPA). As inclusion criteria, individuals had to be clinically symptomatic, with a confirmed molecular diagnosis of SCA3/MJD and known AO. AO was defined as the age when the patient or a close relative first noticed any symptoms (usually gait ataxia). The anonymized use of DNA samples from these patients for research purposes only was assessed and approved by the HCPA institutional ethics committee. Eighty-three unrelated healthy individuals from the same region were analysed as controls, in order to establish allelic and genotypic frequencies of the selected SNPs among the local population. Expected AO were estimated by generalized linear models described by de Mattos et al. (2019) specific for patients from the Rio Grande do Sul biorepository, taking into account the CAG_{exp} length of each patient included in this study.

DNA isolation and determination of *ATXN3* CAG length

DNA samples were obtained from peripheral blood leukocyte fraction as previously described by standard protocol. DNA concentration was quantified using a NanoDrop device (ThermoFisher) and samples were diluted to either 2 ng/μl for SNPs genotyping or 50 ng/μl for determining CAG length. Length of CAG tract of both *ATXN3* alleles was evaluated by PCR amplification with fluorescently-labelled primers flanking the CAG repeat-containing region in exon 10. Amplification products were then mixed with formamide (HiDye formamide, Applied Biosystems) and GeneScan™ 500 LIZ (Applied Biosystems), and analysed by capillary electrophoresis in an ABI3130xl Genetic Analyzer (Applied Biosystems, Foster City, CA, USA). Amplicon lengths were then determined by GeneMapper® ID v 3.2 software (Applied Biosystems, Foster City, CA, USA), as described previously (França et al. 2012).

RAN polymorphisms and genotyping

The selection of *RAN* SNPs was based on the following criteria: minor allele frequency (MAF) higher than 0.10; gene location (preferably in exons and/or regulatory regions); clinical significance; influence on gene expression. As filters, the platforms Ensembl Genome Browser, GTEX portal and VarSome were accessed. Based on that, rs14035 and rs7132224 were chosen to be evaluated in this study.

rs14035 and rs7132224 were analysed by Taqman® SNP Genotyping Assay (ThermoFisher) with probes C_11351340_10 and C_189223196_10, respectively. Reactions were performed in a final volume of 8 μl, containing 4 ng DNA, 0.2 μl Taqman® probe and 4 μl 2X PCR Genotyping Master Mix, according to the assay protocol (Applied Biosystems, Foster City, CA, USA). For amplification, an initial step of 2 minutes at 50°C was performed to guarantee uracil-N-glycosylase (UNG) activation, followed by AmpliTaq Gold™ activation at 95°C for 10 minutes and 40 cycles of denaturation at 95°C for 15 seconds followed by annealing

and extension at 60°C for 1 minute. Amplification and analysis of PCR products were performed in an ABI Prism 7500 Fast Real-Time PCR System® equipment (Applied Biosystems, Foster City, CA, USA).

***In silico* analysis**

Reconstruction of *RAN* haplotypes from SCA3/MJD and control groups was performed using PHASE software version 2.1.1. Linkage disequilibrium (LD) for the predicted haplotypes data was analysed by Arlequin version 3.5.2.2, considering the LD coefficient (D') and r^2 (which also takes into account allele frequency) as factors to define strong or weak LD. Allelic and genotypic frequencies were compared between data from the present study and different populations using publicly available genetic databases from the 1000 Genomes Project (Zerbino et al. 2018) and GnomAD (Lek et al. 2016).

Statistical analysis

The Predictive Analytics SoftWare (PASW) Statistics program 18.0 (SPSS Inc., Chicago, IL, USA) was used to perform all statistical analysis. Allelic and genotypic frequencies between SCA3/MJD and control groups as well as Hardy-Weinberg equilibrium (HWE) were analysed by the Pearson Chi-Square test. In order to test the influence of *RAN* variants on AO, mean residual age at onset (RAO), defined as the difference between the observed and expected AOs, was compared between genotypes (using both co-dominant and recessive models) and combined haplotypes using one-way analysis of variance (ANOVA) or Student's *t* test. Kolmogorov-Smirnov test was used to test conformity of RAO to a normal distribution. Levene's test and residual diagnostics were used to check sample homoscedasticity for ANOVA and regression tests, respectively. Both the degree of variability in AO explained by CAG_{exp} as well as the potential improvement in explanation afforded by inclusion of *RAN* genotypes were predicted by generalized linear models, and reported as changes in the R^2 coefficient. ANOVA, Student's test and regression analyses considered a mixed model to avoid bias regarding the inclusion of more than one SCA3/MJD individual from the same family (Sainani 2010). Results were considered statistically significant when $p < 0.05$.

3. Results

Among 208 SCA3/MJD patients samples (56% females), CAG_{exp} length ranged from 68 to 84 (mean \pm SD: 75.3 \pm 3.3), while CAG length of the non-expanded *ATXN3* alleles ranged from 13 to 37 repeats (mean \pm SD: 22.1 \pm 4.7). In 141 cases, more than one patient from the same family was included in the study (mean: 1.8 individuals per family; range 1 to 8 individuals; 112 families) (Table 1). To avoid family bias, a statistical mixed model was adopted in our analysis. In the present sample group, CAG_{exp} alone explained about 62% of the variability in AO ($r=-0.791$, $R^2=0.620$, $p<0.001$).

Table 1 Sample characterization

Sample features	Total (n=208)
Women	117 (56.2%)
AO (years)	34.32 (10-56)
AO predicted at birth (years)	35.07 (12-53)
Patients per family	1.86 (1-8)
Normal allele (CAG) _n	22.13 (13-37)
Expanded allele (CAG) _{exp}	75.32 (68-84)

AO stands for age of onset. Data are given as n (absolute value) and mean (range from minimum to maximum value)

Two SNPs in the *RAN* gene were selected for genotyping analyses using the criteria described above. rs14035 is located at 3' UTR region, while rs7132224 is located at 5' UTR region, at a transcription factor (TF) binding site. Allelic and genotypic frequencies from both rs14035 and rs7132224 were in Hardy-Weinberg equilibrium for SCA3 ($p=0.171$; $p=0.086$, respectively) and control groups ($p=0.163$; $p=0.258$, respectively). Global MAFs for both variants were closer to the patients' group distribution than to the control group (Table 2).

Table 2 Variants information and HWE

Variant	MAF	Frequency of variant		HWE		Chromosomal Location	Gene Location
		<i>SCA3/MJD</i>	<i>Local controls</i>	<i>SCA3/MJD</i>	<i>Local controls</i>		
rs14035	0.271	0.281	0.339	$p=0.171$	$p=0.163$	12:130876696	3' UTR variant
rs7132224	0.303	0.286	0.357	$p=0.086$	$p=0.258$	12:130871501	5' UTR variant

MAF global minor allele frequency. HWE Hardy-Weinberg Equilibrium. Location according to Ensembl. Data are given in frequency

No difference was found between SCA3/MJD and control groups when comparing allelic and genotypic frequencies for rs14035 ($p=0.165$; $p=0.081$, respectively) and rs7132224 ($p=0.092$; $p=0.058$, respectively), although data suggests higher frequency of heterozygotes in the control group (Table 3).

Table 3 Allelic and genotypic frequencies found in MJD/SCA3 and local groups

		<i>SCA3/MJD</i>	<i>Local controls</i>	<i>p value</i>
		<i>n=208</i>	<i>n=84</i>	
rs14035				
Alleles	C	299 (0.719)	111 (0.661)	0.165
	T	117 (0.281)	57 (0.339)	
Genotypes	CC	111 (0.534)	34 (0.405)	0.081
	CT	77 (0.370)	43 (0.512)	
	TT	20 (0.096)	7 (0.083)	
rs7132224				
Alleles	A	297 (0.714)	108 (0.643)	0.092
	G	119 (0.286)	60 (0.357)	
Genotypes	AA	112 (0.538)	33 (0.393)	0.058
	AG	74 (0.356)	42 (0.500)	
	GG	22 (0.106)	9 (0.107)	

Data are given as n (absolute value) and frequency. Statistical analysis using Pearson Chi-square test. $p < 0.05$

In addition, allelic and genotypic frequencies of both SNPs from patient and control groups were compared to frequencies among different populations from the GnomAD and 1000 Genomes project databases. For both variants, while the SCA3/MJD group had allelic and genotypic frequencies closer to American and East Asian populations, frequencies in the control group were more similar to those of European populations (Fig. 1).

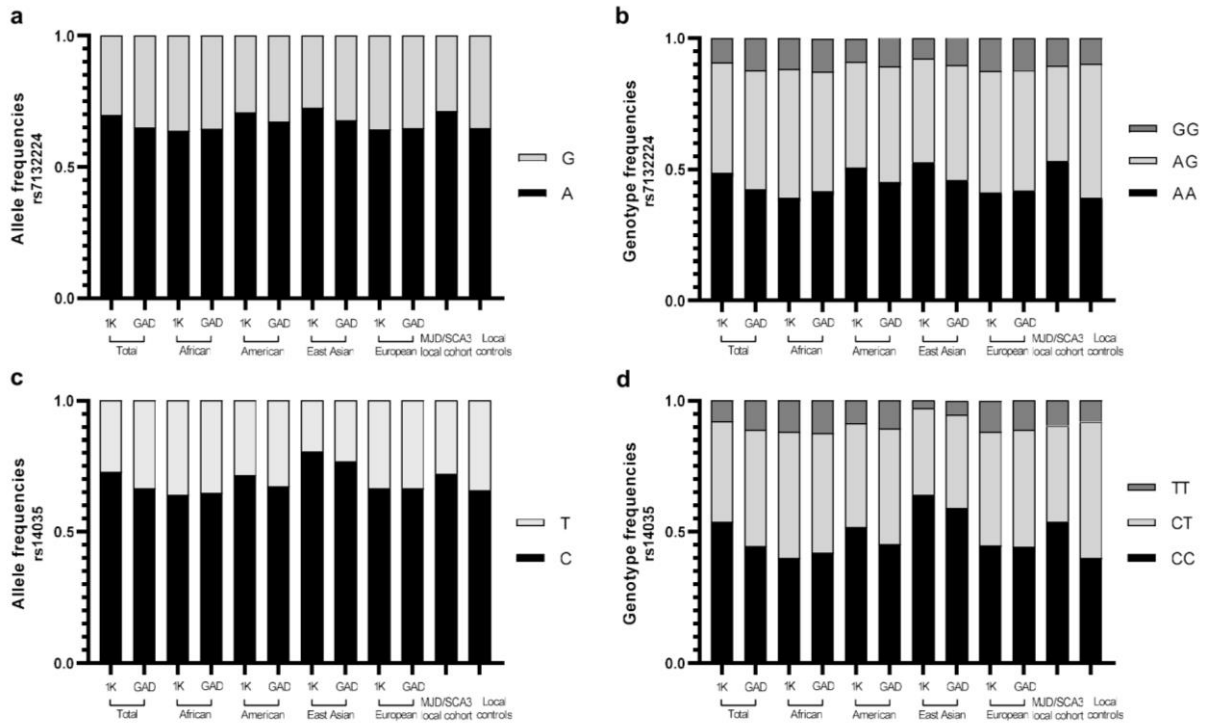


Fig. 1 Allele and genotype frequencies of *RAN* single nucleotide polymorphisms rs7132224 and rs14035 in different ethnic groups. **a** Allele frequencies for rs7132224. **b** Genotype frequencies for rs7132224. **c** Allele frequencies for rs14035. **d** Genotype frequencies for rs14035. Total: average frequency in all populations combined. 1K stands for 1000Gnomes and GAD stands for GnomAD

Haplotype reconstruction for variants rs14035 and rs713222 was performed by PHASE and the resulting distribution is shown in Table 4. LD was calculated using the predicted haplotypes. Both SCA3/MJD and control groups presented LD coefficient (D') and r^2 closer or equal to 1.0 (Table 4). Therefore, the two variants are in strong LD.

