1	Monocyte reconstitution and gut microbiota composition after hematopoietic stem cell
2	transplantation
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31 Background:

32	Monocytes are an essential cellular component of the innate immune system that support the
33	host's effectiveness to combat a range of infectious pathogens. Hemopoietic cell transplantation (HCT)
34	results in transient monocyte depletion, but the factors that regulate recovery of monocyte populations
35	are not fully understood. In this study, we investigated whether the composition of the gastrointestinal
36	microbiota is associated with the recovery of monocyte homeostasis after HCT.
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38	Methods:
39	We performed a single-center, prospective, pilot study of 18 recipients of either autologous or
40	allogeneic HCT. Serial blood and stool samples were collected from each patient during their HCT
41	hospitalization. Analysis of the gut microbiota was done using 16S rRNA gene sequencing and flow
42	cytometric analysis was used to characterize the phenotypic composition of monocyte populations.
43	
44	Results:
45	Dynamic fluctuations in monocyte reconstitution occurred after HCT and large differences were
46	observed in monocyte frequency among patients over time. Recovery of absolute monocyte counts and
47	monocyte subsets showed significant variability across the heterogeneous transplant types and
48	conditioning intensities; no relationship to the microbiota composition was observed in this small
49	cohort.
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51	Conclusion:
52	A relationship between the microbiota composition and monocyte homeostasis could not be
53	firmly established in this pilot study.

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55	Keywords: microbiota; hematopoietic cell transplantation; monocytes; systems biology; immune
56	reconstitution
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78 BACKGROUND

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Hematopoietic cell transplantation (HCT) is a potentially curative procedure for patients with
hematologic malignancies but its success has been limited by the morbidity and mortality of post-
transplant infections and relapse. Impaired immune reconstitution post-HCT increases the risk of both of
these complications [1-4]. Multiple factors influence the vulnerability of patients to these complications
including: time since transplantation, graft source (i.e., autologous (auto-HCT) or allogeneic (allo-HCT)),
and persisting myelosuppression (humoral and cell-mediated) post-HCT [2, 3]. Alterations in the
microbiome have been associated with clinical outcomes of patients who have undergone HCT,
including their survival. However, the mechanisms by which the gut microbiota exerts its effects, both
beneficial and detrimental, have not been fully elucidated [5, 6].
In humans there are three main circulating monocyte subsets with diverse functions, classified
based on their expression of CD14 and CD16 surface proteins and cytokine production. These monocyte
subsets are named "classical", "intermediate", and "non-classical monocytes" [7-9] and typically
comprise 85%, 10%, and 5% respectively of the circulating monocyte pool in a healthy individual under
homeostatic conditions [10, 11]. Classical monocytes specialize in phagocytosis and produce the
cytokine IL-10 [12], while intermediate monocytes have elevated surface expression of MHC class II,
suggesting they have an important role in antigen presentation [13]. In contrast, non-classical
monocytes secrete substantial levels of inflammatory cytokines (TNF and interleukin [IL]-1 eta) and are
known to exert endothelial surveillance by endovascular slow patrolling when tissue damage is present
[14]. These roles make monocytes a critical cell line for host defense against common post-HCT
infections including Aspergillus, and for mitigating the risk of developing GVHD [15-22].
While it has been shown that monocyte reconstitution in the first 100 days post-HCT is
associated with improved survival [23, 24], a better understanding of the mechanisms that regulate

102	monocyte reconstitution in this setting is needed. Given the known immunomodulating properties of
103	the microbiota [25-29], we investigated whether the composition of the intestinal microbiota is
104	associated with monocyte recovery. Monocyte migration out of the bone marrow and into the blood
105	circulation is driven by low level lipopolysacharide (LPS)-mediated signaling [30]. Further, basal
106	circulating LPS levels derived from the intestinal microbiota have been detected in
107	immunocompromised hosts [31, 32]. Therefore, we hypothesized that microbial communities of gram-
108	negative bacteria through the production of LPS [33, 34] and commensal obligate anaerobes [35]
109	influence monocyte maturation post-HCT.
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111	METHODS
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113	Study Patients, Specimen Collection, and Patient Tracking
114	We followed 18 adult recipients of auto- or allo-HCT at Memorial Sloan Kettering Cancer Center
114 115	We followed 18 adult recipients of auto- or allo-HCT at Memorial Sloan Kettering Cancer Center (MSKCC) from July 2015 to January 2016. There were 7 female and 11 male patients; their ages ranged
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126 Transplantation Practices

