

1 **Investigation of the Phenomenon of Coronal-sagittal Curvature Coupling on Curve**
2 **Progression: An Exploratory Study using Three-dimensional Ultrasound**

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3
4 **ABSTRACT**

5 Three-dimensional (3D) ultrasound system was demonstrated to provide reliable and
6 valid results for scoliosis assessment in the coronal and sagittal planes. The objective of this
7 study is to investigate whether 3D ultrasound can detect coronal-sagittal coupling and to study its
8 potential effect on curve progression in patients with adolescence idiopathic scoliosis (AIS) as
9 per the traditional Cobb angle classification. Radiographic and ultrasonic coronal and sagittal
10 curvatures of 126 patients with AIS were evaluated. Thoracic kyphosis (TK) and lumbar lordosis
11 (LL) with different coronal deformity were compared correspondingly based on either main
12 thoracic or (thoraco)lumbar curve groups. TK and LL of patients with single curves were also
13 compared to study the curve effect on sagittal curvatures. A prospective cohort of 51 patients
14 was followed for an average of 23 months for preliminary progression investigation. TK in
15 patients with larger main thoracic Cobb angles was significantly smaller than those with smaller
16 main thoracic Cobb angles, judging by the results obtained from ultrasound and X-ray. TK of
17 patients which possess only single right main thoracic curves was significantly smaller than
18 those who possesses only single left (thoraco)lumbar curves. In addition, patients with
19 progressive curves were observed to be relative hypokyphotic during early visit.

20 **Keywords:** 3D ultrasound; Scoliosis; Coronal; Sagittal; Coupling; Hypokyphosis; Progression

1 INTRODUCTION

2 Scoliosis is classically defined as a spinal curvature in the coronal plane of more than 10
3 degrees (Cobb 1948). Treatment depends on the severity of the curve, for those with an
4 immature skeleton and Cobb's angle of between 20 to 40 degrees, physiotherapeutic scoliosis
5 specific exercise (PSSE) or brace treatment will be considered (Negrini et al. 2016). Surgical
6 management may be recommended if the deformity is worsening. Follow-up posterior-anterior
7 radiographs are necessary for skeletally immature patients at least once a year since they are at
8 maximum risk for curve progression (Thomsen and Abel 2006). Since Cobb angle on standing
9 postero-anterior X-ray radiograph is the gold standard to evaluate the severity of scoliosis and
10 sagittal curvature of the spine for current clinical practice, mass screening or frequent therapy
11 outcome measurements are not recommended due to radiation applied to the patient. Female
12 patients with scoliosis had a 4.2% increased risk of breast cancer (Bone and Hsieh 2000; Doody
13 et al. 2000). In some clinics, sagittal X-ray may even be avoided unless necessary to avoid
14 patients from overexposing to radiation. Though improvements have been made in
15 radiographical technology to minimize radiation exposure, such as the invention of the EOS
16 system, long-term health complications remain an inherent risk, also from limited doses of
17 radiation exposure (Lee et al. 2013).

18 Upright full spine ultrasound has become more popular as a radiation free application for
19 scoliosis evaluation due to its three-dimensional (3D) nature, reliability, ability to perform
20 dynamic investigations and its lack of ionizing radiation (Li et al. 2012; Ungi et al. 2014; Young
21 et al. 2015; Wang et al. 2015; Cheung et al. 2015; He et al. 2017). Currently, it is the only
22 clinically available imaging modality which provides non-ionizing imaging for scoliosis
23 evaluation in standing position with measurement directly on vertebrae spine. The customized

1 3D ultrasound system used in this study has been demonstrated to evaluate coronal deformation
2 using spinous process shadows and sagittal curvatures using bilateral laminae for patients with
3 adolescence idiopathic scoliosis (AIS) with reliable and valid results (Zheng et al. 2016; Brink et
4 al. 2018; Lee et al. 2019a; Lee et al. 2019b; Wong et al 2019).