Table 4 Variants' haplotypes distribution and linkage disequilibrium

Variant	Haplotype	<i>SCA3/MJD</i> <i>n=208</i>			<i>Local controls</i> <i>n = 84</i>		
		n	r^2	D'	n	r^2	D'
rs14035	GC	5 (0.012)	0.9077	0.9641	3 (0.018)	0.9243	0.1000
	GT	114 (0.274)			57 (0.339)		
rs7132224	AC	294 (0.707)			108 (0.643)		
	AT	3 (0.007)			0		

Data are given as n (absolute value) and frequency. r^2 and D' are coefficients of linkage disequilibrium. Values range from 0 to 1, where values closer to 1 indicate LD association.

We then combined the different haplotypes found in the same patient to investigate the effect of both variants on AO. Strangely, the most prevalent combined haplotypes were AC/AC for the SCA3/MJD group and AC/GT for the control group (Table 5).

Table 5 Distribution of combined haplotypes

Combined Haplotype	<i>SCA3/MJD</i> <i>n</i> = 208	<i>Local controls</i> <i>n</i> = 84	<i>p</i> value
AC/AC	108 (0.519)	33 (0.393)	0.172
GT/GT	20 (0.096)	7 (0.083)	
AC/GT	72 (0.334)	41 (0.488)	
AC/GC	3 (0.014)	1 (0.012)	
AC/AT	3 (0.014)	0 (0.000)	
GC/GT	2 (0.010)	2 (0.024)	

Data are given as *n* (absolute value) and frequency. Statistical analysis using Fisher's Exact Test. $p < 0.05$

Since both variants rs14035 and rs7132224 are in high LD, the investigation regarding their influence in SCA3/MJD AO was performed using reconstructed haplotypes. Based on the hypothesis that homozygous individuals for rare variants (GT/GT) might show variability of the expected AO, we compared this combined haplotype (GT/GT) against the other 5 combined haplotypes found (non-GT/GT group) through mixed model and linear regression. A high inverse correlation between CAG_{exp} repeat length at *ATXN3* and AO was found (adjusted $R^2 = 0.620$; $p < 0.001$). For the non-GT/GT group the inverse correlation showed an $R^2 = 0.621$, while GT/GT group had $R^2 = 0.769$, enhancing the AO variability explication (Fig. 2).

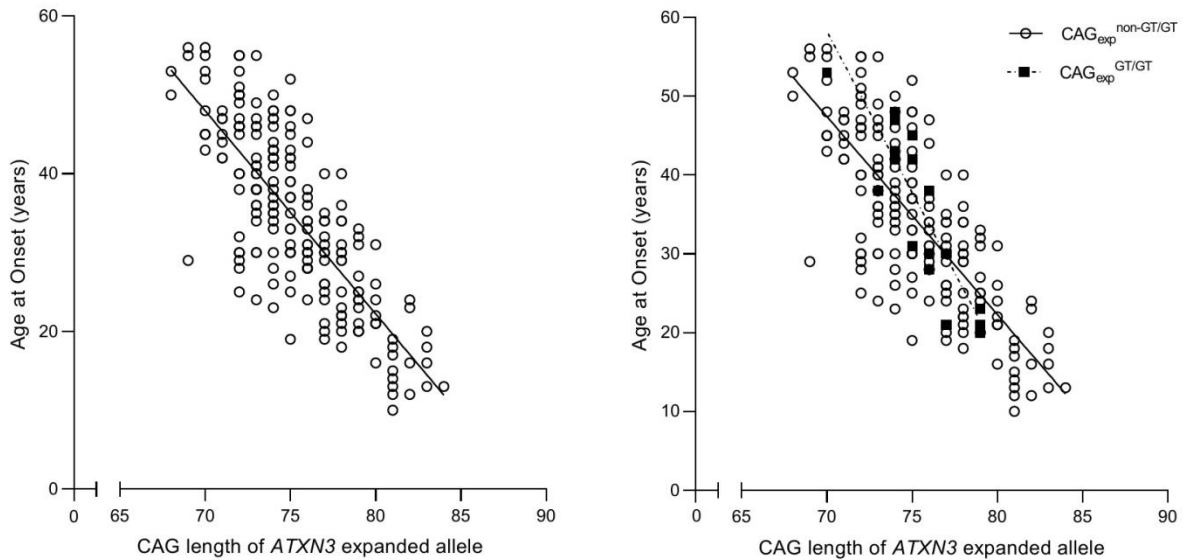


Fig. 2 Correlation between age of onset (AO) and CAG_{exp} repeat length at *ATXN3*. **a** Correlation between age of onset (AO) and CAG_{exp} repeat length at *ATXN3*. Circles represent AO of subjects ($n=208$). Line represents the linear regression model of AO ($R^2=0.620$). **b** Linear regression between AO and CAG_{exp} considering the minor allele of rs14035 and rs7132224 in

homozygosis (combined haplotype GT/GT). (■) represents GT/GT combined haplotype individuals. (○) represents non-GT/GT group. Dashed line represents the linear regression model of AO for GT/GT combined haplotype (n = 20; $R^2 = 0.769$). Filled line represents the linear regression model of AO for the non-GT/GT group (n = 188; $R^2 = 0.621$)

When looking at RAO, patients presenting the combined haplotype GT/GT have, on average, the AO potentially delayed by 1.8 years from the AO expected, while patients within non-GT/GT group presented, on average, an advancing on AO by 0.9 years ($p = 0.089$), suggesting that GT/GT combined haplotype is a potentially protective SCA3/MJD genetic modifier (Table 6).

Table 6 Influence of GT/GT combined haplotype on RAO of SCA3/MJD patients

Combined Haplotype ^{rs7132224/rs14035}	Mean RAO	s	p value
RAN ^{non-GT/GT} n = 188	-0.88 (-22.13 to -9.79)	6.726	0.089
RAN ^{GT/GT} n = 20	1.85 (-9.78 to 9.58)	5.980	

RAO stands for residual age at onset, defined as the difference between the AO observed and the AO expected; s Standard deviation. Values obtained through statistical mixed model. $p < 0.05$

4. Discussion

In this work genetic variants rs14035 and rs7132224 were genotyped in a group of SCA3/MJD patients and influence of these SNPs on AO was assessed. We have also described the frequency of these variants in a local control group, which is the first reported Brazilian sample. About 62% of the cases have the AO explained by the CAG expanded length in our sample, percentage among the range of values already described for this biorepository (Saute and Jardim 2015; Mergener et al. 2020). When comparing variants distribution in patients and control groups, there were no statistical differences on allelic or genotypic frequencies ($0.10 > p > 0.05$). Nevertheless, whilst SCA3/MJD group showed a higher genotypic frequency for the wild allele in homozygosis, control group presented in majority a heterozygous pattern (Table 3).

According to the 1000 Genomes Project and GnomAD databases, looking at the both variants population distribution, the minor allele T at rs14035 has a frequency estimated in 33% in Europeans, 35-36% in Africans, 19-23% in East Asians, and 28-32% in Americans. This same variant has shown a frequency distribution of 28% for SCA3/MJD, which is similar to the frequency described in Americans, while the control group frequency was estimated to be 34%, placing between Europeans and Africans. The frequency of the minor allele G at rs7132224 was estimated to be 35-36% in Europeans, 35-36% in Africans, 27-32% in East Asian, and 29-33% in Americans. Frequency of this allele in SCA3/MJD patients was estimated in 28%, being between East Asians and Americans, differently from the control group (Fig. 1). The finding on similarity of the control group to the European population for both variants might be related to the fact that more than 80% of the population from South Brazil is descended from Europeans (Ruiz-Linares et al., 2014). However, the similarity of SCA3/MJD group distributions to American and East Asian populations cannot be addressed by founding effect, once there are no evidences on migration of these population groups to south Brazil. Hence, our data suggests that the inferred different allelic distribution for the studied variants between SCA3/MJD and control groups might be related to the CAG expansion at the *ATXN3* gene. Therefore, further studies are required.

PolyQ neuronal intranuclear inclusions (NII) are the SCA3/MJD hallmark, and its nuclear localization has been considered a neurotoxic factor, which modulates the disease progression (Nóbrega et al. 2018). Nevertheless, the complete mechanism on how PolyQ neuronal inclusions might turn into NII remains unclear. Although research groups have shown some nucleocytoplasmic system components relation with poliglutaminopathies (Grima et al. 2017; Sowa et al. 2018), related genetic factors were still not completely explored. Hence, in this work we addressed the effect of two variants in *RAN* on AO of SCA3/MJD patients, in order to understand a possible influence of Ran-GTPase system on the disease onset. Following genotyping assays, LD was found between variants in both patients and control groups, corroborating with other population research findings (Yates et al. 2020). We then performed haplotype reconstruction in order to analyse both variants distribution and investigated the influence of combined haplotypes on SCA3/MJD AO, taking into account CAG_{exp} . Remarkably, while CAG_{exp} explains 62% of the cases' AO, considering the potential effect of GT/GT combined haplotype, the percentage increases to 76%. Moreover, our results suggest GT/GT combined haplotype as a protective modifier of the disease onset, with a delay of 1.8 years. Given that only 20 individuals of our sample group had this genetic profile, further survey with larger sample size is required for conclusive data (Table 5). Additionally, taking into account the disease frequency, the effect of this rare combined haplotype in SCA3/MJD patients cannot be ruled out.

