

20 **Abstract**

21 While the brainstem is in charge of the automatic control of ventilation, the cortex is involved in the
22 voluntary control of breathing but also receives inputs from the brainstem, which influence the
23 perception of breathing and the arousal state and sleep architecture in conditions of
24 hypoxia/hypercapnia.

25 We evaluated in eleven healthy subjects the effects of breath hold (BH: 30 seconds of apneas and
26 30 seconds of normal breathing) and BH-related CO₂/O₂ changes on electroencephalogram (EEG)
27 global field power (GFP) and regional field power (RFP) in 9 different areas (3 rostrocaudal
28 sections -anterior, central, posterior- and 3 sagittal sections -left, middle, right) in the δ and α bands,
29 by cross correlation analysis.

30 No significant differences were observed in GFP and RFP when comparing free breathing (FB)
31 with the BH task. Within the BH task, the shift from apnea to normal ventilation was accompanied
32 by an increase in the δ power and a decrease in the α power. The end-tidal pressure of CO₂
33 (P_{ET}CO₂) was positively correlated with the δ -band and negatively with the α - band with a positive
34 time shift, while an opposite behaviour was found for the end-tidal pressure of O₂ (P_{ET}O₂). Notably,
35 the time shift between P_{ET}CO₂/P_{ET}O₂ signals and cortical activity at RFP was heterogenous and
36 seems to follow a hierarchical activation with the δ -band responding earlier than the α band.

37 Overall, these findings suggest that the effect of BH on the cortex may follow specific ascending
38 pathways from the brainstem and be related to chemoreflex stimulation.

39

40 **New & Noteworthy**

41 We demonstrated that the end tidal CO₂ oscillation causes oscillations of delta and alpha bands.
42 The analysis of the regional field power evidenced that different cortical areas respond with
43 different time delays to CO₂ challenges. An opposite behaviour was found for the end-tidal O₂. We
44 can suppose that the different cortical time delay response likely express specific ascending
45 pathways to the cortex generated by chemoreceptor nuclei in the brainstem.

46

47 **Key words:**

48 EEG, neural pathways, respiration, hypercapnia, hypoxia, chemoreflex

49

50 **List of abbreviations:**

51 BH: Breath hold, CA: Central apnea, CCF: cross correlation function, CO₂: Carbon dioxide, CV:
52 coefficient of variation, EEG: Electroencephalography, FB: Free breathing, GFP: Global field
53 power, H₀: null hypothesis, LA: left anterior, LC: left central, LP: left posterior, MA: middle
54 anterior, MC,: middle central, MP: middle posterior, O₂: Oxygen, OSA: obstructive sleep apnea,
55 PCA: Principal component analysis, P_{ET}CO₂: End-tidal CO₂, P_{ET}O₂: End-tidal O₂, RA: right
56 anterior, RC: right central, RFP: Regional field power, RP: right posterior, SpO₂: Oxygen
57 saturation.

58 **Introduction**

59 Spontaneous breathing in mammals is a complex function under automatic control of the brainstem
60 neural network (29). This network originates in the medulla, receives inputs both from the periphery
61 and the cortex and is responsible for the background respiratory rhythm and the coupling of oxygen
62 (O_2) consumption and carbon dioxide (CO_2) production to metabolic needs, a function known as
63 chemosensitivity(19).

64 CO_2 is the primary chemical stimulus for alveolar ventilation and is mainly sensed by the central
65 chemoreceptors (70-80% of CO_2 response in condition of normoxia). These receptors are mainly
66 located in the medulla, and respond to pH and CO_2 variations, so that in condition of hypercapnia
67 they cause an increase in ventilation resetting CO_2 and pH to steady state levels. On the other hand,
68 peripheral chemoreceptors, located in the carotid bodies in humans, are mainly responsible of O_2
69 levels and the sensing of hypoxia, but also respond to CO_2 (20-30% of CO_2 response in condition of
70 normoxia) and pH variations (12, 25).

71 Beyond their effects on ventilation and the autonomic outflow, the chemoreflex is known to have
72 influences also on the cortex through specific ascending pathways (22, 39). Tracking this pathway
73 is not only physiologically but also clinically relevant, since it is involved in the perception of
74 breathing (i.e. dyspnea), alertness during wakefulness or arousability during sleep and it is
75 implicated in conditions associated with oscillatory ventilation, such as obstructive sleep apnea
76 (OSA) and central apneas (CA). Moreover, the possibility to pharmacologically or surgically
77 modulate the chemoreflex has recently emerged in sleep disorder breathing, hypertension and heart
78 failure (14, 24, 32, 36, 38, 40) and thus there might be the need to explore the effects of these novel
79 interventions on cortical activity.

80 In this respect, the effects of CO_2/O_2 variations on brain activity has been mainly explored by using
81 electroencephalography (EEG) (7, 34, 35, 49, 53, 54, 56). In humans, hypercapnia is known to
82 cause an increase in the EEG global field power (GFP) in the δ -band (1–4 Hz), as well as a
83 reduction in the α - band (8–13 Hz) (34, 35, 54, 56). This suggests that during hypercapnia, brain
84 activity resembles a low arousal state (54, 56). Similar results were observed in condition of
85 asphyxia, such as those induced by choking, in which hypercapnia is accompanied by a various
86 degree of hypoxia (41).

87 Variations in CO_2 and O_2 arterial levels may be experimentally induced by either administering
88 different gas mixtures or by voluntary breath hold (BH). Despite having also some effects on
89 cortical motor/sensory activity, BH has the advantage to be easy to perform, without requiring a

90 specific device respect to gas administration (30). BH initially requires conscious inhibition by the
91 cortex of the brainstem network, but then allow a progressive increase in CO₂ and decrease in O₂
92 mimicking the respiratory dynamics of OSA and CA (23). In those conditions, a sinusoidal increase
93 in CO₂ and decrease in O₂ is usually observed differently from the square wave increase to non-
94 physiological O₂/CO₂ values generally obtained by gas administration. However, to stress the
95 chemoreflex system in the right range of perturbation, the respiratory cycle time is fundamental,
96 since the average apnea length of OSA/CA is approximately 30 seconds (15, 16, 37). Previous
97 studies have used longer (80–225 seconds) or shorter (10 seconds) voluntary BH intervals (43, 45).
98 The cross correlation between EEG GFP in δ - band and end-tidal CO₂ (P_{ET}CO₂) during 30 seconds
99 of BH has been recently explored by our group, finding that the variation of P_{ET}CO₂ usually
100 precedes the variations observed in the GFP (34). However, by looking at GFP, it is not possible to
101 comprehend whether different cortical areas do respond to gas challenges in a different fashion.