5 Scoliosis is a 3D deformity that consists of a rotated lordosis (Somerville 1952). Various
6 factors were found to be related to curve progression in patients with scoliosis in previous studies,
7 such as growth rate difference within or between vertebral bodies and the posterior elements
8 such as spinal cord (Porter 2000; Guo et al. 2003; Chu et al. 2006), asymmetric loading on
9 growing vertebrae (Aronsson et al. 1999; Stokes et al. 1996), increased spine flexibility in
10 younger individuals (Roussouly and Nnadi 2010), earlier growth spurt in girls comparing to boys
11 (Dickson et al. 1984), increased of height and slenderness of an individual (Nissinen et al. 1993).
12 Coincidentally a smaller value of thoracic kyphosis was observed in the AIS patients of the above
13 studies, suggesting that hypokyphosis may closely relate with the progression of AIS (Schlösser
14 et al. 2014). A study has further demonstrated that patients with progressive AIS were relatively
15 hypokyphotic at the first visit comparing to those with non-progressive curves (Nault et al. 2014),
16 thus detection of hypokyphosis in AIS patients could be a prognostic index during evaluation.
17 Hence the objective of this study was to demonstrate that 3D ultrasound can reliably reflect the
18 coronal-sagittal coupling phenomenon in patients with AIS using 3D ultrasound as compared to
19 traditional Cobb angle classification, and to investigate the possible effect of the hypokyphotic
20 phenomenon on the prognosis of curve progression through a preliminary investigation.

21

22 **MATERIALS AND METHODS**

1 Total 191 AIS patients, who were age between 10 to 18 years old and with main thoracic
2 and/or (thoraco)lumbar Cobb angle within 10° to 40° were invited for this retrospective study.
3 The study was approved by the local institutional review board (Joint Chinese University of
4 Hong Kong-New territories East Cluster Clinical Research Ethics Committee) and informed
5 consent was obtained from all patients. The patients received standing plain upright low dose
6 posterior-anterior and lateral radiographs and one ultrasound scanning on the same day. To
7 investigate the coupling phenomenon, patients with the following criteria were excluded: 1)
8 Cobb angle $> 40^{\circ}$ (N = 54); 2) Apparent global kyphosis in the lumbar region detected by
9 ultrasound (N = 6); 3) Poor scanning quality in the thoracic region due to the hindrance of the
10 scapula (N = 5). The final total number of subjects involved for the coupling study was 126.
11 Among these patients, 51 subjects received a second X-ray and ultrasound scanning during
12 subsequent visit, which was at least 1 year after the first ultrasound assessment. These patients
13 were all included in the progression session. Brace treatments were allowed for the patients
14 during the period, but braces were required to be removed the night before the visits.

15 The coupling relationship between coronal deformity and sagittal curvatures was
16 investigated using both X-ray and ultrasound, which the radiographic results were considered as
17 the ground truth. Coronal curvatures, in terms of main thoracic and (thoraco)lumbar regions and
18 sagittal curvatures, in terms of thoracic kyphosis (TK) and lumbar lordosis (LL), were measured
19 from X-ray and ultrasound images. Whole body coronal and sagittal radiographs of all subjects
20 were captured simultaneously using upright EOS (EOS imaging, Paris, France) with a
21 standardized radiographic protocol by a team of experienced radiographer. Subjects were
22 requested to stand with extended hips and knees and with hands on a support, which was the
23 inner wall of the EOS system. Upright EOS captured simultaneously the radiographs of frontal

1 and lateral views with two pairs of X-ray sources which positioned perpendicular to each other.
2 Ultrasound imaging of the spine of the subjects were achieved through free-hand scanning with
3 the usage of a linear ultrasound probe with center frequency of 7.5 MHz and width of 7.5 cm, d
4 with a spatial sensor to detect the position and the orientation of the probe. The subjects received
5 ultrasound scanning in an upright posture, with the arms and hands resting aside. The 3D
6 ultrasound imaging system came with four adjustable supporters for the subjects to minimize
7 motion, by aligning with the bilateral clavicle anterior concavities anterior superior iliac spines
8 during scanning (Zheng et al. 2016). The operator then started the scanning from L5 to T1 level.
9 After the scanning was completed, the ultrasound images collected together with the
10 corresponding spatial orientation of the ultrasound images were used for 3D image
11 reconstructions to generate the coronal and sagittal ultrasound images. The technical
12 specifications and generation methods of coronal and sagittal ultrasound images were elaborated
13 in previous studies (Zheng et al. 2016).

14 For coronal analysis, Cobb angle(s) was considered as the angle formed between the lines
15 drawn on the most tilted upper endplate and the most tilted lower endplate of a curve (Figure 1a);
16 whereas spinous process angle(s) (SPA), the angle used for sonographic measurement on the
17 central dark spinous process shadow, was considered as the angle formed between the lines
18 drawn on the uppermost tilted spinous process shadow and the lowermost tilted lower endplate
19 of a curve (Figure 1c) (Zheng et al. 2016). For X-ray, curves would be considered as main
20 thoracic if the apex of the curves lied between T2 and T11-12 disc, and as (thoraco)lumbar if the
21 apex of the curves lied within T12 and L4 levels. Similarly for ultrasound, curves would be
22 considered as main thoracic if the apex of the curves lied on or above T12 transverse processes,
23 and as thoraco(lumbar) if the apex of the curves lied below T12 transverse processes. For sagittal