Genetic modifications can interfere in protein function in many ways. rs14035 is located in the regulatory 3' UTR region of *RAN* and has been studied as a miRNA biogenesis variant (Horikawa et al. 2008; Mullany et al. 2016). Some rs14035 genotypes have been related to vascular complications (Kim et al. 2018; Ko et al. 2019; Wen et al. 2019), recurrent pregnancy loss risk (Jung et al. 2014), and cancer (Li et al. 2020). On the other hand, variant rs7132224 is located in a TF binding site, and had been related to neuroblastoma (J. Wang et al. 2018) and Wilms tumor (Huang et al. 2020), despite studies regarding the variant remain scarce. Although variants are located in different gene regions, both are associated with variability of Ran expression. While rs14035 is located in a miRNAs binding region and, therefore, may cause changes in gene suppression (Esquela-Kerscher and Slack 2006), variant rs7132224 is located in an essential gene expression regulation site, modulating TF bindings. In cases of neurodegenerative diseases such as SCA3/MJD, the presence of homeostasis disruption (Da Silva et al. 2019) and increased demand on nucleocytoplasmic transport (Seidel et al. 2017) might turn slight variations in Ran expression determinant on the disease progression by variability of NII formation.

Despite Ran relation to nucleocytoplasmic transport, the protein is also an androgen receptor (AR) coactivator, known as ARA24 (Bischoff and Ponstingl 1991). Interestingly, ARA24 interaction with PolyQ chains within AR is variable, lying on the extension of PolyQ length (Hsiao et al. 1999). Therefore, Ran relation to CAG_{exp} within the cell in polyglutaminopathies might also vary. Moreover, different frequency on NII presence relying on huntingtin CAG tract length was demonstrated previously, evidencing a relation between nucleocytoplasmic transport machinery and PolyQ length (Martindale et al. 1998).

Remarkably, there are still no effective treatments to prevent or to delay neurodegeneration onset in SCA3/MJD (Da Silva et al. 2019). Although the increasing data regarding SCA3 pathophysiology, few is known about NII influence in disease severity and, accordingly, no related molecule has been targeted as a therapeutic compound to date. The complete cellular mechanisms and the key factors that lead to neurodegeneration in SCA3/MJD need to be elucidated in order to offer novel and effective treatment approaches.

In summary, we have firstly described rs14035 and rs7132224 allelic and genotypic frequencies in a SCA3/MJD group as well as shown LD between variants in this specific population through haplotype reconstruction. Our data suggests different variant genotypic distributions among patients and control groups, which require further investigation for enlightenment. Finally, a delay of 1.8 years in AO was observed in SCA3/MJD patients carrying the combined haplotype GT/GT, suggesting a protective effect. Therefore, our data strengthens the hypothesis that nucleocytoplasmic transport processes might affect the onset of SCA3/MJD, suggesting that variants in *RAN* might play a role as genetic modifiers in this disease.

Acknowledgments:

The authors thank all individuals who accepted to participate in this project. This work was supported by the following Brazilian agencies: Conselho Nacional de Desenvolvimento Científico e Tecnológico (CNPq) (Grant No. 313132/2018-6), Coordenação de aperfeiçoamento de pessoal de Nível superior (CAPES), and Fundo de Incentivo à Pesquisa do Hospital de Clínicas de Porto Alegre (FIPE/HCPA) (Grant No. 20080395)

Declarations

Conflict of interest: The authors declare that they have no conflict of interest.

Ethical Approval: The study was performed as per the revised Helsinki declaration following approval of the ethics committee of the hospital from where samples were collected.

Informed Consent: Informed consent was obtained from all individual participants included in the study.

References

- Arrasate, M., Mitra, S., Schweitzer, E. S., Segal, M. R., & Finkbeiner, S. (2004). Inclusion body formation reduces levels of mutant huntingtin and the risk of neuronal death. *Nature*, *431*(7010), 805-10.
- Bettencourt, C., & Lima, M. (2011). Machado-Joseph disease: From first descriptions to new perspectives. *Orphanet Journal of Rare Diseases*, 6-35.
- Bichelmeier, U., Schmidt, T., Hübener, J., Boy, J., Rüttiger, L., Häbig, K., et al. (2007). Nuclear localization of ataxin-3 is required for the manifestation of symptoms in SCA3: In vivo evidence. *Journal of Neuroscience*, *27*(28), 7418-7428.
- Bischoff, F. R., & Pongstingl, H. (1991). Mitotic regulator protein RCC1 is complexed with a nuclear ras-related polypeptide. *Proceedings of the National Academy of Sciences of the United States of America*, *88*(23), 10830-10834.
- Chen, Z., Zheng, C., Long, Z., Cao, L., Li, X., Shang, H., et al. (2016). (CAG)_n loci as genetic modifiers of age-at-onset in patients with Machado-Joseph disease from mainland China. *Brain*, *139*(Pt 8):e41.
- Da Silva, J. D., Teixeira-Castro, A., & Maciel, P. (2019). From Pathogenesis to Novel Therapeutics for Spinocerebellar Ataxia Type 3: Evading Potholes on the Way to Translation. *Neurotherapeutics*, *16*(4), 1009-1031.
- de Mattos, E. P., Leotti, V. B., Soong, B. W., Raposo, M., Lima, M., Vasconcelos, J., et al. (2019). Age at onset prediction in spinocerebellar ataxia type 3 changes according to population of origin. *European Journal of Neurology*, *26*(1), 113-120.
- Emmel, V. E., Alonso, I., Jardim, L. B., Saraiva-Pereira, M. L., & Sequeiros, J. (2011). Does DNA methylation in the promoter region of the ATXN3 gene modify age at onset in MJD (SCA3) patients? *Clinical Genetics*, *79*(1), 100-102.
- Esquela-Kerscher, A., & Slack, F. J. (2006). Oncomirs - MicroRNAs with a role in cancer. *Nature Reviews Cancer*, *6*(4), 259-69.
- França, M. C., Emmel, V. E., D'Abreu, A., Maurer-Morelli, C. V., Secolin, R., Bonadia, L. C., et al. (2012). Normal ATXN3 allele but not CHIP polymorphisms modulates age at onset in machado-joseph disease. *Frontiers in Neurology*, <https://doi.org/10.3389/fneur.2012.00164>
- Grima, J. C., Daigle, J. G., Arbez, N., Cunningham, K. C., Zhang, K., Ochaba, J., et al. (2017). Mutant Huntingtin Disrupts the Nuclear Pore Complex. *Neuron*, *94*(1), 93-107.e6.
- Horikawa, Y., Wood, C. G., Yang, H., Zhao, H., Ye, Y., Gu, J., et al. (2008). Single nucleotide polymorphisms of microRNA machinery genes modify the risk of renal cell carcinoma. *Clinical Cancer Research*, *14*(23), 7956-7962.
- Hsiao, P. W., Lin, D. L., Nakao, R., & Chang, C. (1999). The linkage of Kennedy's neuron disease to ARA24, the first identified androgen receptor polyglutamine region-associated coactivator. *Journal of Biological Chemistry*, *274*(29), 20229-20234.
- Huang, X., Zhao, J., Fu, W., Zhu, J., Lou, S., Tian, X., et al. (2020). The association of RAN and RANBP2 gene polymorphisms with Wilms tumor risk in Chinese children. *Journal of Cancer*, *11*(4), 804-809.
- Hübener, J., Weber, J. J., Richter, C., Honold, L., Weiss, A., Murad, F., et al. (2013). Calpain-mediated ataxin-3 cleavage in the molecular pathogenesis of spinocerebellar ataxia type 3 (SCA3). *Human Molecular Genetics*, *22*(3), 508-518.
- Jung, Y. W., Jeon, Y. J., Rah, H. C., Kim, J. H., Shin, J. E., Choi, D. H., et al. (2014). Genetic variants in microRNA machinery genes are associate with idiopathic recurrent pregnancy loss risk. *PLoS ONE*, *9*(4), e95803.

- Kawaguchi, Y., Okamoto, T., Taniwaki, M., Aizawa, M., Inoue, M., Katayama, S., et al. (1994). CAG expansions in a novel gene for Machado-Joseph disease at chromosome 14q32.1. *Nature Genetics*, 8(3), 221-228.
- Kim, J. O., Bae, J., Kim, J., Oh, S. H., An, H. J., Han, I. B., et al. (2018). Association of MicroRNA biogenesis genes polymorphisms with ischemic stroke susceptibility and post-stroke mortality. *Journal of Stroke*, 20(1), 110-121.
- Ko, E. J., Kim, E. J., Kim, J. O., Sung, J. H., Park, H. S., Ryu, C. S., et al. (2019). Analysis of the association between microRNA biogenesis gene polymorphisms and venous thromboembolism in Koreans. *International Journal of Molecular Sciences*, 20(15), 3771.
- Kuiper, E. F. E., de Mattos, E. P., Jardim, L. B., Kampinga, H. H., & Bergink, S. (2017). Chaperones in polyglutamine aggregation: Beyond the Q-stretch. *Frontiers in Neuroscience*, <https://doi.org/10.3389/fnins.2017.00145>.
- Lek, M., Karczewski, K. J., Minikel, E. V., Samocha, K. E., Banks, E., Fennell, T., et al. (2016). Analysis of protein-coding genetic variation in 60,706 humans. *Nature*, 536(7616), 285–291.
- Li, Y., Zhang, F., & Xing, C. (2020). A systematic review and meta-analysis for the association of gene polymorphisms in RAN with cancer risk. *Disease Markers*, <https://doi.org/10.1155/2020/9026707>.
- Macara, I. G. (2001). Transport into and out of the Nucleus. *Microbiology and Molecular Biology Reviews*, 65(4), 570-594.
- Martindale, D., Hackam, A., Wiczorek, A., Ellerby, L., Wellington, C., McCutcheon, K., et al. (1998). Length of huntingtin and its polyglutamine tract influences localization and frequency of intracellular aggregates. *Nature Genetics*, 18(2), 150–154.
- Mergener, R., Furtado, G. V., de Mattos, E. P., Leotti, V. B., Jardim, L. B., & Saraiva-Pereira, M. L. (2020). Variation in DNA Repair System Gene as an Additional Modifier of Age at Onset in Spinocerebellar Ataxia Type 3/Machado–Joseph Disease. *NeuroMolecular Medicine*, 22(1), 133–138.
- Mullany, L. E., Herrick, J. S., Wolff, R. K., Buas, M. F., & Slattery, M. L. (2016). Impact of polymorphisms in microRNA biogenesis genes on colon cancer risk and microRNA expression levels: A population based, case-control study. *BMC Medical Genomics*, 9(1), 21.
- Nóbrega, C., Simões, A. T., Duarte-Neves, J., Duarte, S., Vasconcelos-Ferreira, A., Cunha-Santos, J., et al. (2018). Molecular Mechanisms and Cellular Pathways Implicated in Machado-Joseph Disease Pathogenesis. In *Advances in Experimental Medicine and Biology* (pp. 1049:349–367). Springer.
- Paulson, H. (2012). Machado-Joseph disease/spinocerebellar ataxia type 3. In *Handbook of Clinical Neurology* (pp. 103:437–49). Elsevier.
- Ramani, B., Panwar, B., Moore, L. R., Wang, B., Huang, R., Guan, Y., & Paulson, H. L. (2017). Comparison of spinocerebellar ataxia type 3 mouse models identifies early gain-of-function, cell-autonomous transcriptional changes in oligodendrocytes. *Human Molecular Genetics*, 26(17), 3362-3374.
- Ruano, L., Melo, C., Silva, M. C., & Coutinho, P. (2014). The global epidemiology of hereditary ataxia and spastic paraplegia: A systematic review of prevalence studies. *Neuroepidemiology*, 42(3), 174-83.
- Sainani, K. (2010). The Importance of Accounting for Correlated Observations. *PM and R*, 2(9), 858-61.
- Saute, J. A. M., & Jardim, L. B. (2015). Machado Joseph disease: Clinical and genetic aspects, and current treatment. *Expert Opinion on Orphan Drugs*, 3(5), 517-535.
- Sazer, S., & Dasso, M. (2000). The Ran decathlon: Multiple roles of Ran. *Journal of Cell Science*, 113 (Pt 7), 1111-1118.