102 This is of physiological interest, since if the cortex is responding to stimulation of the different
103 group of chemoreceptors during gas challenges some heterogeneous temporo-spatial distribution of
104 neural response is likely to occur. Indeed, different chemoreceptors usually operate around different
105 response thresholds and with different time delays and have specific neuroanatomical connections
106 with the cortex (11, 28, 31, 47). On the other hand, CO₂/O₂ changes may cause effects on cortical
107 activity by either vasodilation or direct neural activation, independently from chemoreflex
108 recruitment. If this alternative hypothesis is correct a rather uniform and homogeneous variation in
109 cortical activity is to be expected. While it is impossible to unravel this question by looking at EEG
110 GFP, the use of regional field power (RFP) analysis may instead shed light on this topic.

111 Therefore, in the current study, we aimed at studying by cross correlation analysis the cortical
112 regional variations of EEG RFP in the δ and α bands related to hypercapnia and hypoxia induced by
113 voluntary BH in healthy subjects.

114 **Material and Methods**

115 Eleven healthy subjects (all males, age 30±6 years) were recruited in the study. Six subjects derived
116 from a previous study of our group in which only EEG GFP changes in the δ - band induced by BH
117 were investigated and related to P_{ET}CO₂ (34), and thus this study it is partly a reanalysis of previous
118 data. However, a larger population was enrolled in the current study focusing this time on the
119 effects of BH on EEG RFP. Furthermore, the effects of P_{ET}O₂ and the changes observed in the α -
120 band were incorporated in the analysis, differently from our previous work.

121 A 64-electrode EEG device was used (Compumedics Neuroscan, SynAmps RT) to record brain
122 signals. Simultaneously with EEG acquisition, exhaled CO₂, O₂ and blood oxygen saturation (SpO₂)
123 were recorded with a gas analyzer (Cosmoplus®; Novametrics) and a pulse oximeter (Pulsox-7;
124 Minolta), respectively.

125 Two different tasks were performed. In the free breathing (FB) task subjects had to breathe
126 normally for 6 minutes while lying down with eyes closed. In the BH task, the subjects had to
127 breath normally for 1 minute and then alternate 30 seconds of BH performed after normal
128 inspiration to 30 seconds of normal breathing for 5 cycles, for a total of 6-minute acquisition, still
129 with eyes closed. Subjects were advised to start or stop the BH by touching their left leg. The same
130 touching procedure was used during the FB task, to control for somatosensory potential
131 confounders due to the instructions given to the subject.

132 The experimental protocol was approved by the Institutional Ethical Committee. The recordings
133 were carried out in agreement with the Declaration of Helsinki. Written informed consent was
134 obtained from all subjects.

135 **EEG analysis**

136 EEG signal analysis was already described in (34). Briefly, all channels were re-referenced to
137 average signals and channels with low Signal-to-Noise ratio were excluded from the analysis. The
138 impedance of all electrodes was checked and kept below 30 kΩ during all recordings to ensure a
139 good signal quality. EEG signals underwent baseline correction, Hann pass band filter (1-30Hz),
140 blink and cardiac artefacts detection and removal using a Principal Component Analysis (PCA)
141 method (51). The global measure of EEG power expressed as GFP and the regional distribution of
142 the EEG power in different brain areas was obtained as RFP for the δ (1-3 Hz) and α (8-13 Hz)
143 bands. Specifically, for RFP, 9 areas were extracted dividing the scalp into 3 different sections (left
144 L, middle M and right R) and further dividing into 3 rostrocaudal sections (anterior A, central C and
145 posterior P) (35).

146 **Physiological signal processing**

147 The physiological signals were processed as described in (34). Briefly, SpO₂ was used to detect
148 possible effects induced by the tasks on oxygen levels. The normal range of SpO₂ was considered to
149 lie between 95% and 100%. The exhaled CO₂ and O₂ waveforms were used to estimate the P_{ET}CO₂
150 and P_{ET}O₂ time series respectively, as an estimate of arterial CO₂ and O₂ (33). Since no exhalation
151 of CO₂/O₂ does occur during the voluntary apnea phase, the P_{ET}CO₂ and P_{ET}O₂ signals were

152 estimated by using a cubic spline model interpolating $P_{ET}CO_2$ and $P_{ET}O_2$ found before and after the
153 cessation of breathing.

154 **Cross Correlation Analysis**

155 The cross-correlation function (CCF) was used to evaluate the similarity between $P_{ET}CO_2/P_{ET}O_2$
156 and EEG power (both GFP and RFPs) as a function of different time lags. The CCFs were
157 estimated using the method previously described (46). Briefly, the peak of CCF and the
158 corresponding time lag were evaluated. In our analysis, if the maximum correlation occurred for
159 negative time shift, the EEG power signal was considered to lead the $P_{ET}CO_2/P_{ET}O_2$ signal. On the
160 other hand, if the maximum correlation occurred for positive time shift, the $P_{ET}CO_2/P_{ET}O_2$ signal
161 was considered to lead to the EEG signal. The CCF was estimated for time lags between -30 s and
162 30 s as proposed in (57). Furthermore, the weighted average CCFs were also estimated on the group
163 of subjects under study.