1 analysis, radiographic TK and LL were defined by the angle formed between the lines drawn on
2 the upper endplate of T4 vertebra and the lower endplate of the T12 vertebra, and on the upper
3 endplate of L1 vertebra and the lower endplate of the L5 vertebra respectively (Figure 1b)
4 (Schlösser et al. 2014, Yeung et al. 2020); whereas sonographic TK and LL, the mean angle
5 acquired using the bilateral laminae features on two sagittal ultrasound images (Lee et al. 2019b).
6 TK was defined by the angle formed between the line connecting T3 and T4 laminae and the line
7 connecting T11 and T12 laminae, whereas LL was defined by the angle formed between the line
8 connecting T12 and L1 laminae and the line connecting L4 and L5 laminae respectively (Figure
9 1d). To study the effect of sagittal parameters on curve progression, the coronal curve type
10 would be separately analyzed based on the curve location, i.e. main thoracic and (thoraco)lumbar
11 respectively. Age, duration between visits, initial Cobb / SPA, TK and LL value between
12 progressive and non-progressive patients were compared. For X-ray, patients would be assigned
13 to the progressive group if an increment of more than 5° of Cobb angle was detected during the
14 two visits, while patients would be assigned to the non-progressive group if the Cobb difference
15 between the two visits is less than or equal to 5°. For ultrasound, 2 cut-off angles were assigned
16 and analyzed independently, patients would be assigned to the progressive group if there was an
17 increment of more than 3.7° / 4.5° of SPA between the two visits, while patients would be
18 assigned to the non-progressive group if the SPA difference between the two visits was less than
19 or equal to 3.7° / 4.5°. The 5-degree and 3.7-degree cut-off for X-ray and ultrasound were
20 selected based on the measurement error on X-ray (Morrissy et al. 1990) and ultrasound (Zheng
21 et al. 2016) respectively. The 4.5-degree cut-off for ultrasound was selected so to include all
22 patients who were considered as non-progressive using X-ray results, since the radiographic
23 results were also considered as the ground truth in this session.

1 All the measurements were performed on RadiAnt DICOM Viewer software (Medixant,
2 Poland). Two raters, who have experience working on spinal ultrasound images for more than
3 five years, were involved for the evaluation of coronal and sagittal ultrasound angles respectively.
4 Radiographic measurements were conducted by a doctor in an orthopedics department who has
5 over 10 years of experiences in studying radiographs of patients with AIS. All measurements for
6 both modalities were conducted once and all the raters were blinded to the clinical information.
7 To analysis the coronal-sagittal coupling effect, Pearson coefficients between X-ray and
8 ultrasound angles for both coronal and sagittal planes were calculated. TK and LL of the subjects
9 were compared between groups with smaller and larger Cobb (Cut-off: 20°) and SPA angle (Cut-
10 off: 17°), depending on either the angle was a main thoracic or (thoraco)lumbar type (Figure 2).
11 In addition, to study the effect of curve types on sagittal parameters, TK and LL of patients who
12 possess only either single main thoracic or (thoraco)lumbar curves were compared Figure 3. The
13 cut-off angle for SPA, 17°, was deduced from substituting 20° Cobb into the linear regression
14 equation between coronal Cobb and SPA obtained in Figure 4 and rounded up to the nearest
15 degree, to compensate the difference between two modalities. For the progression investigation,
16 independent t-tests were used to compare the age, duration between visits, initial Cobb / SPA,
17 TK and LL value between progressive and non-progressive patients, dependently based on the
18 curve location, i.e. main thoracic / (throaco)lumbar curves. All data was reported as mean ±
19 standard deviation (SD). Statistical analysis was conducted using SPSS Version 20.0 (IBM,
20 SPSS Inc., USA). Sagittal parameters were compared using independent t-tests for both X-ray
21 and 3D ultrasound. All the significance level was set at 0.05.