127	Antimicrobial prophylaxis was given routinely to patients undergoing HCT. Subjects undergoing
128	either auto- or allo-HCT were given ciprofloxacin two days prior to hematopoietic cell infusion as
129	prophylaxis against gram-negative bacterial infections. Allo-HCT recipients were given intravenous (IV)
130	vancomycin for prophylaxis against viridans-group streptococci [28]. Antibiotic prophylaxis against
131	Pneumocystis jiroveci pneumonia was generally administered using either trimethoprim-
132	sulfamethoxazole, aerosolized pentamidine, or atovaquone; the time at which prophylaxis was initiated
133	(during conditioning or after engraftment, defined as an absolute neutrophil count \ge 500
134	neutrophils/mm3 for three consecutive days) varied. In the event of a new fever during times of
135	neutropenia, patients were usually started on empiric antibiotics, such as piperacillin-tazobactam,
136	cefepime, or meropenem. Recipients of an autograft received pegfiltastrim on day +1 and recipients of
137	an allograft received daily filgastrim starting on day+7 until engraftment to accelerate recovery from
138	neutropenia [37].
138 139	neutropenia [37].
	neutropenia [37]. Sample Analysis and Defining Microbial Predictors
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149 calculated using the inverse Simpson index at the OTU level [42].

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151 Microbial Predictors-

152 We analyzed obligate anaerobic bacteria by major anaerobic groups defined at various 153 taxonomic levels for their importance in maintaining 'healthy' immunity [35, 43-46]: Clostridia (class), 154 Bacterioidetes (phylum), Negativicutes (class) and Fusobacteria (genus). Percent anaerobes in a given 155 stool sample was calculated by adding the percent 16S rRNA gene sequences of these obligate 156 anaerobic bacteria. 157 Monocyte subsets, analysis of blood samples, monocyte isolation and flow cytometry 158 A median of 7 blood samples were obtained from each patient during transplant days -10 to 159 +30. 5-10 cc of blood in heparinized tubes were processed within four hours of collection. The first 160 blood sample was collected within two days of hospital admission (prior to any perturbations to white 161 blood cells from chemotherapy or radiation) and subsequent blood samples were collected at the start 162 of white blood cell reconstitution through engraftment [47, 48]. 163 Peripheral blood mononuclear cells were isolated by density gradient centrifugation 164 (Histopaque 1119; Sigma). Single-cell suspensions were stained for surface antigens with fluorescently 165 conjugated antibodies and samples were acquired with LSR II (Becton Dickinson). All flow cytometry 166 data were analyzed using FlowJo software. For flow cytometry staining, the following antibodies were 167 used: CD14-PE (clone M5E2; BD Biosciences), CD16-FITC (clone 3G8; BD Biosciences), CCR2-APC (clone 168 K036C2; BioLegend), CD45-Alexa Fluor 700 (clone HI30; BioLegend), CD11b (APC-Cy7; clone ICRF44; 169 BioLegend), HLA-DR-PE-Texas Red (clone L243; BioLegend), CD86-PE-Cy7 (clone IT2.2; BioLegend), CD15-170 Pacific Blue (clone HI98; eBioscience), CD20-PerCP-Cy5.5 (clone 2H7; BioLegend), CD3- PerCP-Cy5.5 171 (clone OKT3; BioLegend), CD19- PerCP-Cy5.5 (clone SJ25C1; BioLegend), CD56- PerCP-Cy5.5 (clone 172 5.1H11; BioLegend), and CD5- PerCP-Cy5.5 (clone UCHT2; BioLegend). Fluorescent minus one controls 173 (FMO) were used to determine positive staining gate [49]. The monocyte gating strategy employed to

define monocyte subsets (classical, intermediate, and non-classical) [10, 11, 50] is shown with CD14 on

