



**Clinical Use of Autologous Micro-Fragmented Fat
Progressively Restores Pain and Function in Shoulder
Osteoarthritis**

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3 1 **Clinical Use of Autologous Micro-Fragmented Fat Progressively Restores Pain and Function in**
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12 4 **ABSTRACT**
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15 5 Non-digested micro-fragmented adipose tissue (MFat™, Lipogems®) was utilized to treat
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17 6 shoulder joint pain and inflammation associated dysfunction in 25 patients with mild (n=12) to
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19 7 moderate (n=13) shoulder osteoarthritis (OA) who have completed follow-ups at 6, 18, and 52
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21 8 week intervals. All study participants received an injection of autologous MFat™ therapy to
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23 9 affected shoulders. Quantitative analysis of pain and function modalities was performed using
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25 10 the Visual Analog Scale (VAS) and the Disabilities of the Arm, Shoulder, and Hand (DASH)
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27 11 Western Ontario and McMaster Universities Arthritis Index (WOMAC) respectively. Study
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29 12 results demonstrate progressive improvement in pain as well as restoration of function in the
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31 13 shoulder joint in mild to moderate cases of OA for at least one year following Lipogems® MFat™
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33 14 therapy.
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44 16 Key words: micro-fragmented, adipose tissue, shoulder, osteoarthritis, degenerative joint
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46 17 disease, regenerative medicine
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19 INTRODUCTION

20 Osteoarthritis (OA) is one of the most common chronic and debilitating conditions seen in the
21 orthopedic setting. This disease results in damage to the articular cartilage and inflammation
22 and successive damage of the joint itself. Shoulder OA can be debilitating with loss of shoulder
23 function leading to depression, anxiety, activity limitations, and job-performance problems.
24 Cartilage degradation in shoulder OA can cause subchondral bone remodeling, and ultimate
25 loss in sphericity and congruity of the joint.¹ The joint capsule can thicken, leading to further
26 loss of shoulder rotation.^{2,3}

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28 Successful treatment of OA remains a challenge particularly due to a lack of blood supply and
29 limited capacity of self-repair in articular cartilage.^{4,5} Traditional treatment is aimed at
30 symptom management to control pain and restore function but nothing reparative in nature to
31 alter the progression of disease. The initial approach to OA treatment begins with activity
32 modification, rest, heat and ice. Physical therapy, strength training, and aerobic exercise can
33 help alleviate symptoms. Bracing, topical creams, over the counter anti-inflammatory
34 medications, prescription medications, and steroid injections are also traditional first line
35 treatment options.⁶ Although steroid injections are commonly given to provide pain relief by
36 decreasing joint inflammation, often patients require numerous injections, which has been
37 shown to accelerate OA progression and result in bone loss over time.⁷ More advanced cases
38 of OA can develop resistance or are unresponsive to traditional pharmacological methods
39 warranting surgical intervention. Surgical treatment is challenging, requires prolonged
40 rehabilitation, and is burdened by serious risks of complications (infection, instability, deep vein