164 **Statistical analysis**

165 Variations in $P_{ET}CO_2/P_{ET}O_2$ and RFP between the two task (FB, BH) were estimated by comparing
166 their medians with a non-parametric Wilcoxon signed rank test (27), with the null hypothesis (H0)
167 being that the differences between FB and BH tasks came from a distribution with zero median. A
168 comparison between the phase of voluntary apnea and that of normal breathing within the BH task
169 was also performed with a non-parametric Wilcoxon signed rank test (27). In order to assess at the
170 group level how cross correlation between $P_{ET}CO_2/P_{ET}O_2$ and GFP or RFP varied between the two
171 tasks (i.e. FB, BH), we compared their weighted-average cross correlation values with a non-
172 parametric Wilcoxon signed rank test under the null hypothesis (H0) of no differences between the
173 tasks. We controlled false-discovery-rate through the Benjamini-Yekutieli correction for multiple
174 testing under dependency (4, 5). We assessed the statistical significance of cross-correlation
175 analysis by means of a phase randomization approach (48). Specifically, for each subject, we
176 generated $n=1000$ surrogates of $P_{ET}CO_2/P_{ET}O_2$, EEG δ power and α power (both global and
177 regional) under the null hypothesis of no correlation between the time-series. Specifically, such
178 surrogates preserved original time-series magnitude but with randomly distributed phase in range
179 $(0,2\pi)$. Then, we evaluated the cross-correlation between surrogate time-series. Accordingly, at
180 regional analysis we obtained for each scalp region (s), for each frequency (f) and for each time-lag
181 (t) a surrogate distribution of cross-correlation under the null-hypothesis of absence of correlation.
182 Then, we associated to each observed cross-correlation (s,f,t) a p-value based on its position in the
183 surrogate distribution. The same procedure was repeated for GFP analysis for each frequency and

184 for each time-lag. Finally, we controlled multiple testing ($\alpha=0.05$) with the False-Discovery-Rate
185 procedure described (4, 5). Accordingly, we obtained the critical *p-value* at which tests were
186 considered significant.

187

188 **Results**

189 An oscillatory behaviour with larger variations in both $P_{ET}CO_2$ and $P_{ET}O_2$ was documented during
190 BH as compared to FB (coefficient of variation, CV, for $P_{ET}CO_2$: BH 7.1% versus FB 2.2%,
191 $p=0.001$; CV for $P_{ET}O_2$: BH 8.8% versus FB 2.6%, $p=0.008$). No significant changes were instead
192 observed in the SpO_2 signal between the 2 tasks (CV for SpO_2 , FB: 1.1% versus CV BH; 0.7%,
193 $p=0.11$), and thus $P_{ET}O_2$ rather than SpO_2 was used for subsequent analyses.

194 The signal behaviour during FB and BH tasks in a sample subject for GFP in δ and α bands, $P_{ET}CO_2$
195 and $P_{ET}O_2$ is shown Figure 1S (<https://doi.org/10.6084/m9.figshare.12040578>), while the GFP
196 average values in the whole group of subjects between FB and BH and, within the BH task,
197 between the phases of apnea and normal breathing are reported in Table 1S
198 (<https://doi.org/10.6084/m9.figshare.12040578>). The time courses of the CCFs estimated at group
199 level for GFP during FB and BH tasks for $P_{ET}CO_2$ and $P_{ET}O_2$ are shown in Figure 2S and Table 2S
200 and Figure 3S and Table 3S, respectively (see <https://doi.org/10.6084/m9.figshare.12040578>). As
201 for $P_{ET}CO_2$, a positive correlation with the δ band and a negative correlation with the α band were
202 observed for a positive time shift, while the opposite behaviour was instead observed for $P_{ET}O_2$.

203 **Spectral maps and regional field power analysis**

204 When comparing FB with the BH task considered as a whole, no significant differences were
205 observed in the EEG spectral maps (Table 1 and Figure 1). Conversely, within the BH task, an
206 increase in the δ power and a decrease in the α power was observed after the apnea phase (Table 1
207 and Figure 1). More precisely at the spectral maps, the same behaviour was observed in all regions
208 but RA and RC in the δ -band, and LA, RA, RC and RP in the α - band (Table 1 and Figure 1).
209 Each one of the 9 regions included in the EEG analysis had at least 2 channels, since the average
210 number of electrodes removed from the analysis was $3 \pm SD$, and the spatial distribution of
211 excluded electrodes was sparse.

212 The CCFs for the 9 cortical areas during FB and BH tasks for both the δ and α bands are shown in
213 Figure 2 for $P_{ET}CO_2$ and in Figure 3 for $P_{ET}O_2$. During FB, the CCFs between $P_{ET}CO_2$ and RFP
214 and $P_{ET}O_2$ and RFP were not significant. On the contrary, within the BH task, the CCF between

215 P_{ETCO_2} and RFP was found to be positive in the δ band and negative in the α band for positive time
216 shifts in all regions but RP for the δ band (not significant) and RA, RC and RP for the α band
217 (positive correlations) (Table 2 and Figure 2b). The CCF between P_{ETO_2} and RFP was found
218 instead to be negative in the δ band and positive in the α band for positive time shifts in all cases but
219 RA and RP for the δ band (positive correlations) (Table 3 and Figure 3b).

220 Notably, a different phase shift in the P_{ETCO_2} concentration waveform and the EEG power
221 waveform was observed in the different cortical regions (Video S1 see
222 <https://doi.org/10.6084/m9.figshare.12040578>). In particular, in the δ band an earlier activation in
223 the MA and MC (2 seconds of delay) was observed, with the LA, LC e MP showing the highest
224 EEG delay (ranging from 7 to 9 seconds) . In the α band, an even more heterogeneous behaviour of
225 cortical time responses to P_{ETCO_2} variations among different regions was observed, with the right
226 regions (RA, RC, RP) usually showing negative time delays and positive correlations, differently
227 from the medial and left regions showing instead positive time delays and negative correlations. In
228 the latter regions, a longer time shift and a lower time dispersion was documented in the α band as
229 compared to the δ band (range 14-16 seconds vs 2-9 seconds) (Figure 2b, Table 2). A similar trend
230 with an opposite sign was observed for CCFs between P_{ETO_2} and RFP (Video S2 see
231 <https://doi.org/10.6084/m9.figshare.12040578>) (Figure 3b, Table 3).