22

23 **RESULTS**

1 For the coupling investigation, the mean age of the subjects was 14.9 ± 2.0 years, made
2 up of 104 females and 22 males. The average main thoracic and (thoraco)lumbar Cobb were 23.0
3 $\pm 7.8^\circ$ and $23.4 \pm 6.6^\circ$ respectively, while the average main thoracic and (thoraco)lumbar SPA
4 were $17.1 \pm 6.6^\circ$ and $19.2 \pm 6.3^\circ$ respectively. Radiographic TK and LL were in average $24.4 \pm$
5 10.6° and $44.1 \pm 10.1^\circ$, whereas sonographic TK and LL were in average $32.9 \pm 10.6^\circ$ and $29.2 \pm$
6 11.9° . The correlations and the corresponding linear regressions between X-ray and ultrasound
7 angles in the coronal and sagittal planes were shown in Figure 4 and 5 respectively. All these
8 angles were significantly correlated ($p < 0.001$). Radiographic TK in patients with main thoracic
9 Cobb $> 20^\circ$ was significantly smaller than those with main thoracic Cobb $\leq 20^\circ$ ($p < 0.001$),
10 similarly sonographic TK in patients with main thoracic SPA $> 17^\circ$ was significantly smaller
11 than those with smaller main thoracic SPA $\leq 17^\circ$ ($p < 0.001$). No significant differences in LL
12 were observed in patients with different degree of main thoracic Cobb and SPA. In addition, no
13 significant differences were observed in both X-ray and sonographic TK and LL in patients with
14 different degree of (thoraco)lumbar Cobb and SPA. All the above X-ray and ultrasound data
15 were shown in Table 2 and 3 respectively.

16 Among the 126 patients, 20 patients possessed single right main thoracic curves and 21
17 patients possessed single left (thoraco)lumbar curves (Table 1). Radiographic and ultrasonic TK
18 in patients who possessed single main thoracic curve was significantly smaller than those who
19 possessed single main thoracic curve ($p \leq 0.002$), but no significant difference was observed for
20 LL between patients possessing main thoracic and (thoraco)lumbar curves. The corresponding
21 data were shown in Table 4 and 5.

22 For the progression investigation, the mean age of the subjects during the first ultrasound
23 assessment was 15.1 ± 2.0 years, made up of 42 females and 9 males, with the average main

1 thoracic and (thoraco)lumbar Cobb were $24.1 \pm 8.0^\circ$ and $22.9 \pm 6.7^\circ$ respectively, while the
2 average main thoracic and (thoraco)lumbar SPA were $18.5 \pm 6.7^\circ$ and $19.7 \pm 6.3^\circ$ respectively.
3 The average duration between the two visits involved in this preliminary study was 23 ± 6
4 months. Main thoracic progressive group was significantly older ($p=0.015$), possessed larger
5 initial main thoracic Cobb angle ($p=0.004$) and smaller TK ($p=0.004$) from the results obtained
6 from X-ray, whereas (thoraco)lumbar progressive group was only significantly older ($p=0.032$).
7 Similar findings were observed from the results obtained from ultrasound for both 3.7° and 4.5°
8 cut-off, where main thoracic progressive groups had a significant higher age (3.7° cut off:
9 $p=0.003$; 4.5° cut off: $p=0.015$), larger initial main thoracic Cobb angle (3.7° cut off: $p=0.041$;
10 4.5° cut off: $p=0.006$) and smaller TK (3.7° cut off: $p=0.005$; 4.5° cut off: $p=0.020$), whereas
11 (thoraco)lumbar progressive groups had a significant higher age only (3.7° cut off: $p=0.044$; 4.5°
12 cut off: $p=0.032$). All the comparison results were presented in Table 6, 7 and 8 respectively.

13

14 **DISCUSSION**

15 This study investigated the coronal-sagittal coupling features of scoliotic spine on 126
16 AIS patients using 3D ultrasound and bi-planar X-ray. Our ultimate goals were to demonstrate
17 that the coronal-sagittal coupling exists between patients with mild and moderate AIS curves and
18 that hypokyphosis could be a prognostic factor for curve progression in these patients. Since in
19 previous studies, we have demonstrated that ultrasound could provide reliable and valid coronal
20 and sagittal measurements, yet discrepancies could be observed between the angles obtained in
21 the two imaging modalities. Therefore, in this study we would like to first demonstrate that the
22 ultrasound results were capable to exhibit the coupling effects between the two planes, despite
23 the angle discrepancies between ultrasound and X-ray and provided that the X-ray results were

1 reflecting the ground truth. Second, a preliminary study was conducted to justify whether the
2 hypokyphotic phenomenon could predict curve progression, by comparing the sagittal spinal
3 parameters between progressive and non-progressive curve group of patients with AIS.