- 175 the x-axis and CD16 on the y-axis. A dump gate excluded B cells, T cells, and NK cells using CD19/CD20,
- 176 CD3, and CD56, respectively (Supplementary Figure 2).
- 177

178 Analytical Approach:

179 We analyzed absolute monocyte count recovery as a function of time at the start of immune 180 reconstitution defined as: engraftment day minus 2 days ("reconstitution day") until hospital discharge, 181 using conditioning intensity and transplant type as stratification variables. Linear mixed models were fit 182 using patient as a random effect (for intercept), absolute monocyte count as the dependent variable, 183 and reconstitution day as a fixed effect. Fixed effect sizes and 95% confidence intervals are shown. 184 Descriptive statistics (box plots) were used to visualize the proportions of classical 185 (CD14^{hi}CD16^{neg}), intermediate (CD14^{hi}CD16^{Int}), and non-classical (CD14^{Int}CD16^{hi}) monocytes in the last 186 blood sample collected from each patient, to assess whether the subpopulations of circulating 187 monocytes reached their estimated targets: ~85% classical monocytes; ~10% non-classical monocytes; 188 \sim 5% intermediate monocytes. These thresholds were determined based on previous studies [10, 11, 51]. 189 We calculated the Pearson correlation coefficient to measure the strength of the relationship 190 between the proportion of anaerobic commensal gut microbes and microbial diversity to monocyte 191 subset recovery. Next, we trained linear regression models while controlling for false discovery rates 192 [52] to assess whether or not different clinical predictors correlated with monocyte recovery in the last 193 blood sample tested (using the above mentioned 'target' values). The following clinical variables were 194 used in the regression: 1. conditioning type (RIC versus MAC) 2. transplant type (T-cell depleted versus 195 unmodified versus auto-HCT) 3. GCSF administration within 7 days of blood collection 4. A bloodstream 196 infection (excluding positive blood cultures considered to be a "contaminant") within 7 days of blood 197 collection and 5. percent gram-negative bacteria (in the phyla, Bacteroidetes and Proteobacteria, major

- 198 gram-negative taxa) in the stool sample collected within 3 days of the last blood sample collected.
- 199 Statistical analyses were performed using R (v. 3.3.1).
- 200
- 201 **RESULTS**
- 202
- 203 Description of study population and biospecimens

204 Our cohort consisted of 18 patients who underwent auto- or allo-HCT at MSKCC between July

- 205 2015 to January 2016. Patients underwent different types of HCT for different hematologic
- 206 malignancies. Four patients received an auto-HCT after myeloablative conditioning (MAC) with

207 Carmustine (BCNU), etoposide, cytarabine, and melphalan (BEAM). Four patients received an allo-HCT

208 after MAC conditioning consisted of the following regimens: total body irradiation (TBI), thiotepa, and

- 209 cyclophosphamide or busulfan, melphalan, and fludarabine. Ten patients were recipients of an allo-HCT
- after reduced intensity conditioning (RIC) regimens. Clinical characteristics for each patient are shown in
- 211 Table 1.

The duration of transplant hospitalization ranged from 20 to 38 days, during which antibiotics were given for both prophylactic and treatment purposes. Throughout this period, we sought to collect fecal samples on a daily basis. Out of the total 352 hospital days for these 18 patients, 318 stool samples were collected (90% of total hospital days). Of those samples, 236 (74%) yielded 16S amplicons that could be sequenced. Each blood sample was paired with a stool sample collected within 3 days. A median of 15 stool samples and 7 blood samples were collected per patient during their HCT hospitalization (Table 1).