232 Discussion

233 In this study, the cortical responses to BH were evaluated in healthy subjects, both globally
234 (average across all electrodes) and, for the first time, in nine different regions (3 rostrocaudal
235 sections -anterior, central, and posterior- and 3 sagittal sections -left, middle, and right) for 2
236 frequency bands of interest (i.e. δ and α bands). No significant changes were observed in the
237 cortical activity by comparing FB to BH, but, within the BH manoeuvre, a significant variation was
238 observed by comparing the apnea phase with the normal ventilation phase. Notably, P_{ETCO_2} was
239 positively correlated with the δ -band and negatively with the α - band (apart from the right regions)
240 for positive time shifts, while P_{ETO_2} was negatively correlated with the δ -band and positively
241 correlated with the α - band. This is logical considering the counter phase oscillation of P_{ETCO_2} and
242 P_{ETO_2} during the two phases of BH. Most importantly, a different time shift between P_{ETCO_2} and
243 P_{ETO_2} envelopes and the EEG RFP signal in the 9 cortical regions was observed, suggesting that the
244 effect of BH on the cortex may follow specific ascending pathway from the brainstem due to
245 chemoreflex stimulation.

246 Although coherent and significant trends were observed across all subjects, we reported only the
247 results of the analysis at group level, which are more consistent, considering the simulated test
248 results (34) and the observed percentage of missing data segments in each subject. Our findings are
249 in line with previous studies, in which an increase in the δ band and a reduction in the α band was
250 found throughout the whole brain in hypercapnic condition (54, 56). Similar findings were also
251 observed in patients with spontaneous apneas, such as patients with OSA and CA (17, 50)
252 Interestingly, in the study by Wang and colleagues (54), three different conditions were compared:
253 1) hyperoxic-hypercapnia; 2) hypoxic-hypercapnia; 3) normocapnic-hypoxia. Both hyperoxic-
254 hypercapnia and hypoxic-hypercapnia led to an increase in the δ -band power and to a decrease in
255 the α - band, without any significant difference between the two trials. Most notably, hypoxic-
256 normocapnia had no effect on the two bands. These findings suggest that CO₂ rather than O₂ seems
257 the main driver of EEG changes also during BH.

258 Considering that BH is a complex task, which involves, beyond task-related oscillations in the
259 respiratory gases, also a change in the motor and sensory cortical activity, we cannot exclude that
260 the observed changes may be due to the task commitment rather than the observed gas variations.
261 However, considering that similar results were obtained by gas administration (54, 56) and
262 observed in spontaneous apneas (17, 50), this potential interpretation seems less likely, although it
263 cannot be completely excluded especially when RFP analysis is taken into consideration.

264 In some specific areas associated with task engagement, that are usually in the right hemisphere (2,
265 55) and in the α band, which is commonly associated with higher arousal state (56), the results may
266 be partially influenced by the task. However, the sinusoidal shape perfectly following the CO₂/O₂
267 behaviour observed at the cross-correlation analysis even at RFP analysis seems again to conflict
268 with this possible interpretation, at least with spatio-temporal resolution of the study. A way to
269 explore this topic would be to ask the subject to think about performing a BH without actually
270 doing it (no gas changes) or to perform the phase of normal breathing imposing a paced rhythm
271 (both apnea and normal ventilation under voluntary control). Furthermore, focusing on specific
272 areas known to be associated with task commitment and using high resolution EEG may be of
273 additive value in this respect.

274 The main novelty of the current study is surely represented by the analysis of RFP, that has never
275 been performed so far neither in BH studies, nor in experiments involving gas administration. This
276 kind of analysis may help us to understand another relevant issue. Indeed, it is still not completely
277 clear whether the cortical activation, which follows a gas challenge would be mediated by the
278 chemoreflex or related by a direct effect of hypercapnia or hypoxia on cortical neurons. Potentially

279 a change in the EEG activity may also derive from the vasodilatory effect due to hypercapnia and
280 hypoxia. If the latter two hypotheses were correct, a rather uniform and homogeneous change in
281 cortical activity would have emerged. On the contrary, both looking at the spectral maps and the
282 RFP-related cross correlations a heterogeneous temporo-spatial distribution was found.

283 Another novelty of this study stands in the analysis of the temporal distribution of RFP responses to
284 to BH. Specifically, following an increase in $P_{ET}CO_2$ the first cortical areas which showed an
285 increased activity were the middle central and middle anterior, with the wave of cortical activation
286 then irradiating to other more lateral and posterior areas (see also Video S1
287 <https://doi.org/10.6084/m9.figshare.12040578>). The temporal trends observed in the δ band are
288 biologically plausible considering the neuroanatomy of the ascending pathways originating from the
289 brainstem neural network (1, 9, 11, 28). The time delay must be interpreted as a phase shift
290 between the CO_2 waveform and the EEG waveform. While for the δ band the time shift ranges from
291 2 to 9 seconds, the time shift is usually longer and narrower (14-16 seconds) for the α - band and
292 might thus reflect a secondary variation from a hierarchical standpoint.

293 Finally, the correlation between $P_{ET}CO_2/P_{ET}O_2$ and cortical activity is almost completely lost during
294 FB across the different regions of interest. At most, the sign of the correlation (generally weak) is
295 reverted in some cortical regions as compared to BH. Indeed during wakefulness and in FB
296 conditions, the pre-Bötzinger complex in brainstem acts as the pacemaker of respiration controlling
297 respiratory motoneurons, respiratory muscles and finally pulmonary ventilation, and it is poorly
298 influenced by the chemoreflex (21). Therefore, any cortical activity related to e.g. speaking, eating,
299 or emotions (descending pathways) may cause variations in ventilation and, thus, in CO_2 and O_2
300 operating on the plant (lung) gain (26).