- Seidel, K., Siswanto, S., Fredrich, M., Bouzrou, M., den Dunnen, W. F. A., Özerden, I., et al. (2017). On the distribution of intranuclear and cytoplasmic aggregates in the brainstem of patients with spinocerebellar ataxia type 2 and 3. *Brain Pathology*, 27(3), 345-355.
- Souza, G. N., Kersting, N., Krum-Santos, A. C., Santos, A. S. P., Furtado, G. V., Pacheco, D., et al. (2016). Spinocerebellar ataxia type 3/Machado–Joseph disease: segregation patterns and factors influencing instability of expanded CAG transmissions. *Clinical Genetics*, 90(2), 134–40.
- Sowa, A. S., Martin, E., Martins, I. M., Schmidt, J., Depping, R., Weber, J. J., et al. (2018). Karyopherin α -3 is a key protein in the pathogenesis of spinocerebellar ataxia type 3 controlling the nuclear localization of ataxin-3. *Proceedings of the National Academy of Sciences of the United States of America*, 115(11), E2624-E2633.
- Tezenas du Montcel, S., Durr, A., Rakowicz, M., Nanetti, L., Charles, P., Sulek, A., et al. (2014). Prediction of the age at onset in spinocerebellar ataxia type 1, 2, 3 and 6. *Journal of Medical Genetics*, 51(7), 479-486.
- Wang, J., Zhuo, Z., Chen, M., Zhu, J., Zhao, J., Zhang, J., et al. (2018). RAN/RANBP2 polymorphisms and neuroblastoma risk in Chinese children: A three-center case-control study. *Aging*, 10(4), 808-818.
- Wang, Z., He, F., Abeditashi, M., & Schmidt, T. (2019). Divalproex sodium regulates ataxin-3 translocation likely by an importin α 1-dependent pathway. *NeuroReport*, 30(11), 760-764.
- Wen, Z., Zou, X., Xie, X., Zheng, S., Chen, X., Zhu, K., et al. (2019). Association of polymorphisms in miRNA processing genes with type 2 diabetes mellitus and its vascular complications in a southern Chinese population. *Frontiers in Endocrinology*, <https://doi.org/10.3389/fendo.2019.00461>.
- Woerner, A. C., Frottin, F., Hornburg, D., Feng, L. R., Meissner, F., Patra, M., et al. (2016). Cytoplasmic protein aggregates interfere with nucleocytoplasmic transport of protein and RNA. *Science*, 351(6269), 173–6.
- Yates, A. D., Achuthan, P., Akanni, W., Allen, J., Allen, J., Alvarez-Jarreta, J., et al. (2020). Ensembl 2020. *Nucleic acids research*, 48(D1), D682-D688.
- Zerbino, D. R., Achuthan, P., Akanni, W., Amode, M. R., Barrell, D., Bhai, J., et al. (2018). Ensembl 2018. *Nucleic Acids Research*, 46(D1), D754-D761.
- Zijlstra, M. P., Rujano, M. A., Van Waarde, M. A., Vis, E., Brunt, E. R., & Kampinga, H. H. (2010). Levels of DNAJB family members (HSP40) correlate with disease onset in patients with spinocerebellar ataxia type 3. *European Journal of Neuroscience*, 32(5), 760-70.

ANEXO 1 – REGRAS DA REVISTA

Instructions for Authors

Article Types

Original Articles: Full-length reports of current research. Abstract: 250 words maximum. Article: 6,000 words including abstract and acknowledgement but excluding author contributions statement, disclosure, references, figure legends tables and figures (Up to 8 in total figures + tables).

Review Articles: Reviews are comprehensive analyses of specific topics relevant to mechanistic understanding or therapeutic development of a CNS condition. **Abstract:** 250 words maximum Article: 10,000 words including abstract, figure legends and acknowledgements. A maximum of 150 references are permitted.

Mini-reviews: Should be on an interesting and cutting-edge topic pertinent to mechanistic understanding or therapeutic development of a CNS condition. Usually by invitation only. However, authors can submit a 1-page pre-submission inquiry to Profs Raghu Vemuganti (vemuganti@neurosurgery.wisc.edu) or Thiruma Arumugam (g.arumugam@latrobe.edu.au) highlighting the importance of the topic of their review. Maximum length of 2,000 words excluding Title page, References and acknowledgments. Can have 2 cartoons or figures. Abstract maximum length of 150 words. A maximum of 25 references are permitted.

Nano-reviews: Should be on a novel, emerging and hot topic pertinent to mechanistic understanding or therapeutic development of a CNS condition. Usually by invitation only. However, authors can submit a 1-page pre-submission inquiry to Profs Raghu Vemuganti (vemuganti@neurosurgery.wisc.edu) or Thiruma Arumugam (g.arumugam@latrobe.edu.au) highlighting the importance of the topic of their review. Maximum length of 1,000 words excluding Title page, References and acknowledgments. Can have 1 cartoon or figure. Abstract maximum length of 100 words. A maximum of 12 references are permitted.

Rapid Communications: Rapid communications are aimed at disseminating new data in an extremely short process. This can include negative results, and limited-scope findings. Rapid communications are prepared as 1,500 words (including abstract and acknowledgements but excluding author contributions statement, disclosure, references, figure legends, tables and figures). Response regarding acceptance revision or rejection is usually given within 1 week. Rapid communications can only be submitted in the following fields:

Alzheimer's Disease

Parkinson's Disease

Vascular Dementia

Adult Neurogenesis

Exercise-related Metabolism

Learning and Memory

Neuroinflammation

Brain Tumors

Stroke

Commentary Articles: Commentary articles are short, narrowly focused articles that are commissioned by the journal. Commentary articles seek to provide a critical viewpoint on a key subject or provide an insight into an important development in neuroscience. These articles are generally not peer-reviewed.

Manuscript Submission

Submission of a manuscript implies: that the work described has not been published before; that it is not under consideration for publication anywhere else; that its publication has been approved by all co-authors, if any, as well as by the responsible authorities – tacitly or explicitly – at the institute where the work has been carried out. The publisher will not be held legally responsible should there be any claims for compensation.

Permissions

Authors wishing to include figures, tables, or text passages that have already been published elsewhere are required to obtain permission from the copyright owner(s) for both the print and online format and to include evidence that such permission has been granted when submitting their papers. Any material received without such evidence will be assumed to originate from the authors.

Online Submission

Please follow the hyperlink “Submit online” on the right and upload all of your manuscript files following the instructions given on the screen.

Please ensure you provide all relevant editable source files. Failing to submit these source files might cause unnecessary delays in the review and production process.

Title Page

Please use this template title page for providing the following information.

The title page should include:

- The name(s) of the author(s)
- A concise and informative title
- The affiliation(s) of the author(s), i.e. institution, (department), city, (state), country
- A clear indication and an active e-mail address of the corresponding author
- If available, the 16-digit ORCID of the author(s)

If address information is provided with the affiliation(s) it will also be published.

For authors that are (temporarily) unaffiliated we will only capture their city and country of residence, not their e-mail address unless specifically requested.

Abstract

Please provide an abstract of 150 to 250 words. The abstract should not contain any undefined abbreviations or unspecified references.

For life science journals only (when applicable)

Trial registration number and date of registration

Trial registration number, date of registration followed by “retrospectively registered”

Keywords

Please provide 4 to 6 keywords which can be used for indexing purposes.

Declarations

All manuscripts must contain the following sections under the heading 'Declarations'.

If any of the sections are not relevant to your manuscript, please include the heading and write 'Not applicable' for that section.

To be used for non-life science journals

Funding (information that explains whether and by whom the research was supported)

Conflicts of interest/Competing interests (include appropriate disclosures)

Availability of data and material (data transparency)

Code availability (software application or custom code)

Authors' contributions (optional: please review the submission guidelines from the journal whether statements are mandatory)

To be used for life science journals + articles with biological applications

Funding (information that explains whether and by whom the research was supported)

Conflicts of interest/Competing interests (include appropriate disclosures)

Ethics approval (include appropriate approvals or waivers)

Consent to participate (include appropriate statements)

Consent for publication (include appropriate statements)
Availability of data and material (data transparency)
Code availability (software application or custom code)
Authors' contributions (optional: please review the submission guidelines from the journal whether statements are mandatory)
Please see the relevant sections in the submission guidelines for further information as well as various examples of wording. Please revise/customize the sample statements according to your own needs.

Text Formatting

Manuscripts should be submitted in Word.

- Use a normal, plain font (e.g., 10-point Times Roman) for text.
- Use italics for emphasis.
- Use the automatic page numbering function to number the pages.
- Do not use field functions.
- Use tab stops or other commands for indents, not the space bar.
- Use the table function, not spreadsheets, to make tables.
- Use the equation editor or MathType for equations.
- Save your file in docx format (Word 2007 or higher) or doc format (older Word versions).

Manuscripts with mathematical content can also be submitted in LaTeX.

[LaTeX macro package \(Download zip, 188 kB\)](#)

Headings

Please use no more than three levels of displayed headings.

Abbreviations

Abbreviations should be defined at first mention and used consistently thereafter.

Footnotes

Footnotes can be used to give additional information, which may include the citation of a reference included in the reference list. They should not consist solely of a reference citation, and they should never include the bibliographic details of a reference. They should also not contain any figures or tables.

Footnotes to the text are numbered consecutively; those to tables should be indicated by superscript lower-case letters (or asterisks for significance values and other statistical data). Footnotes to the title or the authors of the article are not given reference symbols.

Always use footnotes instead of endnotes.

Acknowledgments

Acknowledgments of people, grants, funds, etc. should be placed in a separate section on the title page. The names of funding organizations should be written in full.

Terminology

- Please always use internationally accepted signs and symbols for units (SI units).

Scientific style

- Nomenclature: Insofar as possible, authors should use systematic names similar to those used by Chemical Abstract Service or IUPAC.
- Generic names of drugs and pesticides are preferred; if trade names are used, the generic name should be given at first mention.

