

# Patterned progression of gut microbiota predisposes preterm infants to necrotizing enterocolitis and late-onset sepsis (#31741)

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# Patterned progression of gut microbiota predisposes preterm infants to necrotizing enterocolitis and late-onset sepsis

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**Background and objectives.** Gut microbiota **dysbiosis** is frequently observed during the course of preterm complications including necrotizing enterocolitis (NEC) and late-onset sepsis (LOS). However, specific after-birth bacterial pattern of preterm newborns with these complications hasn't been well established. Here, we firstly profiled postpartum pattern progression of intestinal microbiome in these two diseases, with the aim of understanding their etiologic microbiota profiles from a dynamic perspective.

**Methods.** 24 preterm newborns were enrolled, among whom four subsequently developed NEC, three LOS, **17** were healthy controls. Starting from the first stool after birth and continuing till discharge, 192 longitudinal fecal samples were prospectively collected from all patients. Bacterial V3~V4 region of 16s rDNA from each stool sample were amplified and sequenced.

**Results.** The postpartum gut microbiota colonization started to diverge among NEC, LOS and their matched control groups, from the second week after birth. Late-onset sepsis infants held the least diversified gut microbiota (Shannon index=1.66), with the control group held the most diversified one (Shannon index=0.88,  $p=0.01$ ). Potentially pathogenic genus *Enterococcus* (20.86%) and *Staphylococcus* (8.67%) were prominent in NEC patients and *Klebsiella* (42.15%) in LOS group. Both two groups addressed lower proportion of *Lactococcus* (7.98% and 13.76% in NEC and LOS group, respectively) than the control group (3.66%).

**Conclusions.** After-birth colonization pattern of gut microbiome might predispose preterm newborns to necrotizing enterocolitis or late-onset sepsis, in which reduced diversity of the whole microbiota community and potentially pathogenic genus could have played an essential role in disease progression. Still, more studies are needed to identify etiological strains, underlying mechanisms and correspondent microbial patterns.

1 **Patterned progression of gut microbiota predisposes**  
2 **preterm infants to necrotizing enterocolitis and late-onset**  
3 **sepsis**

4

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## 38 ABSTRACT

39 **Background and objectives.** Gut microbiota dysbiosis is frequently observed during the course  
40 of preterm complications including necrotizing enterocolitis (NEC) and late-onset sepsis (LOS).  
41 However, specific after-birth bacterial pattern of preterm newborns with these complications  
42 hasn't been well established. Here, we firstly profiled postpartum pattern progression of intestinal  
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54 in LOS group. Both two groups addressed lower proportion of *Lactococcus* (7.98% and 13.76%  
55 in NEC and LOS group, respectively) than the control group (3.66%).

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57 newborns to necrotizing enterocolitis or late-onset sepsis, in which reduced diversity of the whole  
58 microbiota community and potentially pathogenic genus could have played an essential role in  
59 disease progression. Still, more studies are needed to identify etiological strains, underlying  
60 mechanisms and correspondent microbial patterns.

61

## 62 INTRODUCTION

63

64 Gut microbe colonization starts right after a fetus is born out of the womb (Sommer & Backhed,  
65 2013). Until the age of 1 to 2, the consortium of gut microbes developed into a relative stable  
66 microenvironment (Matamoros, Gras-Leguen, Le Vacon, Potel, & de La Cochetiere, 2013). During  
67 its colonization, its patterns are unstable and hyper variable (Rodriguez et al., 2015). **For** preterm  
68 infants, who are prone to disrupted microbiota exposure, are vulnerable to multiple preterm short-  
69 term complications, including necrotizing enterocolitis (NEC) and late-onset sepsis (LOS).

70 Necrotizing enterocolitis (NEC), as one of the most devastating gastrointestinal conditions in  
71 newborn infants, has been studied long for its etiology. The fact that preterm infants account for a  
72 large portion of NEC patients (Rees, Eaton, & Pierro, 2010) lead to the hypothesis that relatively  
73 immature intestinal epithelial integrity, disrupted barrier function and intestinal microbiota  
74 dysbiosis are causative for NEC onset (Halpern & Denning, 2015). Moreover, the fact that germ-  
75 free animals do not develop necrotizing enterocolitis also implicates the role of intestinal dysbiosis  
76 during the course of the disease (Morowitz et al., 2010; Musemeche, Kosloske, Bartow, &  
77 Umland, 1986).

78 Due to its multifactorial pathogenesis, it remains elusive for physicians to perform primary  
79 prevention in time before recognizing the very early signs and symptoms (Chen, Chung, Chang, &  
80 Lin, 2014). Although previous clinical studies have implicated dysbiotic status within the intestine  
81 of preterm infants (Hosny, Cassir, & La Scola, 2017; Rozé et al., 2017; Sim et al., 2015;  
82 Underwood et al., 2014), progressive effects of the microbiota on disease onset are still unknown.  
83 So far, three studies have explored the fecal microbiota in premature infants preceding NEC onset,  
84 especially in VLBW infants (Mai et al., 2011; Warner et al., 2016; Zhou et al., 2015). Mai et al.  
85 detected an increase in the *Proteobacteria* and a decrease in the *Firmicutes* phyla during three to  
86 seven days before NEC onset (Mai et al., 2011). Zhou et al. found a relatively higher abundance  
87 of *Clostridium* and *Gamma-Proteobacteria* in the proximity of NEC during early and late onset,  
88 respectively (Zhou et al., 2015).