4 The differences of the angles between the two modalities, especially in the sagittal plane,
5 were caused by intrinsic factors such as measurements were made on different structures and
6 using different measurement methods, and different postures were adopted during X-ray and
7 ultrasound scanning (Marks et al. 2009; Zheng et al. 2016; Lee et al. 2019b). In a previous study,
8 an extra set of X-ray measurement were conducted using the centre of posterior tangent as a
9 reference to evaluate sagittal curvature (Lee et al. 2019b). Similar to the method adopted for the
10 evaluation of sagittal curvatures on ultrasound images, TK was re-defined in that study by the
11 angle formed between the line connecting the centre of T3 and T4 posterior border and the line
12 joining the centre of T11 and T12 posterior border, whereas LL was defined by the intersection
13 angle between the line connecting the centre of T12 and L1 posterior border and the line joining
14 the centre of L4 and L5 posterior border. Surprisingly, the TK and LL obtained using this
15 alternative method were found to be significantly larger and smaller, in average of 7.3° and 9.1°
16 respectively, when compared to that obtained using the traditional Cobb method. In addition, the
17 posture adopted for the patients during X-ray in this study was similar to the fist-over-ipsilateral
18 clavicle posture adopted in the study of Marks et al. (2009), where an average increase of 3° on
19 thoracic kyphosis and decrease of 4° degrees on lumbar lordosis were observed when compared
20 to those adopted a natural posture, which was also the posture adopted for the ultrasound
21 scanning for the patients in this study. The above two reasons could mainly explain why there
22 was such a large discrepancy between X-ray and ultrasound results. Nevertheless, this study
23 demonstrated that ultrasound was capable to demonstrate the coupling phenomenon of scoliotic

1 spines of patients with AIS independently, which were also reflected from the X-ray results,
2 considered as the ground truth.

3 In this study, patients with larger main thoracic curve deformity were found to be
4 significantly hypokyphotic, when compared with those who possessed a smaller main thoracic
5 curve. These findings were similar as those reported in previous studies (de Jonge et al. 2002;
6 Ilharreborde et al. 2018; Mac-Thiong et al. 2003; Hong et al. 2017; Sullivan et al. 2017).
7 However, no significant differences were observed in lumbar lordosis. One of the possible
8 reasons that no significant difference was observed in terms of lumbar lordosis could be possibly
9 due to the severity of curves involved in this study. Generally significant lumbar lordosis
10 differences were observed in patients with severe AIS, for instance pre-operative patients, when
11 compared to those with smaller curves or even normal individuals. In the study of Hong et al.
12 (2017), significant higher lumbar lordosis was observed only in cases with Cobb angle larger
13 than 40 degrees than those with smaller angles, but no significant difference was found between
14 patients possess Cobb angles less than 20° and 40°. In addition, lumbar lordosis were found to
15 have no significant difference among normal individuals and AIS patients who possessed only
16 mild single thoracic or lumbar curve (Schlösser et al. 2014). The patients involved in this study
17 only possessed coronal Cobb angle not more than 40 degrees, thus this could explain why no
18 difference could be observed in lumbar lordosis. Furthermore, even for some study that involved
19 patients with severe AIS, no significant difference of lumbar lordosis was demonstrated between
20 those who possessed larger lumbar curves than those did not (Mac-Thiong et al's 2003),
21 suggesting that different lumbar lordosis values may not be a common phenomenon among
22 patients with lumbar AIS. In addition, patients who possessed single main thoracic curves were
23 found to be significantly hypokyphotic than those who possessed single (thoraco)lumbar curves

1 with comparable degree of deformity, which showed that patients who possessed main thoracic
2 curves, with or without the present of (thoraco)lumbar curves, were relatively hypokyphotic.

3 Patients with main thoracic curve with relative hypokyphosis tended to progress more
4 than those with a larger kyphosis value during the first ultrasound scan. One of the potential
5 reasons was that the rotational instability induced to vertebrae due to unlocked facet joints within
6 vertebrae in the hypokyphotic regions (Castelein et al. 2005; Kouwenhoven et al. 2007). Such
7 phenomenon was similar to a previous study using EOS, a bi-planar X-ray system, where
8 patients with progressive AIS were found to be hypokyphosis than non-progressive AIS (Nault et
9 al. 2014). However, this study did not categorize the coronal Cobb angle and thus the localized
10 effects of sagittal parameters on coronal angle were not well studied. Hence the advantage of this
11 study was to investigate the effect of TK and LL on either main thoracic or (thoraco)lumbar
12 curve in the coronal plane separately during the first ultrasound scan, so to have a better
13 understanding on the localized effect of sagittal parameters on coronal curve progression. No
14 significant differences were observed in sagittal parameters between progressive and non-
15 progressive (thoraco)lumbar groups. This suggested that TK and LL seemed to play no role on
16 (thoraco)lumbar curve progression, possible effects of any other sagittal parameters should be
17 investigated in future studies. The average X-ray and ultrasound TK of AIS patients were about
18 27° and 37° respectively for in progressive and non-progressive main thoracic group patients,
19 which matched with those who possessed a larger deformity in the main thoracic region in the
20 coupling study, i.e. $\text{Cobb} > 20^\circ$ or $\text{SPA} > 17^\circ$. Furthermore, progressive subjects in terms of
21 either main thoracic or (throaco)lumbar curve were shown to be younger. All the above
22 evidences suggested that younger AIS patients who possesses main thoracic curve with kyphosis