References

Citation

Cite references in the text by name and year in parentheses. Some examples:

- Negotiation research spans many disciplines (Thompson 1990).
- This result was later contradicted by Becker and Seligman (1996).
- This effect has been widely studied (Abbott 1991; Barakat et al. 1995; Kelso and Smith 1998; Medvec et al. 1999).

Ideally, the names of six authors should be given before et al. (assuming there are six or more), but names will not be deleted if more than six have been provided.

Reference list

The list of references should only include works that are cited in the text and that have been published or accepted for publication. Personal communications and unpublished works should only be mentioned in the text. Do not use footnotes or endnotes as a substitute for a reference list.

Reference list entries should be alphabetized by the last names of the first author of each work.

Journal names and book titles should be *italicized*.

- Journal article Harris, M., Karper, E., Stacks, G., Hoffman, D., DeNiro, R., Cruz, P., et al. (2001). Writing labs and the Hollywood connection. *Journal of Film Writing*, 44(3), 213–245.
- Article by DOI Slifka, M. K., & Whitton, J. L. (2000) Clinical implications of dysregulated cytokine production. *Journal of Molecular Medicine*, <https://doi.org/10.1007/s001090000086>
- Book Calfee, R. C., & Valencia, R. R. (1991). *APA guide to preparing manuscripts for journal publication*. Washington, DC: American Psychological Association.
- Book chapter O’Neil, J. M., & Egan, J. (1992). Men’s and women’s gender role journeys: Metaphor for healing, transition, and transformation. In B. R. Wainrib (Ed.), *Gender issues across the life cycle* (pp. 107–123). New York: Springer.
- Online document Abou-Allaban, Y., Dell, M. L., Greenberg, W., Lomax, J., Peteet, J., Torres, M., & Cowell, V. (2006). Religious/spiritual commitments and psychiatric practice. Resource document. American Psychiatric Association. http://www.psych.org/edu/other_res/lib_archives/archives/200604.pdf. Accessed 25 June 2007.

For authors using EndNote, Springer provides an output style that supports the formatting of in-text citations and reference list.

[EndNote style \(Download zip, 4 kB\)](#)

Tables

- All tables are to be numbered using Arabic numerals.
- Tables should always be cited in text in consecutive numerical order.
- For each table, please supply a table caption (title) explaining the components of the table.
- Identify any previously published material by giving the original source in the form of a reference at the end of the table caption.
- Footnotes to tables should be indicated by superscript lower-case letters (or asterisks for significance values and other statistical data) and included beneath the table body.

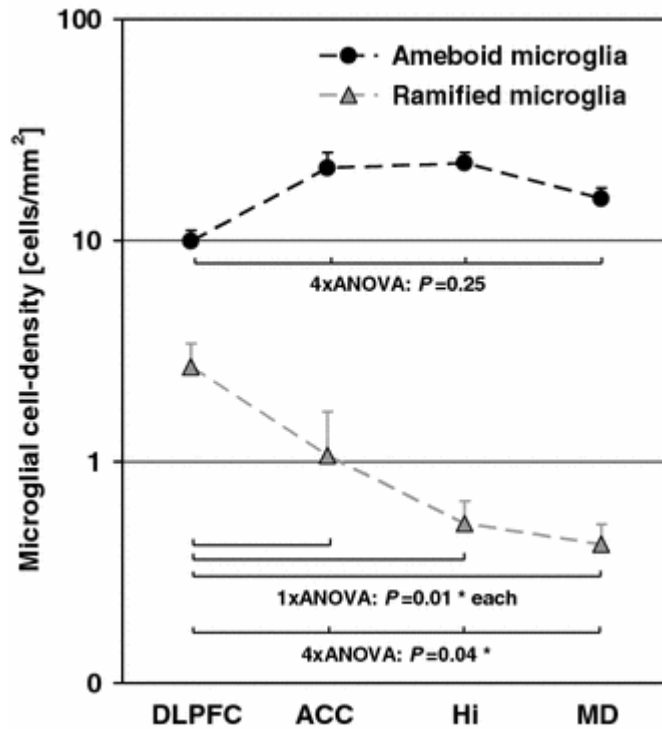
Artwork and Illustrations Guidelines

Electronic Figure Submission

- Supply all figures electronically.
- Indicate what graphics program was used to create the artwork.

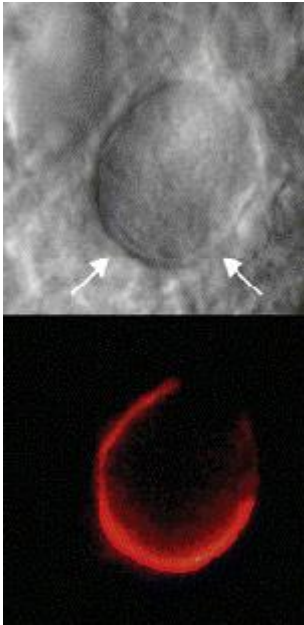
- For vector graphics, the preferred format is EPS; for halftones, please use TIFF format. MSOffice files are also acceptable.
- Vector graphics containing fonts must have the fonts embedded in the files.
- Name your figure files with "Fig" and the figure number, e.g., Fig1.eps.

Line Art



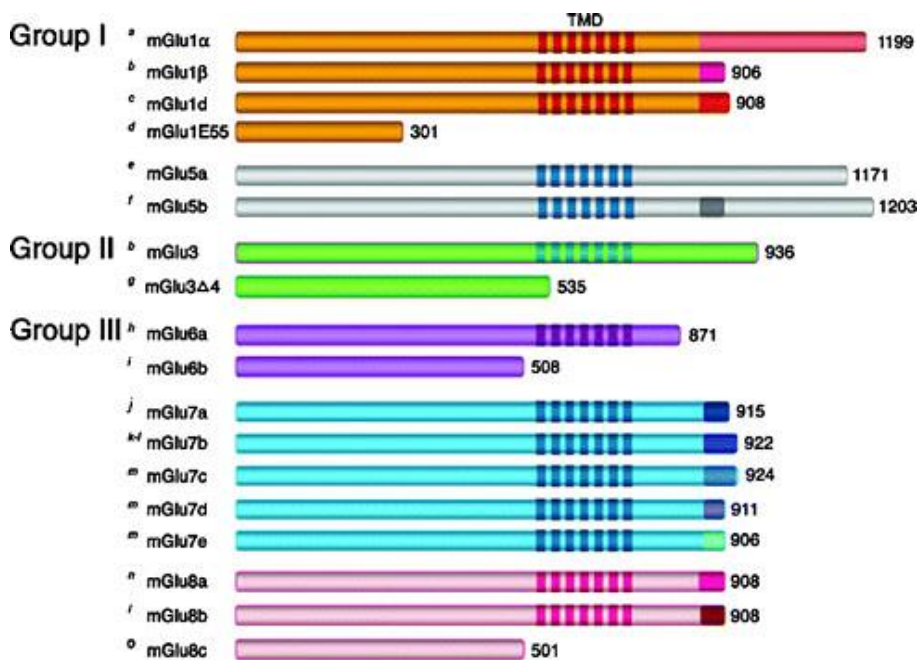
- Definition: Black and white graphic with no shading.
- Do not use faint lines and/or lettering and check that all lines and lettering within the figures are legible at final size.
- All lines should be at least 0.1 mm (0.3 pt) wide.
- Scanned line drawings and line drawings in bitmap format should have a minimum resolution of 1200 dpi.
- Vector graphics containing fonts must have the fonts embedded in the files.

Halftone Art



- Definition: Photographs, drawings, or paintings with fine shading, etc.
- If any magnification is used in the photographs, indicate this by using scale bars within the figures themselves.
- Halftones should have a minimum resolution of 300 dpi.

Combination Art



- Definition: a combination of halftone and line art, e.g., halftones containing line drawing, extensive lettering, color diagrams, etc.
- Combination artwork should have a minimum resolution of 600 dpi.

Color Art

- Color art is free of charge for online publication.
- If black and white will be shown in the print version, make sure that the main information will still be visible. Many colors are not distinguishable from one another when converted

to black and white. A simple way to check this is to make a xerographic copy to see if the necessary distinctions between the different colors are still apparent.

- If the figures will be printed in black and white, do not refer to color in the captions.
- Color illustrations should be submitted as RGB (8 bits per channel).

Figure Lettering

- To add lettering, it is best to use Helvetica or Arial (sans serif fonts).
- Keep lettering consistently sized throughout your final-sized artwork, usually about 2–3 mm (8–12 pt).
- Variance of type size within an illustration should be minimal, e.g., do not use 8-pt type on an axis and 20-pt type for the axis label.
- Avoid effects such as shading, outline letters, etc.
- Do not include titles or captions within your illustrations.

Figure Numbering

- All figures are to be numbered using Arabic numerals.
- Figures should always be cited in text in consecutive numerical order.
- Figure parts should be denoted by lowercase letters (a, b, c, etc.).
- If an appendix appears in your article and it contains one or more figures, continue the consecutive numbering of the main text. Do not number the appendix figures, "A1, A2, A3, etc." Figures in online appendices (Electronic Supplementary Material) should, however, be numbered separately.

Figure Captions

- Each figure should have a concise caption describing accurately what the figure depicts. Include the captions in the text file of the manuscript, not in the figure file.
- Figure captions begin with the term **Fig.** in bold type, followed by the figure number, also in bold type.
- No punctuation is to be included after the number, nor is any punctuation to be placed at the end of the caption.
- Identify all elements found in the figure in the figure caption; and use boxes, circles, etc., as coordinate points in graphs.
- Identify previously published material by giving the original source in the form of a reference citation at the end of the figure caption.

Figure Placement and Size

- Figures should be submitted separately from the text, if possible.
- When preparing your figures, size figures to fit in the column width.
- For large-sized journals the figures should be 84 mm (for double-column text areas), or 174 mm (for single-column text areas) wide and not higher than 234 mm.
- For small-sized journals, the figures should be 119 mm wide and not higher than 195 mm.

Permissions

If you include figures that have already been published elsewhere, you must obtain permission from the copyright owner(s) for both the print and online format. Please be aware that some publishers do not grant electronic rights for free and that Springer will not be able to refund any costs that may

have occurred to receive these permissions. In such cases, material from other sources should be used.

Accessibility

In order to give people of all abilities and disabilities access to the content of your figures, please make sure that

- All figures have descriptive captions (blind users could then use a text-to-speech software or a text-to-Braille hardware)
- Patterns are used instead of or in addition to colors for conveying information (colorblind users would then be able to distinguish the visual elements)
- Any figure lettering has a contrast ratio of at least 4.5:1

Electronic Supplementary Material

Springer accepts electronic multimedia files (animations, movies, audio, etc.) and other supplementary files to be published online along with an article or a book chapter. This feature can add dimension to the author's article, as certain information cannot be printed or is more convenient in electronic form.

Before submitting research datasets as electronic supplementary material, authors should read the journal's Research data policy. We encourage research data to be archived in data repositories wherever possible.