301 **Study limitations**

302 EEG channel impedance was kept below 30 k Ω on average across subjects. This value is relatively
303 high compared to the typical values, usually set below 10 k Ω . However, with modern high input-
304 impedance amplifiers and accurate digital filters for power line noise, it has been demonstrated that
305 high-quality EEG can be successfully recorded with impedance values up to 40 k Ω (20). Thus,
306 considering the high input impedance (> 10 G Ω) of our EEG system, and the homogeneity of the
307 EEG signal across the different electrodes of the EEG cap for each subject, we are confident that the
308 signal was accurately captured at the scalp surface. Furthermore, considering the group under study,
309 all subjects had similar values of impedance, and we observed coherent cross correlation courses.
310 Finally, the quality of EEG signals was confirmed by highly experienced neurologists (MM, EB).

311 The circulation delay related to the increase in venous CO₂ (metabolism), the transit through the
312 lung, the delivery to the central nervous system and the diffusion into the cerebrospinal fluid was
313 not taken into account in this study. Indeed, this information is difficult to obtain in humans in vivo.
314 Our group is currently developing novel methods to assess the circulatory time delay (unpublished
315 data) in humans. These methods could be used in the future to correct for differences in cardiac
316 output, especially when moving to patients in whom a greater variability in cardiac hemodynamic
317 and circulatory delay is likely to occur. Moreover, the analysis of subcortical areas by deep source
318 analysis or functional magnetic resonance imaging may help to understand some of these relevant
319 questions.

320 Finally, in our study we limited our observation to the effects of voluntary BH on GFP and RFP.
321 We have not considered the motor component of the task and other possible effects such as
322 respiratory sensation that includes air hunger, chest tightness, effort of breathing, an urge-to-cough,
323 urge-to-sneeze, sense of suffocation (13). Indeed, respiratory sensation involves neural pathways in
324 the pons, midbrain, hypothalamus, amygdala, cingulate, parahippocampal and fusiform gyrus
325 anterior insula, pre-supplementary motor area, middle frontal gyrus (6, 8, 13). In previous EEG
326 studies dyspnea was evaluated through variations of respiratory evoked potential elicited by
327 inspiratory occlusion and inspiratory resistive load (42, 52). However, dyspnea was not a topic of
328 interest in the current physiological study, and the duration of BH was short enough not to create
329 discomfort in healthy subjects. Furthermore, subjects have been preliminary trained to correctly
330 perform the task, and the acquisitions did not begin until they were comfortable to perform BH.
331 None of the subjects actually reported dyspnea or discomfort when executing the BH task and
332 therefore we believe that the mental distress was rather low. Future studies could focus on this
333 topic, by either increasing BH duration or selecting population in which the symptom is more likely
334 to occur during a 30 second BH, such as patients with heart failure or chronic obstructive
335 pulmonary disease.

336

337 **Conclusion**

338 In healthy subjects, a different behaviour of P_{ET}CO₂, P_{ET}O₂ and EEG power is observed during FB
339 and BH task. During FB and in awake conditions, the cortex is sending signals to the brainstem,
340 changing ventilation and causing subtle CO₂/O₂ variations. During BH task, the greater oscillatory
341 changes in CO₂ and O₂ seems to cause consequent variation in cortical activity, with antiphase
342 oscillation in the δ band (positive correlation with CO₂, negative correlation with O₂) and in the α

343 band (negative correlation with CO₂, positive correlation with O₂). At regional analysis, a specific
344 temporal pathway of cortical activation may be identified in the δ band, with the earliest activation
345 being observed centrally and a subsequent cortical propagation toward lateral and posterior regions
346 with some delay. This seems also to apply to the α band, which is suppressed in an heterogenous
347 fashion but with longer delays as compared to the δ band. This characteristic behaviour of cortical
348 response to CO₂/O₂ variations could suggest a specific chemoreflex-mediated stimulation of the
349 cortex through specific ascending pathways (especially in the δ band) and also the presence of
350 cortico-cortical interactions (δ band changes preceding α band changes). The latter point should be
351 more deeply investigated in future studies, by using multivariate measures of brain connectivity, as
352 partial directed coherence or directed transfer function, applied to brain sources (3, 10, 18).
353 Furthermore, the investigation of subcortical sources integrating different methodologies such as
354 functional magnetic resonance imaging, could reveal the involvement of deep structures along with
355 the corresponding pathways (44). These methodological advancement may be also exploited when
356 designing future studies in which a specific group of chemoreceptor may be stimulated (i.e. reverse
357 microdialysis or optogenetic stimulation in animals) or suppressed by specific drugs (also in
358 humans) (24).

359

360

361 **Acknowledgements:** We would like to thank Dr. Giovanni Iudice and Dr. Francesca Bramanti
362 from Fondazione Toscana Gabriele Monasterio of Pisa, for their technical support.

363 **Disclosures**

364 No conflict of interest is reported by the authors. This research did not receive any specific grant
365 from funding agencies in the public, commercial, or not-for-profit sectors.