89 Besides, increasing evidence is showing that altered intestinal flora influence enteric  
90 infections (Sekirov & Finlay, 2009), and are associated with higher prevalence of septic  
91 complications including bacteremic enteritis and higher risk of mortality in patients with systemic  
92 inflammatory response syndrome (Shimizu et al., 2011). In preterm infants, an overgrowth of  
93 certain bacterial genera that overlap with the causative genera of the condition has been reported  
94 in the intestine prior to late-onset sepsis (LOS) (Stewart et al., 2017). Dysregulation of the immune  
95 system could interact with the local gut microbiome (Sekirov & Finlay, 2009), so that we  
96 hypothesize that late-onset sepsis in preterm infants could correlate with gut microbiota dysbiosis.  
97 The human microbiome project, with the help of advanced sequencing (Fraher, O'Toole, &  
98 Quigley, 2012; Gevers, Pop, Schloss, & Huttenhower, 2012), and machine learning in genetics  
99 and genomics (Libbrecht & Noble, 2015) have enabled quantitative and comprehensive analyses  
100 of uncultivable intestinal bacteria (Saxena & Sharma, 2016).

101 Although early recognition and aggressive treatment of these two prematurity related short-term  
102 complications have improved over decades, it still accounts largely for long-term morbidity and  
103 mortality in newborn infants. The aim of our study was to describe, analyze and compare after-  
104 birth gut microbiome pattern of preterm infants who subsequently developed NEC or LOS, in  
105 order to determine the pathogenesis and etiology of these conditions.

106

## 107 **MATERIALS & METHODS**

108

### 109 *Ethics*

110

111 This study was approved by the joint committee of ethics of Shanghai Children's Medical Center,  
112 School of Medicine Shanghai Jiao Tong University (SCMCIRB-K2013022). Detailed written  
113 informed consent was obtained from the parents prior to fecal sample collection.

114

### 115 *Patients*

116

117 Preterm infants with gestational age less than 33 weeks were enrolled in the study shortly after  
118 birth at the Neonatal Intensive Care Unit (NICU) in Shanghai Children's Medical Center from July  
119 2013 to December 2014. The exclusion criteria were 1) early-onset sepsis, 2) hepatic diseases, 3)  
120 renal impairment ( $Cr > 88\mu\text{M}$ ), 4) intestinal obstruction, 5) in foreseeable need of large  
121 cardiovascular or abdominal surgeries (except for male circumcision or PDA ligation), 6)  
122 estimated parenteral support to supply over 50% of daily caloric intake for more than four days,  
123 7) given intravenous antibiotics administration (except prophylactic regimen of cefotaxime,  
124 piperacillin-tazobactam and/or metronidazole), 8) oral antibiotics administration, 9) grossly  
125 bloody stools at admission, and 10) over five days old.

126 Every infant was prospectively inspected and assessed for systemic, abdominal and radiographic  
127 signs, and diagnosed and classified based on the modified Bell staging criteria (Bell et al., 1978).  
128 NEC was diagnosed as Stage II, with radiographic intestinal dilation, ileus, pneumatosis  
129 intestinalis, and/or absent bowel sounds with or without abdominal tenderness, and/or mild  
130 metabolic acidosis and thrombocytopenia. LOS was diagnosed if the infant had a positive  
131 hemoculture or other suspicious loci of infection after 72 h of life, with septic signs/symptoms  
132 reviewed independently by at least two neonatologists, and had been treated with advanced  
133 antibiotics (e.g., Meropenem) after diagnosis. Infants with no infectious complications or sepsis  
134 were regarded as controls.

#### 135 *Sample collection and handling*

136 Fecal samples were collected from the infants beginning with their neonatal meconium till  
137 discharge. Although we intended to collect fecal samples on a daily basis, due to working shifts  
138 and flexible clinical scheduling, we set seven days as the maximum interval between two  
139 collections from every infant. Every sample was collected within 2 h of defecation, either from the  
140 diaper or directly from around the perianal skin surface with a sterile spatula. The samples were  
141 immediately placed in a cryogenic vial on dry ice and stored at  $-80\text{ }^{\circ}\text{C}$  within 30 minutes without  
142 additives before extraction.

143

#### 144 *DNA extraction and 16s rRNA sequencing*

145

146 Microbial DNA was isolated from each fecal specimen using the E.Z.N.A.® Soil DNA Kit (Omega  
147 Bio-Tek, Norcross, GA, U.S.) according to manufacturer's protocols. The concentration and purity  
148 of the DNA were determined by NanoDrop 2000 UV-vis spectrophotometer (Thermo Scientific,  
149 Wilmington, USA), and the DNA quality was checked by 1% agarose gel electrophoresis. The V3-  
150 V4 hypervariable regions of the bacterial 16S rRNA gene were amplified from each sample using  
151 bacterial/archaeal primers 338F (5'-ACTCCTACGGGAGGCAGCAG-3') and 806R (5'-  
152 GGACTACHVGGGTWTCTAAT-3') using thermocycler PCR system (GeneAmp 9700, ABI,  
153 USA). The PCR reactions were as follows: 3 min of denaturation at  $95\text{ }^{\circ}\text{C}$ , 27 cycles of 30 s at  $95\text{ }^{\circ}\text{C}$ ,  
154  $30\text{ s}$  annealing at  $55\text{ }^{\circ}\text{C}$  and  $45\text{ s}$  elongation at  $72\text{ }^{\circ}\text{C}$ , and a final extension at  $72\text{ }^{\circ}\text{C}$  for 10 min.  
155 The PCR reactions were performed in triplicate, with each  $20\text{ }\mu\text{L}$  mixture containing  $4\text{ }\mu\text{L}$  5X  
156 FastPfu Buffer,  $2\text{ }\mu\text{L}$  2.5 mM dNTPs,  $0.8\text{ }\mu\text{L}$  of each primer ( $5\text{ }\mu\text{M}$ ),  $0.4\text{ }\mu\text{L}$  FastPfu Polymerase