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222 Monocyte Recovery

223	Monocyte counts were considered during an analysis window from two days prior to the date of
224	neutrophil engraftment ("reconstitution day") until hospital discharge. Significant differences in
225	reconstitution trajectories were found among groups stratified by conditioning regimens and transplant
226	type. Patients receiving reduced intensity conditioning and unmodified transplants demonstrated the
227	most variability (Cl _{95%} = [0.196 ± 0.062] and Cl _{95%} =[0.194 ± 0.060], respectively). All 18 patients reached a
228	minimum normal absolute monocyte count value of 0.26 x 10^9 /L defined elsewhere, [53-55] and
229	patients who received RIC and an unmodified transplant were more likely to overshoot the upper
230	reference limit of 1.3 x 10 ⁹ (a value determined by the MSKCC laboratory) (Figure 1A, Figure 1B).
231	Three representative flow cytometry plots collected longitudinally from 3 patients who received
232	different transplant types (Auto-HCT; Allo-HCT (RIC); Allo-HCT (MAC) show significant monocyte
233	heterogeneity. That is, the commonly observed distribution of monocytes ('banana shape') within a
234	
234	patient [56, 57] changes over time (Figure 2A). All other patients (n = 15) are shown in Supplementary
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 235 236 237 238 239 240 241 	Figure 1. The gating strategy used to identify the monocyte subsets of interest is shown in Supplementary Figure 2. Some patterns in monocyte reconstitution were present; classical monocytes had an initial robust recovery consistent with previous findings [58], followed by restoration of intermediate and non- classical monocytes at later timepoints (Figure 2A). This observation was especially true with respect to the recovery of non-classical monocytes. On average, patients who were recipients of either an auto- HCT or allo-HCT with RIC were more likely than allo-HCT patients with MAC to recover classical

245 We next compared the frequency of circulating monocytes subsets with the composition of the 246 intestinal microbiota. Diversity of intestinal microbial communities, as measured by inverse Simpson 247 index, were not associated with monocyte recovery (Figure 3A). Additionally, the proportion of obligate 248 anaerobes associated with a healthy flora (Negativacutes, Clostridia, Bacteroidiales, and Fusobacteria) 249 within the microbiota did not correlate with monocyte recovery (Figure 3B). 250 While the proportion of monocyte subset recovery did not correlate with the microbiota, we 251 next sought to investigate whether immune activation status of monocytes subsets was altered by the 252 microbiota composition. Monocyte immune activation phenotype as measured by the expression of cell 253 surface markers (CD86, HLA-DR, and CCR-2 (Supplementary Table 1)). was assessed in each three 254 subsets of monocytes. No correlation was observed between expression of these markers and 255 microbiota diversity (Supplementary Figure 3) or percent of obligate anaerobic bacteria in the 256 microbiota (Supplementary Figure 4). 257 We used a simple linear regression model to test whether different compositional 258 characteristics of the microbiota and different clinical variables are related to monocyte recovery. In a 259 linear regression model, microbiota diversity and the proportion of gram-negative Proteobacteria? in 260 the gut were not observed to be associated with monocyte recovery of each subset. Exposure to GCSF 261 within 7 days of blood sample collection/processing was associated with successful reconstitution of 262 classical and intermediate monocytes (p = 0.037 and p = 0.002, respectively). Conversely, a T-cell 263 depleted transplant was negatively associated with these monocyte subsets (p = 0.041 and p = 0.008, 264 respectively) Table 2. Non-classical monocytes were not associated with any of the clinical predictors we 265 defined. 266 267

269 **DISCUSSION**

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271	HCT involves the administration of intense chemotherapy with or without radiation and
272	antibiotic regimens, resulting in large shifts in leukocyte and microbiota compartments, often leading to
273	complete compositional changes from one day to the next. The myeloablation associated with HCT
274	provides a unique platform for exploring the nascent, re-development of immune reconstitution. Prior
275	studies have supported the symbiotic relationship between the gut microbiota and the systemic
276	immune system [59, 60], but most prior work has focused on the role the microbiota has on shaping
277	different populations of T cells [30-32]; little is known about the impact intestinal commensalism has on
278	monocyte maturation. We followed a systematic strategy to identify three subsets of monocytes
279	(classical, intermediate, and non-classical monocytes) [10] during immune reconstitution post-HCT to
280	assess whether constituents of the microbiota affect monocyte recovery.
281	This pilot study involved high-frequency collection of stool and blood samples from 18 patients
282	to assess whether a link between the microbiota and monocyte recovery could be found. We found no
283	correlation between the microbiota composition and differences in monocyte recovery when analyzing
284	a higher-diversity microbiota or a microbiota composed primarily of either commensal anaerobes or
285	Gram-negative organisms. We also found no association between microbiota composition and the
286	expression of co-stimulatory markers, including CD86, HLA-DR and the chemokine receptor, CCR2.
287	Analysis of factors associated with immune reconstitution revealed that any link between the
288	microbiota and immune reconstitution is weak relative to other clinical variables. As expected, GCSF
289	exposure correlated positively with classical and intermediate monocyte reconstitution, while T cell
290	depletion by means of CD34 positive selection was negatively associated with classical and intermediate
291	monocyte subset reconstitution. We also found significant variability in the reconstitution of absolute