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3 41 thrombosis, etc.) and often leads to patients seeking out other less invasive options.
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8 43 Recent advancements in regenerative medicine have allowed for a more holistic reparative
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10 44 approach to treatment of such conditions. The use of mesenchymal stem cells (MSCs) derived
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12 45 from adipose tissue are currently under investigation in multiple research studies.⁸⁻¹¹ The
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14 46 therapeutic use of MSCs and other reparative cells is traditionally related to both their anti-
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16 47 inflammatory activity and multilineage differentiation, including their chondrogenic potential.¹²⁻
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20 48 ¹⁴ Recent studies emphasize the paracrine effects of implanted cells, i.e., the MSCs secretion of
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22 49 cytokines, growth factors and extracellular vesicles capable of inducing tissue repair and
23
24 50 modulating inflammation.^{14, 15} Adipose tissue, has emerged as an easily accessible rich source
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26 51 of reparative cells and can serve as an excellent option in regenerative medicine because of the
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28 52 minimally invasive harvesting procedure.^{16, 17} Reparative adipose derived cells also have an
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30 53 immunoregulatory effect on the joint due to the paracrine factors that are secreted into the
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32 54 joint. Components of adipose tissue include the stromal vascular niche, extracellular matrix and
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34 55 numerous cell types including pericytes, pre-adipocytes, adipocytes and adipose derived stem
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36 56 cells as well as progenitor and hematopoietic cells.¹⁵ A vital component in regenerative
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38 57 medicine is the pericyte, which exists in the stromal vascular niche of adipose tissue and plays
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40 58 an important role in cell signaling and healing.¹⁸
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49 60 The processing technique used in this study involves micro-fragmenting and washing the
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51 61 adipose tissue to ensure that all inflammatory oils and blood cells are removed and allows for
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53 62 optimal absorption after reinjection. The closed, full-immersion system increases tissue
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3 63 viability while maintaining the structural microarchitecture of the tissue.¹⁹ Maintaining tissue
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6 64 microarchitecture enables the stromal vascular niche to remain intact, which is critical to the
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8 65 action of the tissue.²⁰ Pericytes, line the exterior of the capillaries within the stromal vascular
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11 66 niche therefore, keeping this intact not only enhances their viability, but also extends the
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13 67 longevity of their immunomodulatory signals.¹⁴ In this prospective non-randomized clinical
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16 68 study of 25 patients with mild to moderate OA of the shoulder, we quantified the clinical
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18 69 effectiveness of the use of non-digested micro-fragmented adipose tissue (MFat™, Lipogems®)
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21 70 to treat shoulder joint pain and inflammation associated dysfunction as an alternative to
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23 71 surgical intervention.
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3 72 **MATERIALS AND METHODS**
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8 74 **Participants:** The current study includes 25 patients with a clinical diagnosis of mild (n=12) to
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10 75 moderate (n=13) shoulder OA with no other clinically complicating factors who have completed
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13 76 follow-ups at 6, 18, and 52 week intervals. All participants were submitted to an initial
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15 77 screening visit with a physical examination and shoulder radiography. Inclusion criteria were
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18 78 males and females over the age of 40 with a diagnosis of OA of the shoulder and confirmatory
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20 79 radiographs (Kellgren–Lawrence (KL) grade 2–3). Exclusion criteria were history of
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23 80 immunodeficiency, chronic use of oral corticosteroid or immunosuppressive therapies, history
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25 81 or presence of malignant disorders and/or use of chemotherapy within the last 5 years, except
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28 82 for cutaneous basal cell or squamous cell cancer resolved by excision, signs and symptoms of
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30 83 significant cardiac disease, diagnosis of transient ischemic attack within the last 6 months.
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35 85 **Lipoaspiration:** According to the policies approved by the Institutional Review Boards for the
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37 86 Institute of Regenerative and Cellular Medicine ((xx-xx-xxx), adipose tissue was harvested from
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40 87 25 patients with mild to moderate shoulder OA. Written informed consent was obtained from
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42 88 all study participants. Under aseptic sterile conditions, stab incisions were made for cannula
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45 89 entry in the abdominal area and infiltrated with tumescent anesthesia fluid with 500ml of
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47 90 saline, 50ml of 2% lidocaine plus 1ml of (1:1000) epinephrine. Approximately 15 minutes
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50 91 following infiltration, 50-70cc of adipose tissue was aspirated via cannula connected to a
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52 92 VacLock® (Merit Medical, South Jordan, UT, USA) syringe.
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3 94 **Lipoaspirate Processing:** The MFat™ was prepared by connecting the lipoaspirate syringe to the
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6 95 Lipogems® device (Lipogems® International, Milan, Italy) and processed as previously described
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8 96 by Bianchi et al until desired volumes of Lipogems® MFat™ was achieved.¹⁹
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14 98 **Intra-articular Injections:** Under aseptic conditions, 10cc of 1% lidocaine was injected into the
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17 99 shoulder(s) under ultrasound guidance. 15-21 cc of the MFat™ was then injected into the
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19 100 shoulder joint under ultrasound guidance.
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25 102 **Post-operative and post-injection care:** Patients were discharged when stable with post
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28 103 procedure instructions. Prophylactic antibiotics were administered, and patients were
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30 104 monitored for fever and abnormal pain and swelling. Adjunct therapies of supplements and
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32 105 oral cytokines (GUNA® Biotherapeutics, Milan, Italy) were administered to the patient to
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35 106 enhance recovery and healing for a minimum of 6 weeks post injection. Patients were followed
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38 107 for a minimum of 1 year post Lipogems® therapy and specifically at 6, 18, and 52 weeks post
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40 108 therapy.
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46 110 **Patient Reported Outcome Measurements:** A clinical and functional assessment was
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49 111 performed at each follow up interval. Patient reported outcomes of pain and function were
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51 112 measured using the Visual Analog Scale (VAS) and the Disabilities of the Arm, Shoulder, and
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54 113 Hand (DASH) Western Ontario and McMaster Universities Arthritis Index (WOMAC)
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3 114 respectively.^{21, 22} Deviations from baseline conditions were calculated and percentage
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6 115 improvements and/or decline were determined and quantitatively compared for each follow up
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8 116 time point.
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14 118 **Radiologic Joint Space Measurements:** X-rays were taken at each follow up and radiologic
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17 119 changes in glenohumeral joint spacing were measured as a correlate to articular cartilage
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19 120 growth. The external true anteroposterior projection was used with the standard positioning of
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21 121 the patient supine, slightly turned (20°) to imaged side (a support under the other shoulder)
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23 122 and the arm in the external rotation, palm facing upwards as previously published.²³ Subjects
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25 123 with radiographs that did not allow for a clear visualization of the glenohumeral joint space
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27 124 were excluded from the analysis leaving data from 18 subjects with (n=8) for mild OA and
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29 125 (n=10) for moderate OA shoulder cases.
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35 126 In this position the projection of the joint surface of the humeral head forms a half-circle, the
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37 127 diameter of which is the line joining the two terminal points of the joint surface projection. The
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39 128 mid-point of this line was determined and with a ruler aimed at this point, a 90° angle
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41 129 measurement was established perpendicular to the joint surface of the head of the humerus.
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44 130 The glenohumeral joint space at this site was measured with a ruler from this 90° projection at
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47 131 each time point as indicated in **Figure 1**. Deviations from baseline conditions were calculated
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49 132 as normalized changes from pre-procedure measurements.
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3 134 **Statistical Analysis:** Statistical analysis was performed using GraphPad Prism 8 (GraphPad
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6 135 Prism, LLC, San Diego, CA, USA). The level of significance for all hypothesis tests (p) was set at
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8 136 0.05. Continuous variables were presented as mean and standard error. Comparisons of
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10 137 shoulder VAS and DASH WOMAC scores and joint space measurements were independently
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12 138 made with the Kruskal–Wallis test for each data set. Once the Kruskal-Wallis test showed
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14 139 statistical significance among all normalized timepoints, post-hoc analysis was performed using
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16 140 the Wilcoxon signed-rank test to delineate the improvement of measurements between each
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18 141 endpoint with 95% confidence intervals (CI). Patient reported outcome measurements of DASH
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20 142 WOMAC scores measured during each follow-up endpoint for mild and moderate OA shoulder
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22 143 cases were also quantitatively compared utilizing the Mann-Whitney test to reveal differences
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24 144 among KL severity.
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32 146 **Ethical Approval:** This study was reviewed and approved for human studies by the
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34 147 International Review Board for Cellular Medicine. All patients signed a detailed informed
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36 148 consent, which was also reviewed and approved by the IRB. There was no funding provided to
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38 149 the investigator, and no patient compensation for participation.
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3 150 **RESULTS**
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9 152 **Patient Reported Outcomes:** At the 6 week follow up, all 25 study participants reported
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11 153 significant improvement from baseline with $51.92 \pm 4.52\%$ (mean \pm SE) improvement in VAS
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14 154 and $58.78 \pm 6.61\%$ improvement in WOMAC in mild OA cases, and $49.67 \pm 9.36\%$ improvement
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16 155 in VAS and $38.39 \pm 6.31\%$ improvement in WOMAC in moderate OA cases. These early results
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18 156 continued to progress in the mild OA group through 18 weeks with $76.56 \pm 4.26\%$ improvement
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20 157 in VAS and $76.90 \pm 6.30\%$ in WOMAC and at the yearly follow-up $87.51 \pm 4.01\%$ improvement in
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22 158 VAS and $89.31 \pm 2.72\%$ improvement in WOMAC. The patients with moderate OA
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25 159 demonstrated significant functional improvements at the 18 week follow-up with $82.58 \pm 6.02\%$
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27 160 improvement in VAS and $62.61 \pm 8.65\%$ improvement in WOMAC that were maintained at the 1
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29 161 yr follow-up with $84.37 \pm 5.97\%$ improvement in VAS and $58.98 \pm 7.55\%$ improvement in
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31 162 WOMAC as illustrated in **Figure 2**. Results of Kruskal-Wallis tests of VAS and WOMAC results
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33 163 revealed statistically significant differences among all time points measured ($p < 0.001^{***}$) for
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35 164 both mild and moderate OA shoulder cases. Post-hoc analysis was performed with the
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37 165 Wilcoxon signed-rank test and showed statistically significant improvement ($p < 0.01^{**}$) of VAS
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39 166 and DASH WOMAC scores progressively over time for mild OA shoulder cases as indicated in
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41 167 plots **A** and **B** of **Figure 2**. Post-hoc analysis of data from moderate OA shoulder cases shown in
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43 168 plots **C** and **D** of **Figure 2** revealed statistical improvement over time through 18 weeks
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45 169 ($p < 0.01^{**}$), with no significant change after 18 weeks, but rather revealed a maintenance of
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53 170 results from 18 weeks to a year post therapy.
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6 172 Outcome correlates among groups (mild and moderate OA) were made of the patient reported
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9 173 outcome measurements of DASH WOMAC scores for each time point measured and were
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11 174 quantitatively compared utilizing the Mann-Whitney test. Results of this analysis shown in
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14 175 **Figure 3** showed statistically significant differences in year WOMAC measurements between
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16 176 mild and moderate OA shoulder cases, with significantly more improvement in function at 1
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18 177 year post Lipogems® therapy in mild shoulder OA when compared to moderate shoulder OA
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21 178 cases ($p < 0.05^*$).