157 and 10 ng template DNA. The PCR products were extracted from a 2% agarose gel and further  
158 purified using the AxyPrep DNA Gel Extraction Kit (Axygen Biosciences, Union City, CA, USA),  
159 and quantified using QuantiFluor™-ST (Promega, USA) according to the manufacturer's  
160 protocols.

161 Equimolar amounts of purified amplicons were pooled and paired-end sequenced ( $2 \times 300$ ) on an  
162 Illumina MiSeq platform (Illumina, San Diego, USA) according to the standard protocols of  
163 Majorbio Bio-Pharm Technology Co. Ltd. (Shanghai, China). The reads were de-multiplexed  
164 using the Illumina software, and separate FASTQ files were generated for each specimen and  
165 deposited to the Sequence Read Archive NCBI under the BioProject accession No. PRJNA470548  
166 (<https://www.ncbi.nlm.nih.gov/bioproject/PRJNA470548>).

167

### 168 *Data processing*

169

170 Raw FASTQ files were de-multiplexed, quality-filtered by Trimmomatic and merged by FLASH  
171 using the following criteria: 1) truncated reads at any site receiving an average quality score <20  
172 over a 50 bp sliding window, 2) maximum 2 nucleotide mismatching of primers, with removal of  
173 reads containing ambiguous bases, and 3) sequences with longer than 10 bp overlap. Operational  
174 taxonomic units (OTUs) were clustered with 97% similarity cutoff using UPARSE (version 7.1  
175 <http://drive5.com/uparse/>), and chimeric sequences were identified and removed using UCHIME.  
176 The taxonomy of each 16S rRNA gene sequence was analyzed by RDP Classifier algorithm  
177 (<http://rdp.cme.msu.edu/>) against the Silva (SSU123) 16S rRNA database using confidence  
178 threshold of 70%.

179

## 180 **RESULTS**

181

### 182 *Patient and sample characteristics*

183

184 A total of 1148 pre-term infants were admitted from July 2013 to December 2014, of which five  
185 developed NEC during that period; the incidence rate of 4.4% is in accordance with the overall  
186 rate (Llanos et al., 2002). One hundred and thirty infants met the criteria of our study, and 1698  
187 samples were collected from them. Finally, 24 well-sampled infants, including four with NEC (2  
188 in stage IIA and 2 in stage IIB), three with LOS, and 17 matched controls (Table S1) were selected,  
189 and a total of 192 samples were characterized using 16S rRNA sequencing. The mean gestational  
190 age of the infants was 30.5 weeks (28 to 33 weeks) and mean birth weight was 1440 g (945g to  
191 1950g). There were three females and one male in the NEC group, two females and one male in  
192 the LOS group, and nine females and eight males in the Control group. All infants were delivered  
193 by cesarean section and fed on infant formula. The average NEC onset time was 16 days after birth  
194 (11 to 19 days) and the average day of life when diagnosed with LOS was 12 days. A demographic  
195 comparison of the three groups (Table 1) showed no significant difference in terms of gestational  
196 age, birth weight and gender.

197 Once NEC was suspected, the infant was immediately given supportive care and antibiotic therapy.  
198 Supportive care included bowel rest with cessation of enteral feeding, TPN, fluid replacement,  
199 correction of metabolic acidosis, etc. The empiric antibiotic combination used in NICU to prevent  
200 foreseeable concomitant bacteremia is piperacillin-tazobactam, cefotaxime, and metronidazole.  
201 Three infants recovered and restarted their enteral feeding after 28 and 15 days management,  
202 respectively. One infant died of NEC after her family consented to terminate medical treatment  
203 and declined surgical intervention (FIG. 1).

204 One infant from the LOS group was diagnosed with *Klebsiella pneumoniae* bacteremia based on  
205 the positive results of bacterial hemoculture and was given meropenem for 21 days. Another infant  
206 was diagnosed with *K. pneumoniae* and *Pseudomonas aeruginosa* bacteremia and given  
207 meropenem for 38 days. The third newborn given meropenem for 13 days since he did not react  
208 well to cefotaxime.

209 No patient was administered with probiotics before or during hospitalization.

210

### 211 *Taxonomic Analysis*

212

213 In order to determine the causative species of NEC and LOS, and compare the abundance of  
214 different bacteria in the three groups, we analyzed their microbiota composition at the OTU,  
215 phylum, class, order, family, and genus level. The control group had the maximum OTU count of  
216 933, indicating greater bacterial diversity under relatively healthy conditions. The least diversified  
217 intestinal microbiota was in the LOS group (OTU counts = 567), suggesting a significant impact  
218 of advanced antibiotics on the diversity of gut intraluminal micro-environment (Table 2.)