292	monocyte counts and monocyte subsets across patients. The biological significance that the varying rate
293	of monocyte recovery has on patient outcomes needs to be further explored.
294	Discerning the effects of many patient variables in the setting of HCT, including medications
295	delivered and clinical complications that ensue (bacteremia, fever, GVHD, etc.) make forming a direct
296	relationship between the microbiota and monocytes in HCT patients challenging [61]. Medications given
297	to HCT patients that have immunomodulating properties (i.e., antibiotics and steroids), could serve as
298	confounders in our analysis. For example, 16/18 patients received ciprofloxacin and 7/18 patients
299	received steroids. Ciprofloxacin can dampen the effects of LPS [62, 63], a potent stimulator of monocyte
300	mobilization out of the bone marrow [30, 64], while steroids can reduce blood levels of monocytes [30,
301	65]. Further, testing for intestinal LPS permeability in human serum or blood is technically challenging
302	[61].
303	While we were not able to discern an association between microbiota composition and
304	monocyte recovery in this heterogeneous pilot cohort, this study demonstrates the feasibility of high-
305	resolution sampling of blood and stool samples and opens the door to future studies where sampling
306	many more patients with daily frequency may help distinguish which microbial and clinical factors drive
307	HCT patient outcomes.
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317	Figure Legends
318	Figure 1. Recovery of absolute monocyte counts (AMC) is variable among patients receiving different
319	conditioning regimens and transplant types. Graph showing absolute monocyte counts obtained for all
320	patients when there was any sign of white blood cell recovery defined as "reconstitution day"
321	(engraftment day – 2). Patient groups were divided by (A) conditioning, reduced intensity conditioning
322	(RIC) and myeloablative conditioning (MAC) and (B) transplant type. Each color represents a different
323	patient and a dashed line in each panel marks the upper limit of a "normal" AMC, defined by the MSKCC
324	laboratory to be 1.3 K/mcL. In the upper righthand corner is the coefficient (i.e. slope/effect size)
325	multiplied by 1.96 (+/- 95% confidence interval).
326	
327	Figure 2 Variable recoveries of monocyte populations (classical, intermediate, and non-classical). (A)
328	Time series for 3 representative patients using transplant day: Auto-HCT (top panel), Allo-HCT (reduced
329	intensity conditioning (RIC; middle panel), and Allo-HCT myeloablative conditioning (MAC; bottom
330	panel). The first figure (from left-to-right for each panel) is a cartoon illustration depicting each
331	monocyte subtype, classical (C), intermediate (I), and non-classical (NC) (clockwise from left to right)
332	that corresponds to successive multicolor flow cytometry plots that follow. The numbers in each gate
333	are percentages of each monocyte population. The gating strategy is detailed in Supplementary Figure 1.
334	(B) A boxplot showing the distribution of monocyte subsets determined from a patient's last blood
335	sample collected. Colored dashed lines indicate the upper limit of "normal" for the percent values for
336	each monocyte subset: 85% classical monocytes (blue), 10% non-classical monocytes (yellow), 5%
337	intermediate monocytes (green). Data points (dots) indicate the monocyte subset type using the same
338	color scheme.