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28 180 **Joint Space Measurements:** Glenohumeral joint space measurements were recorded for each
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30 181 subject at each time point. Normalized deviations from baseline were calculated and
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32 182 quantitatively compared for each follow-up time point as shown in **Figure 4** for mild OA
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35 183 shoulder cases (**A**) and moderate OA shoulder cases (**B**). At the 6 week follow-up, all included
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37 184 study participants (n=18) reported significant increases in glenohumeral joint spacing from
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40 185 baseline with $22.19 \pm 4.83\%$ (mean \pm SE) increase in mild OA cases, and $21.75 \pm 10.64\%$ increase
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42 186 in moderate OA cases. Continued joint space increase was revealed at 18 weeks with $25.86 \pm$
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45 187 7.04% increase in mild OA cases and $30.39 \pm 10.94\%$ increase in moderate OA cases. Yearly
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47 188 follow-ups revealed $37.55 \pm 7.19\%$ increase in joint space in mild OA shoulder cases with 36.34
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50 189 $\pm 10.61\%$ increase in joint space in moderate OA shoulder cases. Significantly, post hoc analysis
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52 190 of normalized data sets with the Wilcoxon signed rank tests showed significant increases in
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55 191 glenohumeral joint spacing following MFat™ therapy up to one year post treatment ($p < 0.05^*$)