219

220 Although *Firmicutes*, *Proteobacteria*, and *Actinobacteria* were the dominant phyla along the  
221 intestinal epithelium in all three groups, the mean relative abundance of *Firmicutes* was the highest  
222 in the NEC group (59.79%) compared to the other two groups (39.54% in the LOS group and  
223 44.88% in the control group) (FIG. 2, Dataset S2.a). The *Actinobacteria* abundance in the NEC  
224 group (1.10%) was similar to that of the LOS group (0.63%), both of which were lower compared  
225 to that in the control group. In contrast, *Proteobacteria* abundance was lower in the NEC group  
226 compared to the other two groups.

227

228 *Klebsiella*, *Enterococcus*, and *Lactococcus* were the most prominent genera across the three  
229 groups (FIG. 3, Dataset S2.b). *Klebsiella* abundance was highest in the LOS group (42.5%), which  
230 is plausible since it is the causative pathogen (Table S1.) On the other hand, the NEC group had  
231 the highest abundance of *Enterococcus*, *Streptococcus* and *Staphylococcus*, representing 20.86%,  
232 8.67% and 9.01% of all OTUs, respectively. Furthermore, the probiotic *Lactococcus*, along with  
233 *Staphylococcus* and *Pseudomonas*, were the least abundant in the LOS group (one way ANOVA,  
234  $p = 0.0006$ ), while the pathogenic *Escherichia-Shigella* was the most abundant group (12.99%),  
235 although the difference was weakly significant (one-way ANOVA,  $p = 0.11$ ) (Dataset. S2.b).

236

### 237 *Longitudinal Bacterial Colonization Variation within and among Three Groups*

238 We analyzed the overall gut microbiome composition of the three groups on a weekly basis using  
239 the principal coordinate analysis (PCoA) of weighted UniFrac distances to compare their  
240 diversities. The intestinal microbiota significantly differed overall between the groups (FIG.  
241 **S1a~c**, a. Anosim,  $r=0.40$ ,  $p=0.001$ ; b. Anosim,  $r=0.36$ ,  $p=0.001$ ; c. Anosim,  $r=0.40$ ,  $p=0.001$  ),  
242 which was consistent with previous studies (Moles et al., 2013).

243

244 Cross-sectional comparison of the three groups, as well as between any two groups, showed that  
245 the gut microbiota did not differ significantly before the 14th and after the 21st day of life. From  
246 the 14th to 21st day postnatally, the first and second principal coordinates accounted for 71.54%  
247 and 8.61% of the inter-sample variance, respectively (FIG. 4a, b, d, and e, a. Anosim,  $r=0.02$ ,  
248  $p=0.797$ , b. Anosim,  $r=0.12$ ,  $p=0.079$ , d. Anosim,  $r=0.21$ ,  $p=0.087$ , e. Anosim,  $r=0.11$ ,  $p=0.183$ ).  
249 The phylogenetic composition of the intestinal microbiota also differed significantly among the  
250 NEC, LOS and control groups during the third week after birth (FIG. 4c, Anosim  $r=0.32$   $p=0.001$ ),  
251 suggesting the **likely association of microbial pattern and the onset of NEC**. Furthermore, the  
252 comparison of the bacterial composition of the NEC and control groups showed significant  
253 differences from the 21st to 28th day of life (**FIG. S2**, ANOSIM  $r=0.27$ ,  $p=0.030$ ), indicating  
254 persistent dysbiosis after the disease onset, although the divergence after the 28th day of life was  
255 **less significant** (Anosim,  $r=0.22$ ,  $p = 0.052$ ). Considering the potential influence of individual  
256 differences, we also compared the microbiome composition of singular cases using PCoA on a bi-  
257 weekly basis and found a significant chronological pattern of intestinal microbiome after birth for  
258 three NEC infants (FIG. 5a~d; a. Anosim,  $r=0.36$ ,  $p=0.01$ , b. Anosim,  $r=1.00$ ,  $p=0.035$ , c. Anosim,  
259  $r=0.610$ ,  $p=0.014$ , d. Anosim,  $r=0.09$ ,  $p=0.800$ ).

260

## 261 **DISCUSSION**

262 More than 10 trillion microbes reside in the human intestinal epithelia (Ley, Peterson, & Gordon,  
263 2006), which shapes many aspects of human health (Sekirov, Russell, Antunes, & Finlay, 2010).  
264 The disruption of the intestinal microenvironment might hinder this homeostasis and result in  
265 various disease including obesity (Liu et al., 2017), IBD (Ley et al., 2006), cardiovascular diseases  
266 (Z. Wang et al., 2011), as well as mental disorders (Rogers et al., 2016), among others. Although  
267 evidence is still lacking regarding the long-term impact of early bacterial colonization on human  
268 health, it is still a valuable parameter in elucidating newborns' health, or alternatively their  
269 predisposition to diseases. So far, **little** studies have focused on either NEC or LOS in adults, and  
270 **that** on systemic inflammation or septic conditions are limited. The most recently identified  
271 causative genus of NEC is *Clostridium* (Hosny et al., 2017). However, no specific pathogen has  
272 been implicated in its etiology, and a 2013 report suggested that early dysbiosis during 4–9 days  
273 of life may be strongly involved in NEC pathophysiology (Morrow et al., 2013). Therefore, instead  
274 of searching for a single pathogen, it is more logical to look for bacterial patterns to provide new  
275 insights into their etiology.