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340	Figure 3: Monocyte subset frequency does not correlate with microbiota diversity or proportion of
341	obligate anaerobes. (A) Relationship between the proportion of each monocyte subset and microbiota
342	diversity measured by Inverse Simpson and (B) the proportion of obligate anaerobes (percent 16S rRNA
343	gene sequences of Negativacutes + Clostridia + Bacteroidiales +Fusobacteria) in the stool microbiota for
344	each matched stool and blood collection. Pearson correlation coefficient values are shown in the upper
345	righthand corner of each panel.
346	
347	Supplementary Figure 1: Circulating monocyte subsets in transplant patients following immune
348	reconstitution. Time series of blood samples collected for 15 representative patients with transplant day
349	used to show when samples were collected: Auto-HCT patients (top panel), Allo-HCT patients (RIC)
350	(middle panel), and Allo-HCT patients (MAC) (bottom panel). A cartoon illustration in the upper
351	righthand corner of each panel is again shown depicting the relative location of each monocyte subtype,
352	classical (C), intermediate (I), and non-classical (NC) (clockwise from left to right).
353	
354	Supplementary Figure 2: Monocyte gating strategy. (A) Cells are first visualized on Live/Dead vs. FSC
355	and a gate is drawn around the live cells. (B) A gate is drawn around lymphocytes and monocytes (SSC
356	vs. FSC). (C & D) Doublets are then discriminated in two steps (FSC-A VS. FSC-W and SSC-A and SSC-W).
357	(E) CD45+ (hematopoietic cells), lineage negative (Non-T, Non-B, Non-NK) cells were gated for. (F)
358	Gating to further discriminate monocytes from granulocytes (CD15+, CD16+). (G)
359	(CD14+CD16+) monocytes subsets (classical, intermediate, non-classical) are shown (plot f). Numbers
360	are percentages of each population within each gate.
361	
362	Supplementary Figure 3: Monocyte expression of immune activation markers does not correlate with
363	microbiota diversity. Relationship between compositional diversity of the gut microbiota, measured by

364	Inverse Simpson and the proportion of surface marker expression of each monocyte subsets (classical,
365	intermediate, and nonclassical): CCR2 (top panel), CD86 (middle panel) and HLA-DR (bottom panel).
366	Pearson correlation coefficient values are shown in the upper righthand corner of each panel.
367	
368	Supplementary Figure 4: Monocyte expression of immune activation markers does not correlate with
369	proportion of obligate anaerobes in the microbiota.
370	Relationship between the proportion of commensal anaerobes that make up the gut microbiota and the
371	level of surface marker expression of each monocyte subsets (classical, intermediate, and nonclassical):
372	CCR2 (top panel), CD86 (middle panel) and HLA-DR (bottom panel). Pearson correlation coefficient
373	values are shown in the upper righthand corner of each panel.
374	
375	Table 1: Clinical characteristics of all 18 HCT patients including the number of blood samples and
376	stools samples collected from each patient. Abbreviations: Pt, patient; Auto, autologous; Allo,
376 377	stools samples collected from each patient. Abbreviations: Pt, patient; Auto, autologous; Allo, allogeneic; RIC, reduced intensity conditioning; MAC, myeloablative conditioning; DLBCL, diffuse large B
377	allogeneic; RIC, reduced intensity conditioning; MAC, myeloablative conditioning; DLBCL, diffuse large B
377 378	allogeneic; RIC, reduced intensity conditioning; MAC, myeloablative conditioning; DLBCL, diffuse large B cell lymphoma; MDS, myelodysplastic syndrome; CLL, chronic lymphocytic leukemia; ALL, acute
377378379	allogeneic; RIC, reduced intensity conditioning; MAC, myeloablative conditioning; DLBCL, diffuse large B cell lymphoma; MDS, myelodysplastic syndrome; CLL, chronic lymphocytic leukemia; ALL, acute
377378379380	allogeneic; RIC, reduced intensity conditioning; MAC, myeloablative conditioning; DLBCL, diffuse large B cell lymphoma; MDS, myelodysplastic syndrome; CLL, chronic lymphocytic leukemia; ALL, acute lymphoblastic leukemia; AML, acute myeloid leukemia; cy, cyclophosphamide.
 377 378 379 380 381 	allogeneic; RIC, reduced intensity conditioning; MAC, myeloablative conditioning; DLBCL, diffuse large B cell lymphoma; MDS, myelodysplastic syndrome; CLL, chronic lymphocytic leukemia; ALL, acute lymphoblastic leukemia; AML, acute myeloid leukemia; cy, cyclophosphamide. Table 2: Parameters assessed for association with monocyte subset recovery
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388 Footnotes