Submission

- Supply all supplementary material in standard file formats.
- Please include in each file the following information: article title, journal name, author names; affiliation and e-mail address of the corresponding author.
- To accommodate user downloads, please keep in mind that larger-sized files may require very long download times and that some users may experience other problems during downloading.

Audio, Video, and Animations

- Aspect ratio: 16:9 or 4:3
- Maximum file size: 25 GB
- Minimum video duration: 1 sec
- Supported file formats: avi, wmv, mp4, mov, m2p, mp2, mpg, mpeg, flv, mxf, mts, m4v, 3gp

Text and Presentations

- Submit your material in PDF format; .doc or .ppt files are not suitable for long-term viability.
- A collection of figures may also be combined in a PDF file.

Spreadsheets

- Spreadsheets should be submitted as .csv or .xlsx files (MS Excel).

Specialized Formats

- Specialized format such as .pdb (chemical), .wrl (VRML), .nb (Mathematica notebook), and .tex can also be supplied.

Collecting Multiple Files

- It is possible to collect multiple files in a .zip or .gz file.

Numbering

- If supplying any supplementary material, the text must make specific mention of the material as a citation, similar to that of figures and tables.
- Refer to the supplementary files as “Online Resource”, e.g., "... as shown in the animation (Online Resource 3)", "... additional data are given in Online Resource 4”.
- Name the files consecutively, e.g. “ESM_3.mpg”, “ESM_4.pdf”.

Captions

- For each supplementary material, please supply a concise caption describing the content of the file.

Processing of supplementary files

- Electronic supplementary material will be published as received from the author without any conversion, editing, or reformatting.

Accessibility

In order to give people of all abilities and disabilities access to the content of your supplementary files, please make sure that

- The manuscript contains a descriptive caption for each supplementary material
- Video files do not contain anything that flashes more than three times per second (so that users prone to seizures caused by such effects are not put at risk)

English Language Editing

For editors and reviewers to accurately assess the work presented in your manuscript you need to ensure the English language is of sufficient quality to be understood. If you need help with writing in English you should consider:

- Asking a colleague who is a native English speaker to review your manuscript for clarity.
- Visiting the English language tutorial which covers the common mistakes when writing in English.
- Using a professional language editing service where editors will improve the English to ensure that your meaning is clear and identify problems that require your review. Two such services are provided by our affiliates Nature Research Editing Service and American Journal Experts. Springer authors are entitled to a 10% discount on their first submission to either of these services, simply follow the links below.

[English language tutorial](#)

[Nature Research Editing Service](#)

[American Journal Experts](#)

Please note that the use of a language editing service is not a requirement for publication in this journal and does not imply or guarantee that the article will be selected for peer review or accepted.

If your manuscript is accepted it will be checked by our copyeditors for spelling and formal style before publication.

Ethical Responsibilities of Authors

This journal is committed to upholding the integrity of the scientific record. As a member of the Committee on Publication Ethics (COPE) the journal will follow the COPE guidelines on how to deal with potential acts of misconduct.

Authors should refrain from misrepresenting research results which could damage the trust in the journal, the professionalism of scientific authorship, and ultimately the entire scientific endeavour. Maintaining integrity of the research and its presentation is helped by following the rules of good scientific practice, which include*:

- The manuscript should not be submitted to more than one journal for simultaneous consideration.

- The submitted work should be original and should not have been published elsewhere in any form or language (partially or in full), unless the new work concerns an expansion of previous work. (Please provide transparency on the re-use of material to avoid the concerns about text-recycling ('self-plagiarism').
- A single study should not be split up into several parts to increase the quantity of submissions and submitted to various journals or to one journal over time (i.e. 'salami-slicing/publishing').
- Concurrent or secondary publication is sometimes justifiable, provided certain conditions are met. Examples include: translations or a manuscript that is intended for a different group of readers.
- Results should be presented clearly, honestly, and without fabrication, falsification or inappropriate data manipulation (including image based manipulation). Authors should adhere to discipline-specific rules for acquiring, selecting and processing data.
- No data, text, or theories by others are presented as if they were the author's own ('plagiarism'). Proper acknowledgements to other works must be given (this includes material that is closely copied (near verbatim), summarized and/or paraphrased), quotation marks (to indicate words taken from another source) are used for verbatim copying of material, and permissions secured for material that is copyrighted.

Important note: the journal may use software to screen for plagiarism.

- Authors should make sure they have permissions for the use of software, questionnaires/(web) surveys and scales in their studies (if appropriate).
- Research articles and non-research articles (e.g. Opinion, Review, and Commentary articles) must cite appropriate and relevant literature in support of the claims made. Excessive and inappropriate self-citation or coordinated efforts among several authors to collectively self-cite is strongly discouraged.
- Authors should avoid untrue statements about an entity (who can be an individual person or a company) or descriptions of their behavior or actions that could potentially be seen as personal attacks or allegations about that person.
- Research that may be misapplied to pose a threat to public health or national security should be clearly identified in the manuscript (e.g. dual use of research). Examples include creation of harmful consequences of biological agents or toxins, disruption of immunity of vaccines, unusual hazards in the use of chemicals, weaponization of research/technology (amongst others).
- Authors are strongly advised to ensure the author group, the Corresponding Author, and the order of authors are all correct at submission. Adding and/or deleting authors during the revision stages is generally not permitted, but in some cases may be warranted. Reasons for changes in authorship should be explained in detail. Please note that changes to authorship cannot be made after acceptance of a manuscript.

*All of the above are guidelines and authors need to make sure to respect third parties rights such as copyright and/or moral rights.

Upon request authors should be prepared to send relevant documentation or data in order to verify the validity of the results presented. This could be in the form of raw data, samples, records, etc. Sensitive information in the form of confidential or proprietary data is excluded.

If there is suspicion of misbehavior or alleged fraud the Journal and/or Publisher will carry out an investigation following COPE guidelines. If, after investigation, there are valid concerns, the author(s) concerned will be contacted under their given e-mail address and given an opportunity to address the issue. Depending on the situation, this may result in the Journal's and/or Publisher's implementation of the following measures, including, but not limited to:

- If the manuscript is still under consideration, it may be rejected and returned to the author.

- If the article has already been published online, depending on the nature and severity of the infraction:
 - an erratum/correction may be placed with the article
 - an expression of concern may be placed with the article
 - or in severe cases retraction of the article may occur.

The reason will be given in the published erratum/correction, expression of concern or retraction note. Please note that retraction means that the article is maintained on the platform, watermarked “retracted” and the explanation for the retraction is provided in a note linked to the watermarked article.

- The author’s institution may be informed
- A notice of suspected transgression of ethical standards in the peer review system may be included as part of the author’s and article’s bibliographic record.

Fundamental errors

Authors have an obligation to correct mistakes once they discover a significant error or inaccuracy in their published article. The author(s) is/are requested to contact the journal and explain in what sense the error is impacting the article. A decision on how to correct the literature will depend on the nature of the error. This may be a correction or retraction. The retraction note should provide transparency which parts of the article are impacted by the error.

Suggesting / excluding reviewers

Authors are welcome to suggest suitable reviewers and/or request the exclusion of certain individuals when they submit their manuscripts. When suggesting reviewers, authors should make sure they are totally independent and not connected to the work in any way. It is strongly recommended to suggest a mix of reviewers from different countries and different institutions. When suggesting reviewers, the Corresponding Author must provide an institutional email address for each suggested reviewer, or, if this is not possible to include other means of verifying the identity such as a link to a personal homepage, a link to the publication record or a researcher or author ID in the submission letter. Please note that the Journal may not use the suggestions, but suggestions are appreciated and may help facilitate the peer review process.

Authorship principles

These guidelines describe authorship principles and good authorship practices to which prospective authors should adhere to.

Authorship clarified

The Journal and Publisher assume all authors agreed with the content and that all gave explicit consent to submit and that they obtained consent from the responsible authorities at the institute/organization where the work has been carried out, before the work is submitted.

The Publisher does not prescribe the kinds of contributions that warrant authorship. It is recommended that authors adhere to the guidelines for authorship that are applicable in their specific research field. In absence of specific guidelines it is recommended to adhere to the following guidelines*:

All authors whose names appear on the submission

- 1) made substantial contributions to the conception or design of the work; or the acquisition, analysis, or interpretation of data; or the creation of new software used in the work;
- 2) drafted the work or revised it critically for important intellectual content;
- 3) approved the version to be published; and
- 4) agree to be accountable for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

* Based on/adapted from:

ICMJE, Defining the Role of Authors and Contributors,

Transparency in authors' contributions and responsibilities to promote integrity in scientific publication, McNutt et al, PNAS February 27, 2018

Disclosures and declarations

All authors are requested to include information regarding sources of funding, financial or non-financial interests, study-specific approval by the appropriate ethics committee for research involving humans and/or animals, informed consent if the research involved human participants, and a statement on welfare of animals if the research involved animals (as appropriate).

The decision whether such information should be included is not only dependent on the scope of the journal, but also the scope of the article. Work submitted for publication may have implications for public health or general welfare and in those cases it is the responsibility of all authors to include the appropriate disclosures and declarations.

Data transparency

All authors are requested to make sure that all data and materials as well as software application or custom code support their published claims and comply with field standards. Please note that journals may have individual policies on (sharing) research data in concordance with disciplinary norms and expectations.

Role of the Corresponding Author

One author is assigned as Corresponding Author and acts on behalf of all co-authors and ensures that questions related to the accuracy or integrity of any part of the work are appropriately addressed.

The Corresponding Author is responsible for the following requirements:

- ensuring that all listed authors have approved the manuscript before submission, including the names and order of authors;
- managing all communication between the Journal and all co-authors, before and after publication;*
- providing transparency on re-use of material and mention any unpublished material (for example manuscripts in press) included in the manuscript in a cover letter to the Editor;
- making sure disclosures, declarations and transparency on data statements from all authors are included in the manuscript as appropriate (see above).

* The requirement of managing all communication between the journal and all co-authors during submission and proofing may be delegated to a Contact or Submitting Author. In this case please make sure the Corresponding Author is clearly indicated in the manuscript.

Author contributions

In absence of specific instructions and in research fields where it is possible to describe discrete efforts, the Publisher recommends authors to include contribution statements in the work that specifies the contribution of every author in order to promote transparency. These contributions should be listed at the separate title page.

Examples of such statement(s) are shown below:

- Free text:

All authors contributed to the study conception and design. Material preparation, data collection and analysis were performed by [full name], [full name] and [full name]. The first draft of the manuscript was written by [full name] and all authors commented on previous versions of the manuscript. All authors read and approved the final manuscript.

Example: CRediT taxonomy:

- Conceptualization: [full name], ...; Methodology: [full name], ...; Formal analysis and investigation: [full name], ...; Writing - original draft preparation: [full name, ...]; Writing - review

and editing: [full name], ...; Funding acquisition: [full name], ...; Resources: [full name], ...; Supervision: [full name],....