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3 192 for both mild and moderate OA shoulder cases with a mean increase in joint spacing of $1.133 \pm$
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6 193 0.138 mm in mild OA shoulder cases and 0.9 ± 0.186 mm in moderate OA shoulder cases as
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8 194 illustrated in **Figure 4**. No significant difference was found among groups but could be due to
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10 195 smaller sample size and greater variation in results among moderate OA subjects.
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3 196 **DISCUSSION**
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6 197 Data from mild OA shoulder cases revealed continued progressive improvement over time in
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8 198 both pain and functional scales up to a year post Lipogems® MFat™ therapy. Results of analysis
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10 199 of VAS and WOMAC data from moderate OA shoulder cases revealed statistical improvement
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12 200 over time through 18 weeks, with a maintenance of those results at a year post therapy,
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14 201 implicating limitations in improvements of such measurements with increased severity of OA.
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16 202 Additionally, the improvement in WOMAC scores in moderate shoulder OA cases at a year post
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18 203 therapy was statistically less than the improvement in mild OA shoulder cases at a year post,
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20 204 suggesting a correlation between the degree of functional restoration to KL severity. Analysis
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22 205 of joint space measurements reveal statistically significant increases in glenohumeral joint
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24 206 spacing following MFat™ therapy up to one year post treatment. These results suggest cartilage
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26 207 modification as a result of Lipogems® MFat™ therapy to both mild and moderate OA shoulders,
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28 208 further elucidating the reparative capacity of MFat™ therapy. Our results are in line with
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30 209 Striano et al who analyzed the role of MFat™ injection for shoulder pain and arthritis in 20
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32 210 patients in which they demonstrated significant improvements in pain, function and quality of
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34 211 life as measured by patient reported outcomes up to a year post.²⁴ Additionally, our results
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36 212 prove more effective and longer lasting than previous studies by Zhang et al examining the use
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38 213 of hyaluronic acid (HA) and corticosteroid injections in glenohumeral OA patients, where they
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40 214 showed that neither HA nor corticosteroid injections were significantly better than any other
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42 215 conservative treatment options for shoulder OA.²⁵ Currently, longer-term progress with larger
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44 216 data sets and the application of such methods in the presence of complicating shoulder
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46 217 pathologies including rotator cuff injury and tendinopathies in the absence and presence of OA
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3 218 are being explored. Preliminary data and anecdotal clinical findings are positive and align with
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6 219 data sets for OA shoulder cases. Implementation in other joints is also being explored and
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8 220 evaluated, but this innovative research is promising for the field of orthopedic regenerative
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11 221 medicine and should be a considered a valuable alternative for the treatment of pain and
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13 222 inflammation associated dysfunction in mild-moderate OA in shoulders.
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3 223 **CONCLUSION**
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6 224 The use of Lipogems® MFat™ therapy in mild to moderate OA shoulder cases results in clinically
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8 225 significant improvement in both pain and functional scales, signifying Lipogems® as a novel
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10 226 regenerative orthopedic modality for the treatment of degenerative shoulder OA. Our results
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12 227 show that the improvements are not only significant, but also progressive in nature, with
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14 228 optimal results being achieved at up to 1 year post therapy. Future studies will focus on larger
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16 229 randomized control trials to further investigate the clinical efficacy of micro-fragmented
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3 296 **FIGURE CAPTIONS**
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6 297 **Figure 1:** External true anteroposterior view radiograph showing an OA shoulder with
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9 298 glenohumeral space measurement technique overlaid in yellow.