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396	
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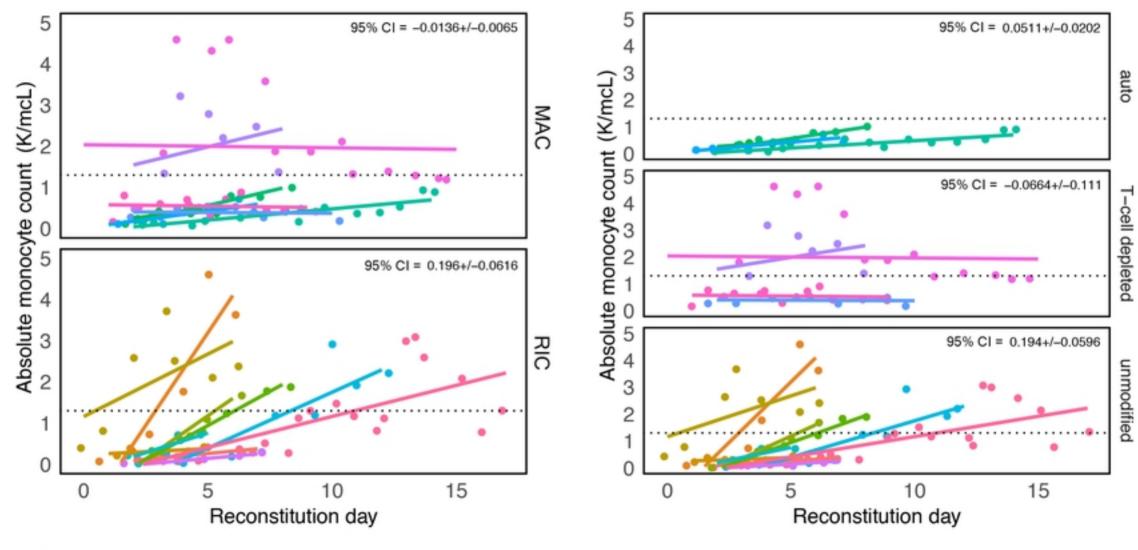


Fig 1

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В

Figure 2A Allo-HCT; MAC Day +12 Day +14 Day +17 105 105 105 NC 10 2.67 18.44 104 104 10' CD 16 103 103 103 С 102 102 102

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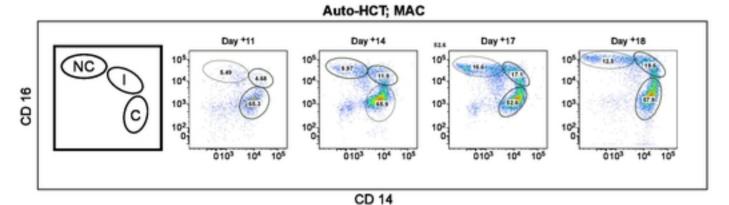
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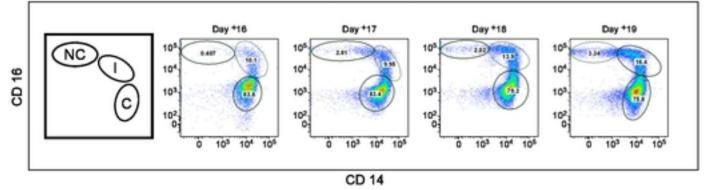
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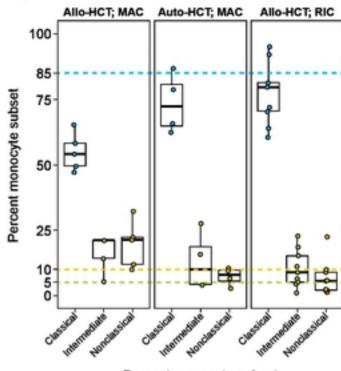
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Allo-HCT; RIC





Percent monocyte subset (last blood sample collected)

Figure 2B

Day +19

20.8

103

104 105

4.17

0

105

104

103

102