1 much smaller than these values using either X-ray or ultrasound would suffer from curve
2 progression with a much higher tendency if no interventions would be made.

3 There are several limitations in this study. First, patients with Cobb angle larger than 40°
4 were not included. The reason is that evaluation of the sagittal curvature on radiograph would be
5 highly affected by the coronal deformity and vertebral rotation, thus it was not suggested to be
6 conducted on patients with severe scoliosis by the clinicians. In addition, another objective of
7 this study was to demonstrate that hypokyphosis could be a prognostic factor for curve
8 progression on patients with mild to moderate AIS, in order to avoid surgery ultimately. Second,
9 the baselines of the subjects involved in this study, such as the Risser's sign, treatment status and
10 the Premenarche status, were not controlled during recruitment. All the patients with AIS in a
11 certain time point were recruited, some were their first visits while some of them were follow-
12 ups. Generally bracing was suggested to the patients with AIS with immature bone and Cobb
13 angle larger than 20° from the corresponding hospital. Since it has been known that bracing
14 could create hypokyphosis to patients, therefore the hypokyphotic phenomenon could possibly
15 cause by the effect of bracing. Therefore, the sagittal profile of patients with mild or moderate
16 curves who underwent bracing could be compared with those who only undergone therapeutic
17 exercise treatment could be compared in future study to investigate whether bracing would be
18 playing a role in the hypokyphotic phenomenon. Third, because of the limited number of
19 thoracolumbar curves involved, this type of curves were combined with lumbar curves as one
20 category, known as (thoraco)lumbar curves. Fourth, patients with metallic implants and BMI
21 higher than 25.0 kg/m² were also excluded, since metallic implants could affect the accuracy of
22 ultrasound probe spatial sensing and high BMI could cause poor image quality in the lumbar
23 region. Nevertheless, the capability of ultrasound providing coupling, together with the reliability

1 of ultrasound demonstrated in previous study (Zheng et al. 2016; Lee et al. 2019b), suggested
2 that 3D ultrasound imaging could be a tool to evaluate coronal and sagittal spinal profiles and
3 investigate the coupling effects between these two planes. Due to its non-ionizing nature, 3D
4 ultrasound could provide more frequent follow-up examinations on spine for AIS patients, which
5 generally cannot be done in clinical routine as X-ray involves radiation and is not available in all
6 clinics.

7

8 **CONCLUSIONS**

9 To our knowledge, this is the first study which had evaluated the coronal-sagittal coupling effect
10 with positive findings and investigated the hypokyphotic phenomenon on curve progression
11 using ultrasound, and with X-ray results as the ground truth. Hypokyphosis was observed for
12 patient with AIS who possess larger thoracic curves. However, the coronal-sagittal coupling
13 phenomenon was only observed in the thoracic region, but not in the (thoraco)lumbar region. In
14 addition, the preliminary progression study showed that the hypokyphotic phenomenon observed
15 in the main study could be a prognostic factor for thoracic curve progression. This could become
16 of critical importance in future for management planning of patients with AIS.

17

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1 **FIGURE LEGENDS**

2 Figure 1. Diagram illustrating the measurements made on coronal and sagittal X-ray [(a) and (b)]
3 and ultrasound [(c) and (d)]

4 Figure 2. The three images on the left were the coronal (a) and sagittal ultrasound images
5 illustrating the left (b) and right (c) laminae of a patient with adolescence idiopathic
6 scoliosis (AIS) who possessed smaller main thoracic curvature, whereas the three
7 images on the right were the coronal (d) and sagittal ultrasound images illustrating the
8 left (e) and right (f) laminae of an AIS patient who possessed larger main thoracic
9 curvature. The red line indicates the T12 vertebrae level.