366 REFERENCES

- 367 1. **Avesar D, Stephens EK, Gullledge AT.** Serotonergic Regulation of Corticoamygdalar
 368 Neurons in the Mouse Prelimbic Cortex. *Front Neural Circuits* 12: 63, 2018. doi:
 369 10.3389/fncir.2018.00063.
- 370 2. **Bartolomeo P, Seidel Malkinson T.** Hemispheric lateralization of attention processes in the
 371 human brain [Online]. *Curr Opin Psychol* 29: 90–96, 2019.
 372 <https://www.sciencedirect.com/science/article/pii/S2352250X18302392> [26 Aug. 2019].
- 373 3. **Bastos AM, Schoffelen JM.** A tutorial review of functional connectivity analysis methods
 374 and their interpretational pitfalls. *Front Syst Neurosci* 9: 175, 2016. doi:
 375 10.3389/fnsys.2015.00175.
- 376 4. **Benjamini Y, Krieger AM, Yekutieli D.** Adaptive linear step-up procedures that control the
 377 false discovery rate. *Biometrika* 93: 491–507, 2006. doi: 10.1093/biomet/93.3.491.
- 378 5. **Benjamini Y, Yekutieli D.** The Control of the False Discovery Rate in Multiple Testing
 379 under Dependency [Online]. *Ann Stat* 29: 1165–1188, 2001.
 380 https://www.jstor.org/stable/2674075?seq=1#metadata_info_tab_contents [23 Oct. 2020].
- 381 6. **Binks AP, Evans KC, Reed JD, Moosavi SH, Banzett RB.** The time-course of cortico-
 382 limbic neural responses to air hunger. *Respir Physiol Neurobiol* 204: 78–85, 2014. doi:
 383 10.1016/j.resp.2014.09.005.
- 384 7. **Bloch-Salisbury E, Lansing R, Shea SA.** Acute changes in carbon dioxide levels alter the
 385 electroencephalogram without affecting cognitive function. [Online]. *Psychophysiology* 37:
 386 418–26, 2000. <http://www.ncbi.nlm.nih.gov/pubmed/10934900> [13 Oct. 2015].
- 387 8. **Brannan S, Liotti M, Egan G, Shade R, Madden L, Robillard R, Abplanalp B, Stofer K,**
 388 **Denton D, Fox PT.** Neuroimaging of cerebral activations and deactivations associated with
 389 hypercapnia and hunger for air. *Proc Natl Acad Sci U S A* 98: 2029–34, 2001. doi:
 390 10.1073/pnas.98.4.2029.
- 391 9. **Buchanan GF, Richerson GB.** Role of chemoreceptors in mediating dyspnea. *Respir*
 392 *Physiol Neurobiol* 167: 9–19, 2009. doi: 10.1016/j.resp.2008.12.002.
- 393 10. **Callara AL, Morelli MS, Hartwig V, Landini L, Giannoni A, Passino C, Emdin M,**
 394 **Vanello N.** Ld-EEG Effective Brain Connectivity in Patients with Cheyne-Stokes
 395 Respiration. *IEEE Trans Neural Syst Rehabil Eng* 28: 1216–1225, 2020. doi:
 396 10.1109/TNSRE.2020.2981991.
- 397 11. **Card JP, Sved JC, Craig B, Raizada M, Vazquez J, Sveb AF.** Efferent projections of rat
 398 rostroventrolateral medulla C1 catecholamine neurons: Implications for the central control of
 399 cardiovascular regulation. *J Comp Neurol* 499: 840–859, 2006. doi: 10.1002/cne.21140.

- 400 12. **Chapman SJ, Fowler AC, Hinch R.** Respiration. In: *An Introduction to Mathematical*
401 *Physiology*. Mathematical Institute, Oxford University, 2010.
- 402 13. **Davenport PW, Vovk A.** Cortical and subcortical central neural pathways in respiratory
403 sensations. *Respir Physiol Neurobiol* 167: 72–86, 2009. doi: 10.1016/j.resp.2008.10.001.
- 404 14. **Del Rio R, Marcus NJ, Schultz HD.** Carotid chemoreceptor ablation improves survival in
405 heart failure: Rescuing autonomic control of cardiorespiratory function. *J Am Coll Cardiol*
406 62: 2422–2430, 2013. doi: 10.1016/j.jacc.2013.07.079.
- 407 15. **Eckert DJ, Jordan AS, Merchia P, Malhotra A.** Central sleep apnea: Pathophysiology and
408 treatment. *Chest* 131: 595–607, 2007. doi: 10.1378/chest.06.2287.
- 409 16. **Eckert DJ, Malhotra A.** Pathophysiology of adult obstructive sleep apnea. *Proc Am Thorac*
410 *Soc* 5: 144–53, 2008. doi: 10.1513/pats.200707-114MG.
- 411 17. **Fabbrini M, Bonanni E, Maestri M, Passino C, Giannoni A, Emdin M, Varanini M,**
412 **Murri L.** Automatic analysis of EEG pattern during sleep in Cheyne-Stokes respiration in
413 heart failure. *Sleep Med* 12: 529–30, 2011. doi: 10.1016/j.sleep.2011.03.005.
- 414 18. **Faes L, Nollo G.** Multivariate Frequency Domain Analysis of Causal Interactions in
415 Physiological Time Series. In: *Biomedical Engineering, Trends in Electronics,*
416 *Communications and Software*. InTech, 2011.
- 417 19. **Feldman JL, Del Negro CA.** Looking for inspiration: new perspectives on respiratory
418 rhythm. *Nat Rev Neurosci* 7: 232–42, 2006. doi: 10.1038/nrn1871.
- 419 20. **Ferree TC, Luu P, Russell GS, Tucker DM.** Scalp electrode impedance, infection risk, and
420 EEG data quality. *Clin Neurophysiol* 112: 536–544, 2001. doi: 10.1016/S1388-
421 2457(00)00533-2.
- 422 21. **Garcia AJ, Zanella S, Koch H, Doi A, Ramirez J-M.** Chapter 3--Networks within
423 networks: the neuronal control of breathing. In: *Progress in brain research*, p. 31–50.
- 424 22. **Geerling JC, Mettenleiter TC, Loewy AD.** Orexin neurons project to diverse sympathetic
425 outflow systems. *Neuroscience* 122: 541–550, 2003. doi:
426 10.1016/j.neuroscience.2003.07.008.
- 427 23. **Giannoni A, Baruah R, Willson K, Mebrate Y, Mayet J, Emdin M, Hughes AD,**
428 **Manisty CH, Francis DP.** Real-Time Dynamic Carbon Dioxide Administration. *J Am Coll*
429 *Cardiol* 56: 1832–1837, 2010. doi: 10.1016/j.jacc.2010.05.053.
- 430 24. **Giannoni A, Borrelli C, Mirizzi G, Richerson GB, Emdin M, Passino C.** Benefit of
431 buspirone on chemoreflex and central apnoeas in heart failure: a randomized controlled
432 crossover trial. .
- 433 25. **Giannoni A, Emdin M, Poletti R, Bramanti F, Prontera C, Piepoli M, Passino C.**