276 In this study, we described and compared the chronological postnatal intestinal microbiota of  
277 subsequently developed NEC and LOS patients and their matched controls. We sequenced 16S  
278 rDNA from a total of 192 intestinal specimens: 46 from the NEC patients, 42 from the newborns  
279 with LOS, and 103 from the control group. A total of 7, 472, and 400 sequences were generated  
280 using the Illumina-MiSeq platform for all samples and helped detect rare OTUs that would have  
281 been missed with less extensive sequencing platforms.

282 In contrast to an early study, which indicated an abundance of *Proteobacteria* during NEC onset  
283 in the preterm infants, our data showed high abundance of *Firmicutes* (59.79%) in NEC patients  
284 while *Proteobacteria* in the control and LOS groups. In addition, NEC patients addressed the  
285 highest mean abundance of *Enterococcus* and *Staphylococcus*, and increasing abundance of  
286 *Klebsiella* and *Staphylococcus* compared to the control group within 1–3 and 3–7 days,  
287 respectively, prior to the onset (FIG. S3). These findings indicate a possible role of the potentially  
288 pathogenic *Staphylococcus* genus in the pathogenesis of NEC along with conventional pathogenic  
289 species such as *S. aureus* and *S. haemolyticus*. The trend of increasing abundance of *Klebsiella*, a  
290 gram-negative genus, indicated a role of LPS, which is a ligand for TLR-4 and facilitates bacterial  
291 transcytosis in Caco-2 cells in vitro (Panigrahi et al., 1996) and increases bacterial translocation  
292 (Deitch, Berg, & Specian, 1987).

293  
294 In addition, prominent *Enterococcus* in the LOS group suggests a considerable dysbiogenesis  
295 impact of advanced antibiotic therapy. Although the exact microbiota composition in sepsis  
296 remains to be elucidated through animal studies (Hand et al., 2012; Sekirov & Finlay, 2009), the  
297 mechanisms underlying sepsis, immunological responses, and microbiota disruption and their  
298 consequences may facilitate our understanding toward sepsis progression and help developing  
299 strategic prophylactic solutions. In a clinical study on adults, a decrease in total obligate anaerobes  
300 and an increase in pathogenic bacteria in the gut were associated with higher septic complications  
301 and mortality in patients with SIRS (Shimizu et al., 2011). Although our relatively small sample  
302 size showed only limited evidence of the involvement of a specific strain in sepsis, it is noteworthy  
303 to illustrate the host-microbiota-pathogen interplay in pediatric patients with sepsis.

304 Earlier reports have shown postpartum colonization of intestinal microbiota in preterm infants  
305 (Dutta, Ganesh, Ray, & Narang, 2014) and associated abnormal early colonization with hospital-  
306 related events including mechanical ventilation and antibiotic therapy (Moles et al., 2013).

307 Another study found that the rate of colonization and abrupt population changes in the gut  
308 microbiota of preterm infants might be a result of the birthing mode, type of feeding, and  
309 gestational age. A succession of bacterial classes starting from *Bacilli*, *Gammaproteobacteria*, to  
310 *Clostridia* has been observed in preterm infants (La Rosa et al., 2014), and was also seen in most  
311 of our study subjects including the LOS patients (FIG. S4). We corroborated the postnatal  
312 bacterial colonization pattern on a weekly basis and found significant differences between the  
313 intestinal microbiota of each group. Furthermore, our data showed that intestinal microbiota  
314 differed significantly between the NEC and control groups after the 14th day of life, despite  
315 similar colonization pattern during the first 14 days after birth (FIG. 4c, Anosim  $r=0.32$ )

316 p=0.001), strongly indicating an association between dysbiosis and NEC onset. Finally, the  
317 difference in intestinal microbiota from the 21st to 28th day postnatal (<FIG. S2, ANOSIM  
318  $r=0.27$ ,  $p=0.030$ ) indicated persistent dysbiosis during NEC progression, which is consistent with  
319 previous cross-sectional studies (Y. Wang et al., 2009).

320

## 321 CONCLUSIONS

322

323 Scientists have been striving to explore the microbial etiology of NEC and sepsis for years.  
324 Although specific pathogens or microbial patterns have not been elucidated, the existing research  
325 has helped improve the clinical strategies and minimized the complications in preterm infants.

326 This study, meanwhile, is the first one which described, compared and analyzed the role of  
327 afterbirth dynamic pattern of postpartum gut microbiota in preterm infants with NEC and LOS  
328 using high-throughput sequencing. Our findings support the dysbiosis hypothesis that an “aberrant  
329 colonization development” of intestinal microbiota acts as the trigger in the progression of NEC  
330 in preterm infants.

331 Further, this study is also consistent with previous reports that disrupted gut flora is crucial for  
332 LOS progression, and antibiotics, specifically glycopeptide ones, could reduce the abundance of  
333 the gut microflora in preterm infants. This study, however, has its limitations. For instance, all  
334 infants in this study were fed on a formula diet, and thus the protective impact of human breast  
335 milk could not be evaluated. In addition, the sample size of the NEC and LOS groups was very  
336 small. Since an empirical antibiotics regime was administered to the infants, it was difficult to  
337 explain the extent to which the antibiotics affected the intestinal microbiota. Therefore, our  
338 findings still need to be validated in further studies with larger sample sizes and more prudent  
339 methodologies. Based on the current findings, future studies should include more cases for the  
340 identification of a “highly risky” microbial pattern for NEC and LOS based on metagenomic  
341 sequencing. Our study, along with others, provide a rationale for discerning the human gut  
342 microbiome in the pathogenesis of NEC and LOS in preterm infants to develop more accentuated  
343 prophylactic interventions and diagnostic tools, and more effective treatment to reduce the  
344 morbidity and severity of these conditions.