10 Figure 3. The three images on the left were the coronal (a) and sagittal ultrasound images
11 illustrating the left (b) and right (c) laminae of a patient with adolescence idiopathic
12 scoliosis (AIS) who possessed a single main thoracic curve, whereas the three images
13 on the right were the coronal (d) and sagittal ultrasound images illustrating the left (e)
14 and right (f) laminae of an AIS patient who possessed a single lumbar curve. The red
15 line indicates the T12 vertebrae level.

16 Figure 4. Correlation and the corresponding linear regression between coronal X-ray Cobb
17 angles and ultrasound spinous process angles for main thoracic and (thoraco)lumbar
18 curves. The correlation value and the equation were obtained by combing the two
19 types of angles. SPA: Spinous Process Angle.

20 Figure 5. Correlations and the corresponding linear regressions between X-ray angles and
21 ultrasound angles in terms of thoracic kyphosis and lumbar lordosis in the sagittal
22 plane

23

1 **Table 1** Descriptive parameters of the patients involved in the study

Curve type	RT	RT-LTL	LTL-RT	Triple	LTL	Other
N (Female /male)	20 (16 / 4)	26 (21 / 5)	37 (33 / 4)	15 (11 / 4)	21 (18 / 3)	7 (5 / 2)
Age (year)	14.6 ± 2.0	14.3 ± 2.0	14.9 ± 2.1	15.0 ± 2.0	15.5 ± 1.8	14.1 ± 1.3
Mean Cobb (°)	21.7 ± 8.8	24.0 ± 6.8	22.0 ± 6.4	23.3 ± 8.0	23.9 ± 6.8	27.3 ± 10.0

2 RT: right thoracic; RT-LTL: right thoracic-left (thoraco)lumbar; LL-RT: left (thorac)lumbar-
 3 right thoracic; LTL, left (thoraco)lumbar; other, left thoracic and/or right (thoraco)lumbar; N:
 4 number of patients

5
 6 **Table 2** Comparison of sagittal parameters between patients with different extent of Cobb value
 7 based on either main thoracic or (thoraco)lumbar curve respectively using X-ray

AIS patients divided into groups based on the possession of						
X-ray	Main Thoracic Curve			(Thoraco)lumbar Curve		
	Cobb ≤ 20°	Cobb > 20°	p	Cobb ≤ 20°	Cobb > 20°	p
TK (°)	26.9 ± 9.6	20.7 ± 11.0	0.001*	24.4 ± 9.3	24.3 ± 11.9	0.942
LL (°)	44.4 ± 10.3	43.5 ± 10.2	0.606	45.0 ± 10.4	43.0 ± 9.9	0.269

8 *P < 0.05

9 AIS: adolescence idiopathic scoliosis; TK: Thoracic kyphosis; LL: Lumbar lordosis

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1 **Table 3** Comparison of sagittal parameters between patients with different extent of Cobb value
 2 based on either main thoracic or (thoraco)lumbar curve respectively using ultrasound

AIS patients divided into groups based on the possession of						
US	Main Thoracic Curve		p	(Thoraco)lumbar Curve		p
	SPA ≤ 17°	SPA > 17°		SPA ≤ 17°	SPA > 17°	
TK (°)	35.6 ± 9.2	27.9 ± 11.2	<0.001*	33.5 ± 10.8	32.3 ± 10.4	0.498
LL (°)	27.7 ± 11.1	31.8 ± 13.0	0.066	29.5 ± 12.3	28.8 ± 11.5	0.746

3 *P < 0.05

4 AIS: adolescence idiopathic scoliosis; US: Ultrasound; SPA: Spinous Process Angle; TK:
 5 Thoracic kyphosis; LL: Lumbar lordosis

7 **Table 4** Comparison of sagittal parameters between patients who possess either single main
 8 thoracic or (thoraco)lumbar curve respectively using X-ray

AIS patients divided into groups based on the			
X-ray	possession of single		p
	Main Thoracic Curve	(Thoraco)lumbar Curve	
TK (°)	20.4 ± 9.4	30.6 ± 10.4	0.002*
LL (°)	43.3 ± 10.7	44.5 ± 10.8	0.739

9 *P < 0.05

10 AIS: adolescence idiopathic scoliosis; TK: Thoracic kyphosis; LL: Lumbar lordosis

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1 **Table 5** Comparison of sagittal parameters between patients who possess either single main
 2 thoracic or (thoraco)lumbar curve respectively using ultrasound

AIS patients divided into groups based on the			
US	possession of single		
	Main Thoracic Curve	(Thoraco)lumbar Curve	p
TK (°)	27.5 ± 10.8	38.4 ± 8.0	0.001*
LL (°)	27.6 ± 12.7	26.4 ± 10.5	0.747