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12 299 **Figure 2:** Graphs of normalized mean deviations from baseline (mean±SE) of VAS (A & C) and
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14 300 DASH WOMAC (B & D) scores for mild OA (blue) and moderate OA (red) measured during each
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17 301 follow-up endpoint. Quantitative comparative analysis was performed utilizing the Kruskal–
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19 302 Wallis test, revealing statistically significant changes from baseline value among all data sets for
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22 303 both mild and moderate shoulder OA ($p<0.001^{***}$). Approximate mean percent changes from
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24 304 baseline values are overlaid on plots for clarity. Post-hoc analysis was performed with the
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27 305 Wilcoxon signed-rank test and shows statistically significant improvement ($p<0.01^{**}$) of VAS
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29 306 and DASH WOMAC scores progressively over time measured with 95% confidence intervals (CI)
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32 307 for mild OA as indicated in plots **A** and **B**. Post-hoc analysis of data from moderate OA shoulder
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34 308 cases in plots **C** and **D** reveal statistical improvement over time through 18 weeks ($p<0.01^{**}$),
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37 309 with no significant change after 18 weeks, but rather reveal a maintenance of results from 18
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39 310 weeks to a year post Lipogems® therapy.

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42 311 **Figure 3:** Graph of normalized mean deviations from baseline (mean±SE) of WOMAC scores for
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44 312 mild shoulder OA (blue) and moderate shoulder OA (red) for each follow up time point. Results
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47 313 of Mann-Whitney comparisons test among groups at each time point reveals statistically
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49 314 significant differences in WOMAC scores at the yearly follow up ($p<0.05^*$), with marked
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52 315 improvement in WOMAC scores at a year post Lipogems® therapy for mild OA shoulder cases
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54 316 when compared to that of moderate OA shoulder cases.