For review articles where discrete statements are less applicable a statement should be included who had the idea for the article, who performed the literature search and data analysis, and who drafted and/or critically revised the work.

For articles that are based primarily on the student's dissertation or thesis, it is recommended that the student is usually listed as principal author:

A Graduate Student's Guide to Determining Authorship Credit and Authorship Order, APA Science Student Council 2006

Affiliation

The primary affiliation for each author should be the institution where the majority of their work was done. If an author has subsequently moved, the current address may additionally be stated. Addresses will not be updated or changed after publication of the article.

Changes to authorship

Authors are strongly advised to ensure the correct author group, the Corresponding Author, and the order of authors at submission. Changes of authorship by adding or deleting authors, and/or changes in Corresponding Author, and/or changes in the sequence of authors are not accepted after acceptance of a manuscript.

- Please note that author names will be published exactly as they appear on the accepted submission!

Please make sure that the names of all authors are present and correctly spelled, and that addresses and affiliations are current.

Adding and/or deleting authors at revision stage are generally not permitted, but in some cases it may be warranted. Reasons for these changes in authorship should be explained. Approval of the change during revision is at the discretion of the Editor-in-Chief. Please note that journals may have individual policies on adding and/or deleting authors during revision stage.

Author identification

Authors are recommended to use their ORCID ID when submitting an article for consideration or acquire an ORCID ID via the submission process.

Deceased or incapacitated authors

For cases in which a co-author dies or is incapacitated during the writing, submission, or peer-review process, and the co-authors feel it is appropriate to include the author, co-authors should obtain approval from a (legal) representative which could be a direct relative.

Authorship issues or disputes

In the case of an authorship dispute during peer review or after acceptance and publication, the Journal will not be in a position to investigate or adjudicate. Authors will be asked to resolve the dispute themselves. If they are unable the Journal reserves the right to withdraw a manuscript from the editorial process or in case of a published paper raise the issue with the authors' institution(s) and abide by its guidelines.

Confidentiality

Authors should treat all communication with the Journal as confidential which includes correspondence with direct representatives from the Journal such as Editors-in-Chief and/or Handling Editors and reviewers' reports unless explicit consent has been received to share information.

Compliance with Ethical Standards

To ensure objectivity and transparency in research and to ensure that accepted principles of ethical and professional conduct have been followed, authors should include information regarding sources

of funding, potential conflicts of interest (financial or non-financial), informed consent if the research involved human participants, and a statement on welfare of animals if the research involved animals.

Authors should include the following statements (if applicable) in a separate section entitled "Compliance with Ethical Standards" when submitting a paper:

- Disclosure of potential conflicts of interest
- Research involving Human Participants and/or Animals
- Informed consent

Please note that standards could vary slightly per journal dependent on their peer review policies (i.e. single or double blind peer review) as well as per journal subject discipline. Before submitting your article check the instructions following this section carefully.

The corresponding author should be prepared to collect documentation of compliance with ethical standards and send if requested during peer review or after publication.

The Editors reserve the right to reject manuscripts that do not comply with the above-mentioned guidelines. The author will be held responsible for false statements or failure to fulfill the above-mentioned guidelines.

Conflicts of Interest / Competing Interests

Authors are requested to disclose interests *that are directly or indirectly related to the work submitted for publication*. Interests within the last 3 years of beginning the work (conducting the research and preparing the work for submission) should be reported. Interests outside the 3-year time frame must be disclosed if they could reasonably be perceived as influencing the submitted work. Disclosure of interests provides a complete and transparent process and helps readers form their own judgments of potential bias. This is not meant to imply that a financial relationship with an organization that sponsored the research or compensation received for consultancy work is inappropriate.

Interests that should be considered and disclosed but are not limited to the following:

Funding: Research grants from funding agencies (please give the research funder and the grant number) and/or research support (including salaries, equipment, supplies, reimbursement for attending symposia, and other expenses) by organizations that may gain or lose financially through publication of this manuscript.

Employment: Recent (while engaged in the research project), present or anticipated employment by any organization that may gain or lose financially through publication of this manuscript. This includes multiple affiliations (if applicable).

Financial interests: Stocks or shares in companies (including holdings of spouse and/or children) that may gain or lose financially through publication of this manuscript; consultation fees or other forms of remuneration from organizations that may gain or lose financially; patents or patent applications whose value may be affected by publication of this manuscript.

It is difficult to specify a threshold at which a financial interest becomes significant, any such figure is necessarily arbitrary, so one possible practical guideline is the following: "Any undeclared financial interest that could embarrass the author were it to become publicly known after the work was published."

Non-financial interests: In addition, authors are requested to disclose interests that go beyond financial interests that could impart bias on the work submitted for publication such as professional interests, personal relationships or personal beliefs (amongst others). Examples include, but are not limited to: position on editorial board, advisory board or board of directors or other type of management relationships; writing and/or consulting for educational purposes; expert witness; mentoring relations; and so forth.

Primary research articles require a disclosure statement. Review articles present an expert synthesis of evidence and may be treated as an authoritative work on a subject. Review articles therefore require a disclosure statement. Other article types such as editorials, book reviews, comments

(amongst others) may, dependent on their content, require a disclosure statement. If you are unclear whether your article type requires a disclosure statement, please contact the Editor-in-Chief.

Please note that, in addition to the above requirements, funding information (given that funding is a potential conflict of interest (as mentioned above)) needs to be disclosed upon submission of the manuscript in the peer review system. This information will automatically be added to the Record of CrossMark, however it is not added to the manuscript itself. Under 'summary of requirements' (see below) funding information should be included in the 'Declarations' section.

Summary of requirements

The above should be summarized in a statement and placed in a 'Declarations' section before the reference list under a heading of 'Funding' and/or 'Conflicts of interests'/'Competing interests'. Other declarations include Ethics approval, Consent, Data, Material and/or Code availability and Authors' contribution statements.

Please see the various examples of wording below and revise/customize the sample statements according to your own needs.

When all authors have the same (or no) conflicts and/or funding it is sufficient to use one blanket statement.

Examples of statements to be used when funding has been received:

- Partial financial support was received from [...]
- The research leading to these results received funding from [...] under Grant Agreement No[...].
- This study was funded by [...]
- This work was supported by [...] (Grant numbers [...] and [...])

Examples of statements to be used when there is no funding:

- The authors did not receive support from any organization for the submitted work.
- No funding was received to assist with the preparation of this manuscript.
- No funding was received for conducting this study.
- No funds, grants, or other support was received.

Examples of statements to be used when there are interests to declare:

- Financial interests: Author A has received research support from Company A. Author B has received a speaker honorarium from Company Wand owns stock in Company X. Author C is consultant to company Y.
Non-financial interests: Author C is an unpaid member of committee Z.
- Financial interests: The authors declare they have no financial interests.
Non-financial interests: Author A is on the board of directors of Y and receives no compensation as member of the board of directors.
- Financial interests: Author A received a speaking fee from Y for Z. Author B receives a salary from association X. X where s/he is the Executive Director.
Non-financial interests: none.
- Financial interests: Author A and B declare they have no financial interests. Author C has received speaker and consultant honoraria from Company M and Company N. Dr. C has received speaker honorarium and research funding from Company M and Company O. Author D has received travel support from Company O.
Non-financial interests: Author D has served on advisory boards for Company M, Company N and Company O.

Examples of statements to be used when authors have nothing to declare:

- The authors have no relevant financial or non-financial interests to disclose.
- The authors have no conflicts of interest to declare that are relevant to the content of this article.

- All authors certify that they have no affiliations with or involvement in any organization or entity with any financial interest or non-financial interest in the subject matter or materials discussed in this manuscript.
- The authors have no financial or proprietary interests in any material discussed in this article.

Authors are responsible for correctness of the statements provided in the manuscript. See also Authorship Principles. The Editor-in-Chief reserves the right to reject submissions that do not meet the guidelines described in this section.

Research involving human participants, their data or biological material

Ethics approval

When reporting a study that involved human participants, their data or biological material, authors should include a statement that confirms that the study was approved (or granted exemption) by the appropriate institutional and/or national research ethics committee (including the name of the ethics committee) and certify that the study was performed in accordance with the ethical standards as laid down in the 1964 Declaration of Helsinki and its later amendments or comparable ethical standards. If doubt exists whether the research was conducted in accordance with the 1964 Helsinki Declaration or comparable standards, the authors must explain the reasons for their approach, and demonstrate that an independent ethics committee or institutional review board explicitly approved the doubtful aspects of the study. If a study was granted exemption from requiring ethics approval, this should also be detailed in the manuscript (including the reasons for the exemption).

Retrospective ethics approval

If a study has not been granted ethics committee approval prior to commencing, retrospective ethics approval usually cannot be obtained and it may not be possible to consider the manuscript for peer review. The decision on whether to proceed to peer review in such cases is at the Editor's discretion.

Ethics approval for retrospective studies

Although retrospective studies are conducted on already available data or biological material (for which formal consent may not be needed or is difficult to obtain) ethics approval may be required dependent on the law and the national ethical guidelines of a country. Authors should check with their institution to make sure they are complying with the specific requirements of their country.

Ethics approval for case studies

Case reports require ethics approval. Most institutions will have specific policies on this subject. Authors should check with their institution to make sure they are complying with the specific requirements of their institution and seek ethics approval where needed. Authors should be aware to secure informed consent from the individual (or parent or guardian if the participant is a minor or incapable) See also section on Informed Consent.

Cell lines

If human cells are used, authors must declare in the manuscript: what cell lines were used by describing the source of the cell line, including when and from where it was obtained, whether the cell line has recently been authenticated and by what method. If cells were bought from a life science company the following need to be given in the manuscript: name of company (that provided the cells), cell type, number of cell line, and batch of cells.

It is recommended that authors check the [NCBI database](#) for misidentification and contamination of human cell lines. This step will alert authors to possible problems with the cell line and may save considerable time and effort.

Further information is available from the [International Cell Line Authentication Committee \(ICLAC\)](#).

Authors should include a statement that confirms that an institutional or independent ethics committee (including the name of the ethics committee) approved the study and that informed consent was obtained from the donor or next of kin.

Research Resource Identifiers (RRID)

Research Resource Identifiers (RRID) are persistent unique identifiers (effectively similar to a DOI) for research resources. This journal encourages authors to adopt RRIDs when reporting key biological resources (antibodies, cell lines, model organisms and tools) in their manuscripts.

Examples:

Organism: *Filip1tm1a(KOMP)Wtsi* RRID:MMRRC_055641-UCD

Cell Line: RST307 cell line RRID:CVCL_C321

Antibody: Luciferase antibody DSHB Cat# LUC-3, RRID:AB_2722109

Plasmid: mRuby3 plasmid RRID:Addgene_104005

Software: ImageJ Version 1.2.4 RRID:SCR_003070

RRIDs are provided by the [Resource Identification Portal](#). Many commonly used research resources already have designated RRIDs. The portal also provides authors links so that they can quickly [register a new resource](#) and obtain an RRID.