3 *P < 0.05

4 AIS: adolescence idiopathic scoliosis; US: Ultrasound; TK: Thoracic kyphosis; LL: Lumbar
 5 lordosis

- 1 **Table 6** Values of different parameters measured during the first visit that received ultrasound scan that received ultrasound scan
- 2 between non-progressive and progressive main thoracic / (thoraco)lumbar Cobb angles using X-ray, with the cut off degree set as 5°

AIS patients divided into groups based on the possession of						
X-ray	Main Thoracic Cobb (Cut off: 5°)			(Thoraco)lumbar Cobb (Cut off: 5°)		
	Non-progressive	Progressive	p	Non-progressive	Progressive	p
Number of patients	35	16	N/A	39	12	N/A
Age (year)	15.5 ± 2.1	14.0 ± 1.8	0.015*	15.4 ± 1.9	13.9 ± 2.4	0.032*
Main thoracic Cobb (°)	21.0 ± 8.2	29.0 ± 7.5	0.004*	24.7 ± 8.4	22.3 ± 6.7	0.419
(Thoraco)lumbar Cobb(°)	23.2 ± 6.8	22.0 ± 7.3	0.620	23.4 ± 6.8	21.5 ± 7.3	0.429
TK (°)	26.8 ± 3.0	18.7 ± 10.9	0.007*	25.1 ± 9.6	21.6 ± 12.3	0.316
LL (°)	44.2 ± 9.0	45.5 ± 9.9	0.657	44.7 ± 9.4	44.3 ± 8.8	0.897

3 *P < 0.05

4 TK: Thoracic kyphosis; LL: Lumbar lordosis.

- 1 **Table 7** Values of different parameters measured during the first visit that received ultrasound scan between non-progressive and
- 2 progressive main thoracic / (thoraco)lumbar SPA using ultrasound, with the cut off degree set as 3.7 °

AIS patients divided into groups based on the possession of						
X-ray	Main Thoracic SPA (Cut off: 3.7°)			(Thoraco)lumbar SPA (Cut off: 3.7°)		
	Non-progressive	Progressive	p	Non-progressive	Progressive	p
Number of patients	31	20	N/A	36	15	N/A
Age (year)	15.7 ± 2.0	14.0 ± 2.0	0.003*	15.4 ± 1.9	14.1 ± 2.3	0.044*
Main thoracic SPA (°)	16.6 ± 6.2	21.0 ± 6.8	0.041*	18.2 ± 6.5	19.1 ± 7.3	0.706
(Thoraco)lumbar SPA(°)	19.9 ± 7.0	19.4 ± 5.0	0.782	20.1 ± 6.5	18.9 ± 6.1	0.612
TK (°)	37.6 ± 8.4	27.5 ± 13.2	0.005*	33.3 ± 10.3	34.6 ± 14.4	0.709
LL (°)	34.6 ± 9.4	31.8 ± 12.2	0.371	34.9 ± 10.6	30.2 ± 10.1	0.148

3 *P < 0.05

4 SPA: Spinous Process Angle; TK: Thoracic kyphosis; LL: Lumbar lordosis.

- 1 **Table 8** Values of different parameters measured during the first visit that received ultrasound scan between non-progressive and
 2 progressive main thoracic / (thoraco)lumbar SPA using ultrasound, with the cut off degree set as 4.5 °

AIS patients divided into groups based on the possession of						
X-ray	Main Thoracic SPA (Cut off: 4.5°)			(Thoraco)lumbar SPA (Cut off: 4.5°)		
	Non-progressive	Progressive	p	Non-progressive	Progressive	p
Number of patients	35	16	N/A	39	12	N/A
Age (year)	15.5 ± 2.1	14.0 ± 1.8	0.015*	15.4 ± 1.9	13.9 ± 2.4	0.032*
Main thoracic SPA (°)	16.5 ± 6.1	22.6 ± 6.3	0.006*	19.1 ± 7.1	16.6 ± 5.4	0.315
(Thoraco)lumbar SPA(°)	19.6 ± 6.8	20.0 ± 5.0	0.863	20.1 ± 6.5	18.9 ± 6.1	0.612
TK (°)	36.7 ± 8.7	27.0 ± 14.3	0.020*	33.3 ± 10.4	34.9 ± 15.1	0.679
LL (°)	34.0 ± 10.1	32.5 ± 11.8	0.653	34.1 ± 10.3	30.9 ± 10.2	0.315

3 *P < 0.05

4 SPA: Spinous Process Angle; TK: Thoracic kyphosis; LL: Lumbar lordosis.

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