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6 318 **Figure 4:** Plot of glenohumeral joint space measurements recorded as normalized changes
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9 319 from baseline values for mild (**A**) and moderate (**B**) OA shoulder cases. Approximate mean
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11 320 percent increases in joint space are overlaid for clarity as well as mean joint space increases
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14 321 (mean±SE mm) for the 52 week follow up. Statistically significant ($p<0.05^*$) increases in
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16 322 glenohumeral joint spacing following MFat™ therapy up to 1 year post therapy are indicated in
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19 323 both graphs.

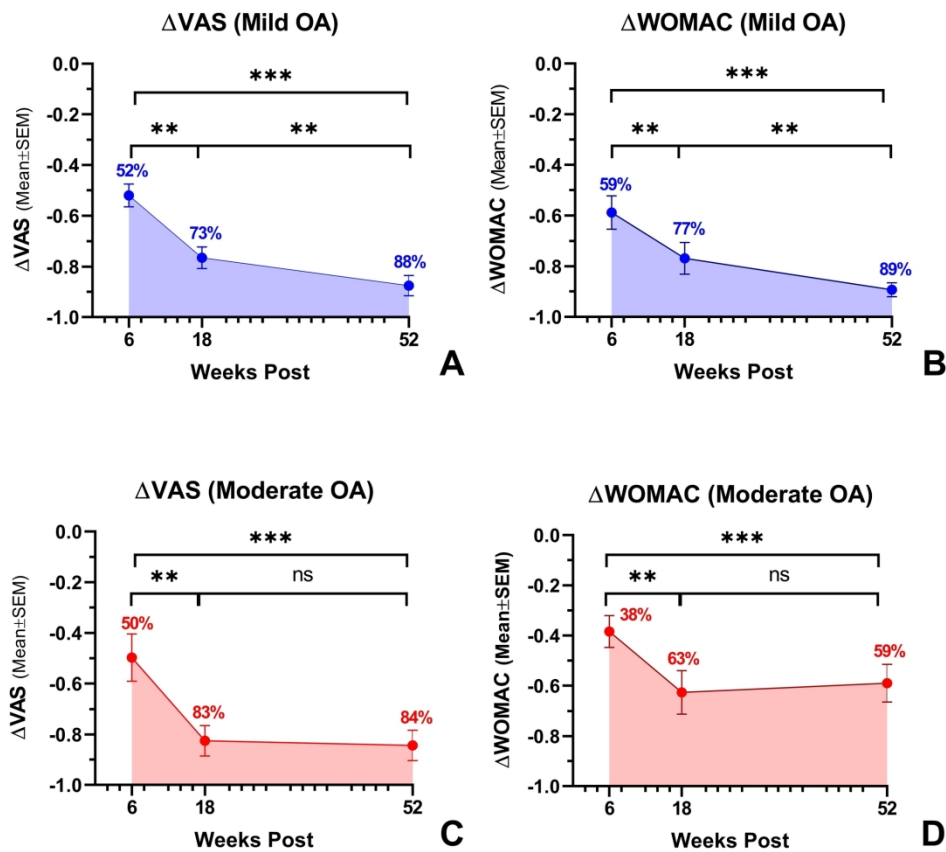
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For Review Only



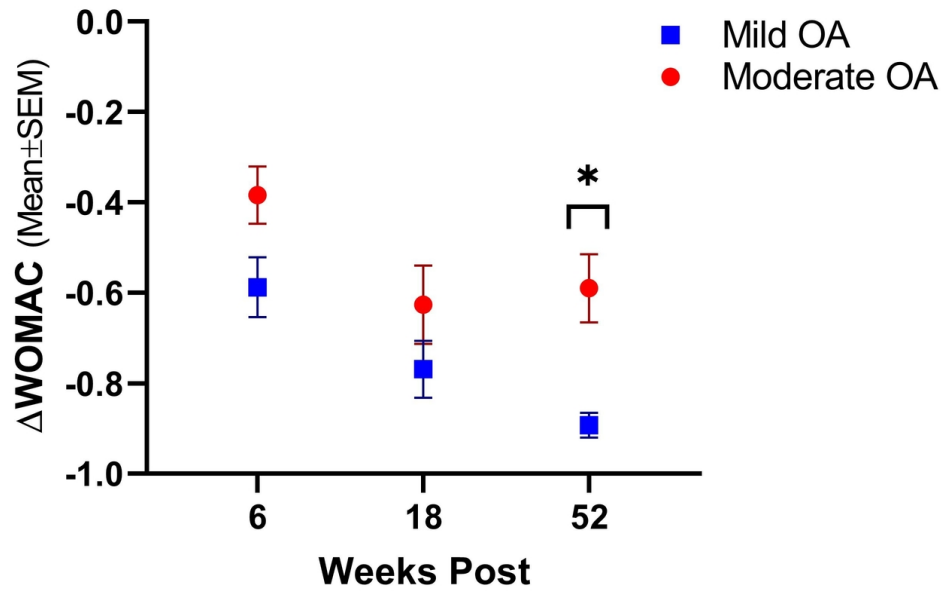
External true anteroposterior view radiograph showing an OA shoulder with glenohumeral space measurement technique overlaid in yellow.