- 434 Clinical significance of chemosensitivity in chronic heart failure: influence on
435 neurohormonal derangement, Cheyne-Stokes respiration and arrhythmias. *Clin Sci (Lond)*
436 114: 489–497, 2008. doi: 10.1042/CS20070292.
- 437 26. **Giannoni A, Gentile F, Navari A, Borrelli C, Mirizzi G, Catapano G, Vergaro G, Grotti**
438 **F, Betta M, Piepoli MF, Francis DP, Passino C, Emdin M.** Contribution of the lung to the
439 genesis of cheyne-stokes respiration in heart failure: Plant gain beyond chemoreflex gain and
440 circulation time. *J Am Heart Assoc* 8, 2019. doi: 10.1161/JAHA.119.012419.
- 441 27. **Glover T, Mitchell K.** An Introduction to Biostatistics: Third Edition [Online]. Waveland
442 Press. <https://books.google.com/books?id=v2B3CgAAQBAJ&pgis=1> [14 Mar. 2016].
- 443 28. **Guyenet PG, Stornetta RL, Souza GMPR, Abbott SBG, Shi Y, Bayliss DA.** The
444 Retrotrapezoid Nucleus: Central Chemoreceptor and Regulator of Breathing Automaticity.
445 *Trends Neurosci.* 42 Elsevier Ltd: 807–824, 2019.
- 446 29. **Herrero JL, Khuvis S, Yeagle E, Cerf M, Mehta AD.** Breathing above the brainstem:
447 Volitional control and attentional modulation in humans. .
- 448 30. **Kastrup A, Li TQ, Glover GH, Moseley ME.** Cerebral blood flow-related signal changes
449 during breath-holding. *Am J Neuroradiol* 20: 1233–1238, 1999.
- 450 31. **Kosofsky BE, Molliver ME.** The serotonergic innervation of cerebral cortex: Different
451 classes of axon terminals arise from dorsal and median raphe nuclei. *Synapse* 1: 153–168,
452 1987. doi: 10.1002/syn.890010204.
- 453 32. **McBryde FD, Abdala AP, Hendy EB, Pijacka W, Marvar P, Moraes DJA, Sobotka PA,**
454 **Paton JFR.** The carotid body as a putative therapeutic target for the treatment of neurogenic
455 hypertension. *Nat Commun* 4, 2013. doi: 10.1038/ncomms3395.
- 456 33. **McSwain SD, Hamel DS, Smith PB, Gentile M a, Srinivasan S, Meliones JN, Cheifetz**
457 **IM.** End-tidal and arterial carbon dioxide measurements correlate across all levels of
458 physiologic dead space. *Respir Care* 55: 288–293, 2010. doi: 10.1136/emj.2010.092296.
- 459 34. **Morelli M, Giannoni A, Passino C, Landini L, Emdin M, Vanello N.** A Cross-
460 Correlational Analysis between Electroencephalographic and End-Tidal Carbon Dioxide
461 Signals: Methodological Issues in the Presence of Missing Data and Real Data Results.
462 *Sensors 2016, Vol 16, Page 1828* 16: 1828, 2016. doi: 10.3390/S16111828.
- 463 35. **Morelli MS, Greco A, Valenza G, Giannoni A, Emdin M, Scilingo EP, Vanello N.**
464 Analysis of generic coupling between EEG activity and PETCO₂ in free breathing and
465 breath-hold tasks using Maximal Information Coefficient (MIC). *Sci Rep* 8: 4492, 2018. doi:
466 10.1038/s41598-018-22573-6.
- 467 36. **Narkiewicz K, Ratcliffe LEK, Hart EC, Briant LJB, Chrostowska M, Wolf J, Szyndler**

- 468 **A, Hering D, Abdala AP, Manghat N, Burchell AE, Durant C, Lobo MD, Sobotka PA,**
469 **Patel NK, Leiter JC, Engelman ZJ, Nightingale AK, Paton JFR.** Unilateral Carotid Body
470 Resection in Resistant Hypertension: A Safety and Feasibility Trial. *JACC Basic to Transl*
471 *Sci* 1: 313–324, 2016. doi: 10.1016/j.jacbts.2016.06.004.
- 472 37. **Naughton MT.** Respiratory sleep disorders in patients with congestive heart failure. *J*
473 *Thorac Dis* 7: 1298–310, 2015. doi: 10.3978/j.issn.2072-1439.2015.07.02.
- 474 38. **Niewinski P, Janczak D, Rucinski A, Tubek S, Engelman ZJ, Piesiak P, Jazwiec P,**
475 **Banasiak W, Fudim M, Sobotka PA, Javaheri S, Hart ECJ, Paton JFR, Ponikowski P.**
476 Carotid body resection for sympathetic modulation in systolic heart failure: results from first-
477 in-man study. *Eur J Heart Fail* 19: 391–400, 2017. doi: 10.1002/ejhf.641.
- 478 39. **Peyron C, Tighe DK, Van Den Pol AN, De Lecea L, Heller HC, Sutcliffe JG, Kilduff TS.**
479 Neurons containing hypocretin (orexin) project to multiple neuronal systems. *J Neurosci* 18:
480 9996–10015, 1998. doi: 10.1523/jneurosci.18-23-09996.1998.
- 481 40. **Pijacka W, Moraes DJA, Ratcliffe LEK, Nightingale AK, Hart EC, Da Silva MP,**
482 **Machado BH, McBryde FD, Abdala AP, Ford AP, Paton JFR.** Purinergic receptors in the
483 carotid body as a new drug target for controlling hypertension. *Nat Med* 22: 1151–1159,
484 2016. doi: 10.1038/nm.4173.
- 485 41. **Rau R, Raschka C, Brunner K, Banzer W.** Spectral analysis of electroencephalography
486 changes after choking in judo (juji-jime). *Med Sci Sports Exerc* 30: 1356–1362, 1998. doi:
487 10.1097/00005768-199809000-00003.
- 488 42. **Raux M, Navarro-Sune X, Wattiez N, Kindler F, Le Corre M, Decavele M, Demiri S,**
489 **Demoule A, Chavez M, Similowski T.** Adjusting ventilator settings to relieve dyspnoea
490 modifies brain activity in critically ill patients: an electroencephalogram pilot study. .
- 491 43. **Rodin E, Funke M.** Cerebral electromagnetic activity in the subdelta range. *J Clin*
492 *Neurophysiol* 23: 238–244, 2006. doi: 10.1097/01.wnp.0000205161.22299.ea.
- 493 44. **Rosa MJ, Daunizeau J, Friston KJ.** EEG-fMRI integration: a critical review of biophysical
494 modelling and data analysis approaches. *J Integr Neurosci* 9: 453–476, 2010. doi:
495 10.1142/S0219635210002512.
- 496 45. **Schellart NA, Reits D.** Voluntary breath holding affects spontaneous brain activity
497 measured by magnetoencephalography. [Online]. *Undersea Hyperb Med* 26: 229–34, 1999.
498 <http://www.ncbi.nlm.nih.gov/pubmed/10642069> [21 Oct. 2015].
- 499 46. **Simpson DM, Infantosi AFCI.** Estimation and significance testing of cross-correlation
500 between cerebral blood flow velocity and background electro-encephalograph activity in
501 signals with missing samples. *Med Biol Eng Comput* 39: 428–433, 2001.