345

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351

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469



**Table 1** (on next page)

## Demographics of NEC, LOS and Control groups

There was no statistical differences in gestational age, birthweight, gender and age when diagnosed among NEC, LOS and Control group. The mean length of stay differs among the three groups, which is within our expectation because it takes longer time for NEC or LOS patients to recover. Besides, no difference was observed when it was compared between LOS and NEC group.

1. GAge: Gestational Age = mean (range);
2. BW: Birth Weight = mean (95% CI);
3. Age when diagnosed = mean (range);
4. Gender = number (%);
5. Length of Stay = mean (95% CI).

1

2 **Table 1. Demographics of NEC, LOS and Control groups.**

3 There was no statistical differences in GA, BW, gender and diagnosing age among NEC, LOS  
 4 and Control group. The mean length of stay differs among the three groups, however, no  
 5 difference was observed when it was compared between LOS and NEC group.  
 6

	NEC (n=3)	LOS (n=4)	Control (n=17)	Statistical test	p-value
<b>GAge (weeks)<sup>1</sup></b>	29.25 (29-30)	30.00 (29-31)	30.94 (28-33)	Kruskal-Wallis test	0.074
<b>BW (grams)<sup>2</sup></b>	1416.3 (773.4-2149.1)	1141.7 (633.4-1649.9)	1527.4 (1391.6-1663.1)	Kruskal-Wallis test	0.111
<b>Gender<sup>3</sup></b>				Fisher's exact test	0.822
Female	3 (75%)	2(67%)	9 (53%)		
Male	1 (25%)	1 (33%)	8 (47%)		
<b>Age when Diagnosed (days)<sup>4</sup></b>	16 (11-19)	12 (10-22)	NA	Wilcoxon rank-sum test	0.629
<b>Length of Stay<sup>5</sup> (days)</b>	54.3 (13.5-95.0)	60.0 (24.8-95.2)	32.9 (26.3-39.5)	Kruskal-Wallis test	0.046
<b>Total Number of Samples</b>	46	42	103	/	/

<sup>1</sup> GAge: Gestational Age = mean (range);

<sup>2</sup> BW: Birth Weight = mean (95% CI);

<sup>3</sup> Age when diagnosed = mean (range)

<sup>4</sup> Gender = number (%);

<sup>5</sup> Length of Stay = mean (95% CI)

**Table 2** (on next page)

Total number of taxons in three groups

The control group addressed the most taxons from phylum to species level. Taxon numbers of the LOS group is the least among three groups, indicating the least diversified intestinal microbiota in severely infected patients.

1

2 **Table 2. Total number of taxons in three groups.**

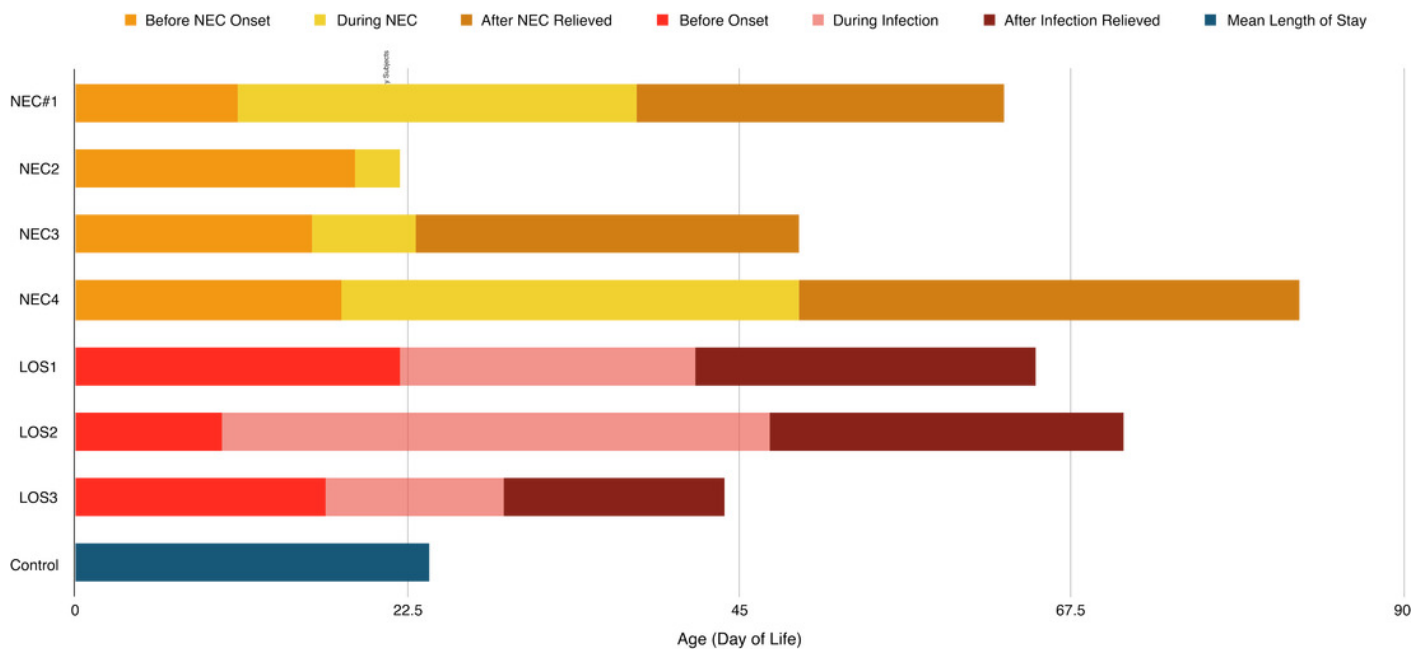
3 The control group addressed the most taxons from phylum to species level. Taxon numbers of  
4 the LOS group is the least among three groups, indicating the least diversified intestinal  
5 microbiota in severely infected patients.