108x91mm (96 x 96 DPI)



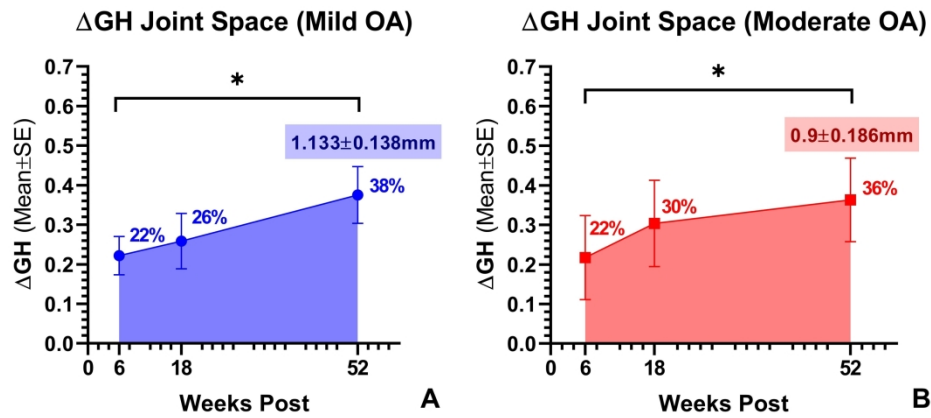
Graphs of normalized mean deviations from baseline (mean±SE) of VAS (A & C) and DASH WOMAC (B & D) scores for mild OA (blue) and moderate OA (red) measured during each follow-up endpoint. Quantitative comparative analysis was performed utilizing the Kruskal–Wallis test, revealing statistically significant changes from baseline value among all data sets for both mild and moderate shoulder OA ($p < 0.001^{***}$). Approximate mean percent changes from baseline values are overlaid on plots for clarity. Post-hoc analysis was performed with the Wilcoxon signed-rank test and shows statistically significant improvement ($p < 0.01^{**}$) of VAS and DASH WOMAC scores progressively over time measured with 95% confidence intervals (CI) for mild OA as indicated in plots A and B. Post-hoc analysis of data from moderate OA shoulder cases in plots C and D reveal statistical improvement over time through 18 weeks ($p < 0.01^{**}$), with no significant change after 18 weeks, but rather reveal a maintenance of results from 18 weeks to a year post Lipogems® therapy.

200x184mm (300 x 300 DPI)



Graph of normalized mean deviations from baseline (mean \pm SE) of WOMAC scores for mild shoulder OA (blue) and moderate shoulder OA (red) for each follow up time point. Results of Mann-Whitney comparisons test among groups at each time point reveals statistically significant differences in WOMAC scores at the yearly follow up ($p < 0.05^*$), with marked improvement in WOMAC scores at a year post Lipogems[®] therapy for mild OA shoulder cases when compared to that of moderate OA shoulder cases.

112x74mm (300 x 300 DPI)



Plot of glenohumeral joint space measurements recorded as normalized changes from baseline values for mild (A) and moderate (B) OA shoulder cases. Approximate mean percent increases in joint space are overlaid for clarity as well as mean joint space increases (mean±SE mm) for the 52 week follow up. Statistically significant ($p < 0.05^*$) increases in glenohumeral joint spacing following MFat™ therapy up to 1 year post therapy are indicated in both graphs.

260x124mm (300 x 300 DPI)