- 502 47. **Steinbusch HWM.** Distribution of serotonin-immunoreactivity in the central nervous system
503 of the rat-Cell bodies and terminals. *Neuroscience* 6: 557–618, 1981. doi: 10.1016/0306-
504 4522(81)90146-9.
- 505 48. **Theiler J, Eubank S, Longtin A, Galdrikian B, Farmer D.** Testing for nonlinearity in time
506 series: the method of surrogate data. *Phys D Nonlinear Phenom* 58: 77–94, 1992.
- 507 49. **Thesen T, Leontiev O, Song T, Dehghani N, Hagler DJ, Huang M, Buxton R, Halgren**
508 **E.** Depression of cortical activity in humans by mild hypercapnia. *Hum Brain Mapp* 33: 715–
509 726, 2012. doi: 10.1002/hbm.21242.
- 510 50. **Thomas RJ.** Arousals in sleep-disordered breathing: patterns and implications. [Online].
511 *Sleep* 26: 1042–7, 2003. <http://www.ncbi.nlm.nih.gov/pubmed/14746388> [11 Nov. 2015].
- 512 51. **Urigüen JA, Garcia-Zapirain B.** EEG artifact removal-state-of-the-art and guidelines. *J*
513 *Neural Eng* 12: 31001, 2015. doi: 10.1088/1741-2560/12/3/031001.
- 514 52. **Von Leupoldt A, Bradley MM, Lang PJ, Davenport PW.** Neural processing of respiratory
515 sensations when breathing becomes more difficult and unpleasant. *Article* 1, 2010. doi:
516 10.3389/fphys.2010.00144.
- 517 53. **Wang D, Piper AJ, Yee BJ, Wong KK, Kim JW, D’Rozario A, Rowsell L, Dijk DJ,**
518 **Grunstein RR.** Hypercapnia is a key correlate of EEG activation and daytime sleepiness in
519 hypercapnic sleep disordered breathing patients. *J Clin Sleep Med* 10: 517–522, 2014. doi:
520 10.5664/jcsm.3700.
- 521 54. **Wang D, Yee BJ, Wong KK, Kim JW, Dijk D-J, Duffin J, Grunstein RR.** Comparing the
522 effect of hypercapnia and hypoxia on the electroencephalogram during wakefulness. *Clin*
523 *Neurophysiol* 126: 103–9, 2015. doi: 10.1016/j.clinph.2014.04.012.
- 524 55. **Weinberg WA, Harper CR.** Vigilance and its disorders. [Online]. *Neurol Clin* 11: 59–78,
525 1993. <http://www.ncbi.nlm.nih.gov/pubmed/8441374>.
- 526 56. **Xu F, Uh J, Brier MR, Jr JH, Yezhuvath US, Gu H, Yang Y, Lu H.** The influence of
527 carbon dioxide on brain activity and metabolism in conscious humans. *J Cereb Blood Flow*
528 *Metab* 31: 58–67, 2010. doi: 10.1038/jcbfm.2010.153.
- 529 57. **Yuan H, Zotev V, Phillips R, Bodurka J.** Correlated slow fluctuations in respiration, EEG,
530 and BOLD fMRI. *Neuroimage* 79: 81–93, 2013. doi: 10.1016/j.neuroimage.2013.04.068.
531
532

533 **Figure Legends**

534

535 **Figure 1:** EEG spectral maps EEG maps in δ and α bands. Four different conditions are show: 1)
536 Free breathing task, 2) Breath hold task, 3) Apnea phase within Breath hold task, 4) Respiratory
537 phase in Breath hold task .

538 **Figure 2 :** Time courses of the cross-correlation functions as a function of the time shift in FB task
539 and BH task between nine different brain areas (LA= left anterior, MA= middle anterior, RA= right
540 anterior, LC= left central, MC= middle center, RC= right central, LP= left posterior, MP= middle
541 posterior, RP= right posterior) and PETCO₂. δ band results are reported in red dotted lines and α
542 band results are in blue dashed lines. P-values are shown for maximum and minimum value of
543 correlation. In bold, the strongest significant correlation coefficient. The critical values for
544 significance after Benjamini-Yekuteli correction is $p_{crit} = 0$ for FB and $p_{crit}=0.041$ for BH (4,5).

545

546 **Figure 2:** Time courses of the cross-correlation functions as a function of the time shift in FB task
547 and BH task between nine different brain areas (LA= left anterior, MA= middle anterior, RA= right
548 anterior, LC= left central, MC= middle center, RC= right central, LP= left posterior, MP= middle
549 posterior, RP= right posterior) and PETO₂. δ band results are reported in red dotted lines and α
550 band results are in blue dashed lines. P-values are shown for maximum and minimum value of
551 correlation. In bold, the strongest significant correlation coefficient. The critical values for
552 significance after Benjamini-Yekuteli correction is $p_{crit} = 0$ for FB and $p_{crit}=0.023$ for BH(4,5).

553