	Phylum	Class	Order	Family	Genus	Species	OTU
Total	24	43	93	166	350	537	1109
NEC	18	34	72	128	271	411	744
LOS	14	26	47	96	204	315	567
Control	21	39	85	153	318	477	933

## Figure 1

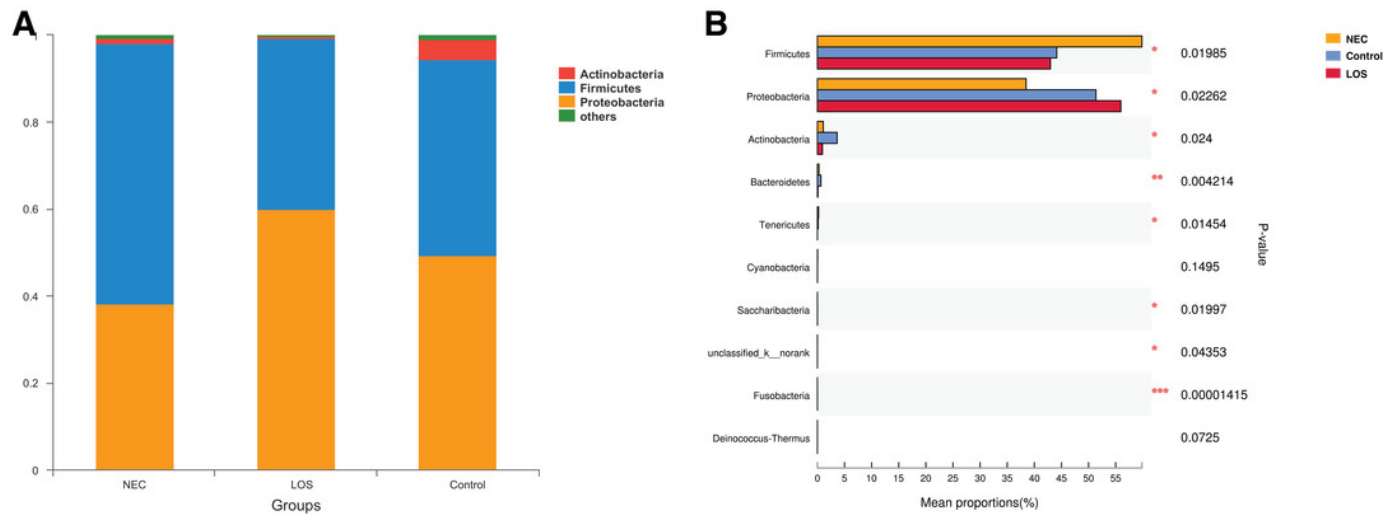
Onset and Relieving Age in NEC and LOS Groups, in comparison with a mean length of stay of Control group.

The average onset age for NEC was 16th day of life and 12th day for LOS patients. For Control group, the mean length of stay was 24 days.



## Figure 2

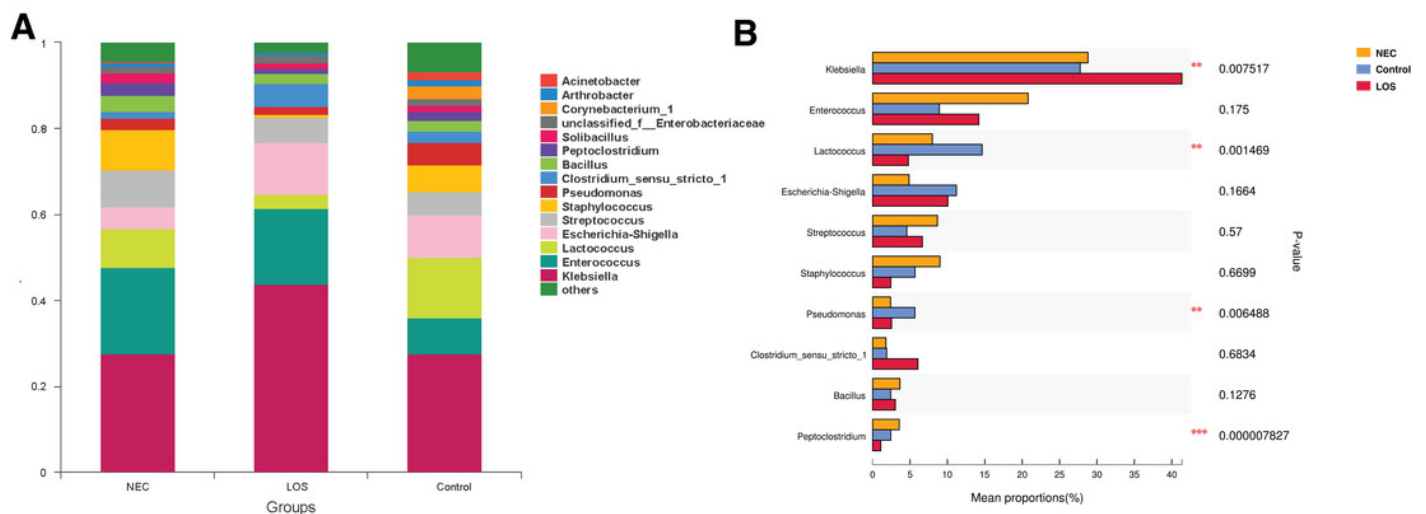
figure2



## Figure 3

Relative abundance of genus in intestinal microbiota.