Clinical Trial Registration

The World Health Organization (WHO) definition of a clinical trial is "any research study that prospectively assigns human participants or groups of humans to one or more health-related interventions to evaluate the effects on health outcomes". The WHO defines health interventions as "A health intervention is an act performed for, with or on behalf of a person or population whose purpose is to assess, improve, maintain, promote or modify health, functioning or health conditions" and a health-related outcome is generally defined as a change in the health of a person or population as a result of an intervention.

To ensure the integrity of the reporting of patient-centered trials, authors must register prospective clinical trials (phase II to IV trials) in suitable publicly available repositories. For example www.clinicaltrials.gov or any of the primary registries that participate in the [WHO International Clinical Trials Registry Platform](#).

The trial registration number (TRN) and date of registration should be included as the last line of the manuscript abstract.

For clinical trials that have not been registered prospectively, authors are encouraged to register retrospectively to ensure the complete publication of all results. The trial registration number (TRN), date of registration and the words 'retrospectively registered' should be included as the last line of the manuscript abstract.

Purely observational trials will not require registration.

Standards of reporting

Springer Nature advocates complete and transparent reporting of biomedical and biological research and research with biological applications. Authors are recommended to adhere to the minimum reporting guidelines hosted by the [EQUATOR Network](#) when preparing their manuscript.

Exact requirements may vary depending on the journal; please refer to the journal's Instructions for Authors.

Checklists are available for a number of study designs, including:

Randomised trials ([CONSORT](#)) and Study protocols ([SPIRIT](#))

Observational studies ([STROBE](#))

Systematic reviews and meta-analyses ([PRISMA](#)) and protocols ([Prisma-P](#))

Diagnostic/prognostic studies ([STARD](#)) and ([TRIPOD](#))

Case reports ([CARE](#))

Clinical practice guidelines ([AGREE](#)) and ([RIGHT](#))

Qualitative research ([SRQR](#)) and ([COREQ](#))

Animal pre-clinical studies ([ARRIVE](#))

Quality improvement studies (SQUIRE)

Economic evaluations (CHEERS)

Summary of requirements

The above should be summarized in a statement and placed in a 'Declarations' section before the reference list under a heading of 'Ethics approval'.

Examples of statements to be used when ethics approval has been obtained:

- All procedures performed in studies involving human participants were in accordance with the ethical standards of the institutional and/or national research committee and with the 1964 Helsinki Declaration and its later amendments or comparable ethical standards. The study was approved by the Bioethics Committee of the Medical University of A (No. ...).
- This study was performed in line with the principles of the Declaration of Helsinki. Approval was granted by the Ethics Committee of University B (Date.../No. ...).
- Approval was obtained from the ethics committee of University C. The procedures used in this study adhere to the tenets of the Declaration of Helsinki.
- The questionnaire and methodology for this study was approved by the Human Research Ethics committee of the University of D (Ethics approval number: ...).

Examples of statements to be used for a retrospective study:

- Ethical approval was waived by the local Ethics Committee of University A in view of the retrospective nature of the study and all the procedures being performed were part of the routine care.
- This research study was conducted retrospectively from data obtained for clinical purposes. We consulted extensively with the IRB of XYZ who determined that our study did not need ethical approval. An IRB official waiver of ethical approval was granted from the IRB of XYZ.
- This retrospective chart review study involving human participants was in accordance with the ethical standards of the institutional and national research committee and with the 1964 Helsinki Declaration and its later amendments or comparable ethical standards. The Human Investigation Committee (IRB) of University B approved this study.

Examples of statements to be used when no ethical approval is required/exemption granted:

- This is an observational study. The XYZ Research Ethics Committee has confirmed that no ethical approval is required.
- The data reproduced from Article X utilized human tissue that was procured via our Biobank AB, which provides de-identified samples. This study was reviewed and deemed exempt by our XYZ Institutional Review Board. The BioBank protocols are in accordance with the ethical standards of our institution and with the 1964 Helsinki declaration and its later amendments or comparable ethical standards.

Authors are responsible for correctness of the statements provided in the manuscript. See also Authorship Principles. The Editor-in-Chief reserves the right to reject submissions that do not meet the guidelines described in this section.

Informed consent

All individuals have individual rights that are not to be infringed. Individual participants in studies have, for example, the right to decide what happens to the (identifiable) personal data gathered, to what they have said during a study or an interview, as well as to any photograph that was taken. This is especially true concerning images of vulnerable people (e.g. minors, patients, refugees, etc) or the use of images in sensitive contexts. In many instances authors will need to secure written consent before including images.

Identifying details (names, dates of birth, identity numbers, biometrical characteristics (such as facial features, fingerprint, writing style, voice pattern, DNA or other distinguishing characteristic) and other information) of the participants that were studied should not be published in written descriptions, photographs, and genetic profiles unless the information is essential for scholarly purposes and the participant (or parent/guardian if the participant is a minor or incapable or legal

representative) gave written informed consent for publication. Complete anonymity is difficult to achieve in some cases. Detailed descriptions of individual participants, whether of their whole bodies or of body sections, may lead to disclosure of their identity. Under certain circumstances consent is not required as long as information is anonymized and the submission does not include images that may identify the person.

Informed consent for publication should be obtained if there is any doubt. For example, masking the eye region in photographs of participants is inadequate protection of anonymity. If identifying characteristics are altered to protect anonymity, such as in genetic profiles, authors should provide assurance that alterations do not distort meaning.

Exceptions where it is not necessary to obtain consent:

- Images such as x rays, laparoscopic images, ultrasound images, brain scans, pathology slides unless there is a concern about identifying information in which case, authors should ensure that consent is obtained.
- Reuse of images: If images are being reused from prior publications, the Publisher will assume that the prior publication obtained the relevant information regarding consent. Authors should provide the appropriate attribution for republished images.

Consent and already available data and/or biologic material

Regardless of whether material is collected from living or dead patients, they (family or guardian if the deceased has not made a pre-mortem decision) must have given prior written consent. The aspect of confidentiality as well as any wishes from the deceased should be respected.

Data protection, confidentiality and privacy

When biological material is donated for or data is generated as part of a research project authors should ensure, as part of the informed consent procedure, that the participants are made aware what kind of (personal) data will be processed, how it will be used and for what purpose. In case of data acquired via a biobank/biorepository, it is possible they apply a broad consent which allows research participants to consent to a broad range of uses of their data and samples which is regarded by research ethics committees as specific enough to be considered “informed”. However, authors should always check the specific biobank/biorepository policies or any other type of data provider policies (in case of non-bio research) to be sure that this is the case.

Consent to Participate

For all research involving human subjects, freely-given, informed consent to participate in the study must be obtained from participants (or their parent or legal guardian in the case of children under 16) and a statement to this effect should appear in the manuscript. In the case of articles describing human transplantation studies, authors must include a statement declaring that no organs/tissues were obtained from prisoners and must also name the institution(s)/clinic(s)/department(s) via which organs/tissues were obtained. For manuscripts reporting studies involving vulnerable groups where there is the potential for coercion or where consent may not have been fully informed, extra care will be taken by the editor and may be referred to the Springer Nature Research Integrity Group.

Consent to Publish

Individuals may consent to participate in a study, but object to having their data published in a journal article. Authors should make sure to also seek consent from individuals to publish their data prior to submitting their paper to a journal. This is in particular applicable to case studies. A consent to publish form can be found [here](#). ([Download docx, 36 kB](#))

Summary of requirements

The above should be summarized in a statement and placed in a ‘Declarations’ section before the reference list under a heading of ‘Consent to participate’ and/or ‘Consent to publish’. Other declarations include Funding, Conflicts of interest/competing interests, Ethics approval, Consent, Data and/or Code availability and Authors’ contribution statements.

Please see the various examples of wording below and revise/customize the sample statements according to your own needs.

Sample statements for "Consent to participate":

Informed consent was obtained from all individual participants included in the study.

Informed consent was obtained from legal guardians.

Written informed consent was obtained from the parents.

Verbal informed consent was obtained prior to the interview.

Sample statements for "Consent to publish":

The authors affirm that human research participants provided informed consent for publication of the images in Figure(s) 1a, 1b and 1c.

The participant has consented to the submission of the case report to the journal.

Patients signed informed consent regarding publishing their data and photographs.

Sample statements if identifying information about participants is available in the article:

Additional informed consent was obtained from all individual participants for whom identifying information is included in this article.

Authors are responsible for correctness of the statements provided in the manuscript. See also Authorship Principles. The Editor-in-Chief reserves the right to reject submissions that do not meet the guidelines described in this section.

Images will be removed from publication if authors have not obtained informed consent or the paper may be removed and replaced with a notice explaining the reason for removal.

After acceptance

Upon acceptance of your article you will receive a link to the special Author Query Application at Springer's web page where you can sign the Copyright Transfer Statement online and indicate whether you wish to order OpenChoice, offprints, or printing of figures in color.

Once the Author Query Application has been completed, your article will be processed and you will receive the proofs.

Copyright transfer

Authors will be asked to transfer copyright of the article to the Publisher (or grant the Publisher exclusive publication and dissemination rights). This will ensure the widest possible protection and dissemination of information under copyright laws.

Offprints

Offprints can be ordered by the corresponding author.

Color illustrations

Online publication of color illustrations is free of charge. For color in the print version, authors will be expected to make a contribution towards the extra costs.

Proof reading

The purpose of the proof is to check for typesetting or conversion errors and the completeness and accuracy of the text, tables and figures. Substantial changes in content, e.g., new results, corrected values, title and authorship, are not allowed without the approval of the Editor.

After online publication, further changes can only be made in the form of an Erratum, which will be hyperlinked to the article.

Online First

The article will be published online after receipt of the corrected proofs. This is the official first publication citable with the DOI. After release of the printed version, the paper can also be cited by issue and page numbers.

Open Choice

Open Choice allows you to publish open access in more than 1850 Springer Nature journals, making your research more visible and accessible immediately on publication.

Article processing charges (APCs) vary by journal – [view the full list](#)

Benefits:

- Increased researcher engagement: Open Choice enables access by anyone with an internet connection, immediately on publication.
- Higher visibility and impact: In Springer hybrid journals, OA articles are accessed 4 times more often on average, and cited 1.7 more times on average*.
- Easy compliance with funder and institutional mandates: Many funders require open access publishing, and some take compliance into account when assessing future grant applications.

It is easy to find funding to support open access – please see our funding and support pages for more information.

*) Within the first three years of publication. Springer Nature hybrid journal OA impact analysis, 2018.

Open Choice

Funding and Support pages

Copyright and license term – CC BY

Open Choice articles do not require transfer of copyright as the copyright remains with the author. In opting for open access, the author(s) agree to publish the article under the Creative Commons Attribution License.