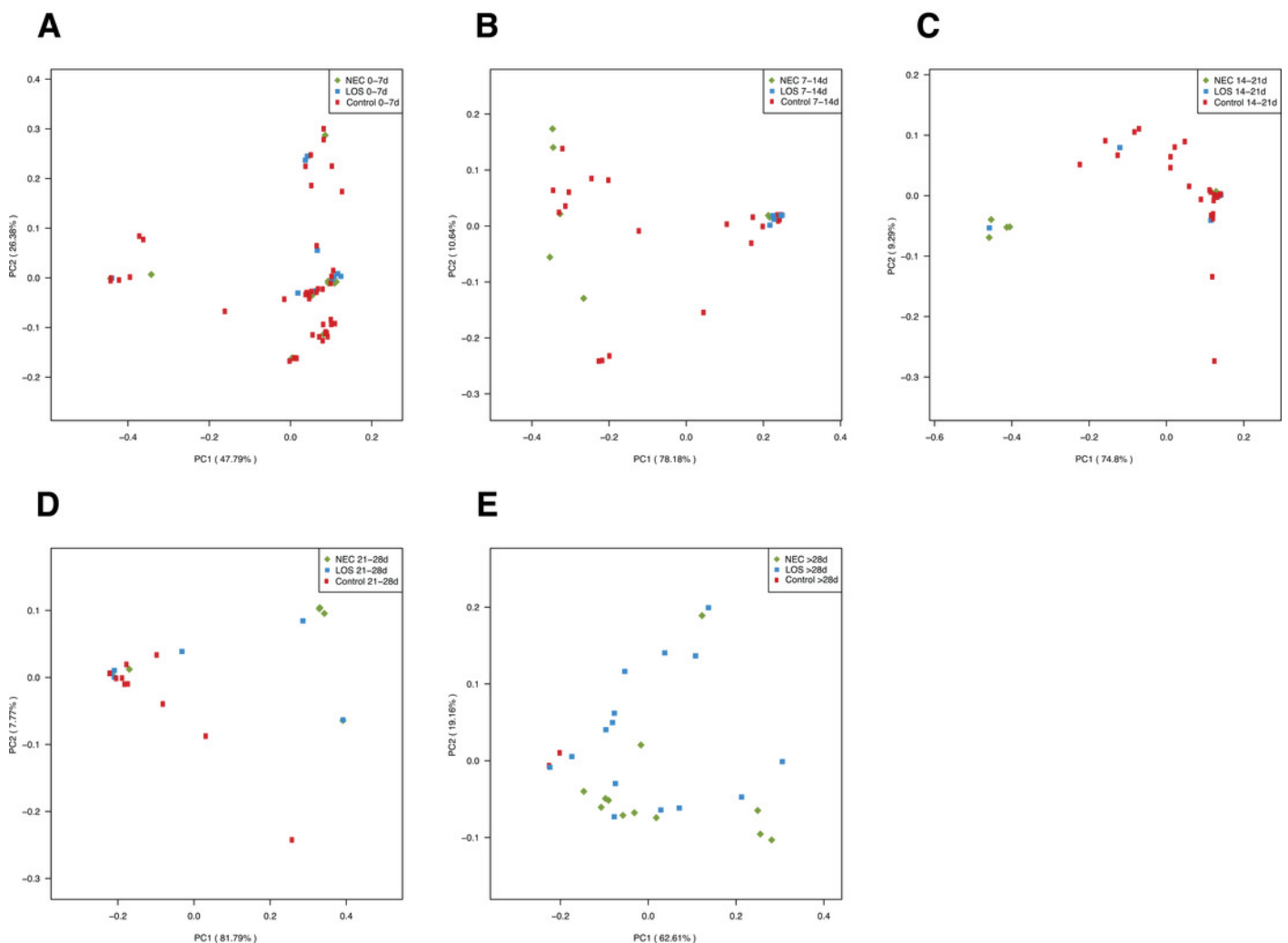
**(A)** *Klebsiella* was the most prominent genus in LOS patients (42.5%). NEC addressed the most abundant *Enterococcus* (20.86%), *Streptococcus* (8.67%) and *Staphylococcus* (9.01%) in the intestinal microbiota. **(B)** Abundance of *Klebsiella*, *Lactococcus* and *Pseudomonas* were significantly different among three groups



## Figure 4

The PCoA of microbiota colonization among the three groups on a weekly basis after birth.

The colonization patterns during the first two weeks after birth (0 to the 14th day of life) were similar among the three groups. However, from the 21st-day after birth gut microbiota colonization of NEC, LOS and the Control group differed, which was the time when most NEC occurs.





# Figure 5

The PCoA of afterbirth colonization in each NEC patient.

(A) NEC patient No. 1, (B) NEC patient No. 2, (C) NEC patient No. 3, (D) NEC patient No. 4.

