Cohort discovery and risk stratification for Alzheimer’s disease: an electronic health record-based approach

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Abstract

Background: We sought to leverage data routinely collected in electronic health records (EHRs), with the goal of developing patient risk stratification tools for predicting risk of developing Alzheimer’s disease (AD).

Method: Using EHR data from the University of Michigan (UM) hospitals and consensus-based diagnoses from the Michigan Alzheimer’s Disease Research Center, we developed and validated a cohort discovery tool for identifying patients with AD. Applied to all UM patients, these labels were used to train an EHR-based machine learning model for predicting AD onset within 10 years.

Results: Applied to a test cohort of 1697 UM patients, the model achieved an area under the receiver operating characteristics curve of 0.70 (95% confidence interval = 0.63-0.77). Important predictive factors included cardiovascular factors and laboratory blood testing.

Conclusion: Routinely collected EHR data can be used to predict AD onset with modest accuracy. Mining routinely collected data could shed light on early indicators of AD appearance and progression.

KEYWORDS
cohort discovery, early prediction, electronic health record, machine learning

1 | INTRODUCTION

Alzheimer’s disease (AD), the most common form of dementia,1 affects approximately 5.8 million Americans,1 and that number is expected to more than double by 2050.1 The physiological changes in the brain associated with AD, including amyloid beta (Aβ) and tau buildup, are currently suspected to take place at least 20 years before symptom onset.1 Earlier identification of at-risk individuals could lead to earlier and more effective treatment.

Predictive modeling for AD risk has focused on AD-specific biomarkers such as cerebrospinal fluid (CSF), neuropsychological test scores, and complex medical imaging.2-16 These are not routinely collected in clinical care, and thus apply to only a subset of individuals for whom these data are available. Importantly, because collection of these biomarkers can be invasive or involve significant cost/logistics, they are rarely obtained during the pre-clinical stage, limiting current predictive ability of these biomarkers to short-term horizons (eg, 2–4 years).2-5,10-13 In contrast, we aimed to leverage existing databases of routinely collected electronic health record (EHR) data to develop predictive models for AD that can identify at-risk individuals up to a decade in advance.

EHRs often contain decades of longitudinal clinical data (eg, medications and comorbidities) for thousands of patients.17 However, these data have been largely underused in studying pre-clinical signs of AD progression.18-21 The ability to automatically identify patients with AD using EHR data would increase the feasibility of downstream
computational analyses on large-scale datasets, without requiring labor-intensive chart review. To this end, we first developed and validated a cohort discovery tool that can be applied to EHR data for automatic classification of AD individuals. Second, we applied this tool to a large cohort of patients and used machine learning techniques to develop and validate a model for estimating patient risk of developing AD within a 10-year prediction horizon. Applied more broadly, such an approach could help in identifying risk factors that arise well in advance of clinical symptoms.

2 | METHODS

We describe the inclusion/exclusion criteria that were applied to two datasets to obtain our study cohorts, one for building the cohort discovery tool and another for building the predictive model.

2.1 | Study cohorts

Our analyses relied on two study cohorts: (1) the cohort discovery tool–cohort and (2) the risk stratification model–cohort. These cohorts were extracted from the Michigan Alzheimer’s Disease Research Center (Michigan-ADRC) and the University of Michigan’s Research Data Warehouse (RDW). The Michigan-ADRC, which focuses on memory and aging research, contains data for 789 participants from ~2005 to 2019. All participants received a consensus-based clinical diagnosis using the National Alzheimer’s Coordinating Center Uniform Dataset criteria.\(^{22,23}\) The RDW contains records of patient encounters (defined as inpatient and outpatient visits) with Michigan Medicine for more than 4 million patients dating from ~2000 to 2019. These data consist of all clinical data associated with the encounter (eg, medications). This study was approved by the Institutional Review Board at the University of Michigan.

The first cohort, the cohort discovery tool–cohort, included all Michigan-ADRC participants with at least one RDW encounter at or after the age of 65 years. Only this age group was considered, because most cases of AD occur in that population.\(^ {1}\) Our second cohort, the risk stratification model–cohort, included patients with at least one RDW encounter between the ages of 68 and 72 years who had at least 10 years of follow-up or who converted to AD within 10 years. This age range allowed for a relatively large study population. We excluded patients with an AD diagnosis before 68 years. Here, AD refers to probable AD, because AD cannot be officially diagnosed until after death and because this diagnosis was commonly used throughout this period.

2.2 | Cohort discovery tool

Using diagnoses provided by the Michigan-ADRC, we investigated the accuracy of different EHR-based rules for identifying AD patients in RDW. Each rule aimed to identify RDW encounters associated with patients with an AD diagnosis and was based on EHR variables related to AD: diagnosis codes for AD, medications for AD, procedure codes for psychological/cognitive testing, and procedure codes involving moderate to high complexity medical decision making (details in Appendix S1 in supporting information). For example, one rule labeled RDW encounters with a current or previous AD diagnosis code and a prescription for an AD-associated medication as AD. We also evaluated an existing tool from the Phenotype Knowledge Base (PheKB),\(^ {20}\) which labeled patients with at least five encounters with a dementia diagnosis code or prescription for an AD-associated medication as AD. Applied to a set of encounters in RDW for a patient, the first encounter that met the EHR-based criteria was labeled as “AD” by the cohort discovery rule. Because AD is currently irreversible,\(^ {1}\) we labeled all subsequent encounters as “AD.”

The labels produced by each EHR-based rule were compared to the Michigan-ADRC diagnoses at the patient level. Michigan-ADRC participants are followed longitudinally, and thus may have multiple timestamped diagnoses (eg, cognitively normal, mild cognitive impairment, AD). As ground truth, we labeled the 6 months preceding the first AD diagnosis from the Michigan-ADRC and anytime thereafter as AD. Prior work has shown that clinical diagnoses of AD have good diagnostic accuracy to histopathology-confirmed AD.\(^ {24}\) If a patient was never diagnosed with AD, then we considered them “not AD” until 6 months after their last Michigan-ADRC diagnosis. Using these time frames as ground truth, comparisons to the corresponding RDW encounters were made as follows (Figure 1). Only those whose RDW and ground truth time windows overlapped were included during evaluation. If at least one AD-diagnosed RDW encounter was within
the Michigan-ADRC-defined AD window, the patient was considered to have been correctly identified by the EHR-based rule (true positive). We defined false positives as those with at least one AD-diagnosed RDW encounter but no Michigan-ADRC diagnosis for AD within the Michigan-ADRC-defined AD time window. True negatives were defined as those not identified by the EHR-based rule and who never received a Michigan-ADRC diagnosis for AD, while a false negative had a Michigan-ADRC diagnosis for AD, but was missed by the EHR-based rule.

Results were summarized by the true positive rate (sensitivity), false positive rate (specificity), positive predictive value (PPV), and F1 score (F1). We measured a population-adjusted PPV, since the Michigan-ADRC dataset is enriched compared to the general population (details in Appendix S2 in supporting information).

When evaluating EHR-based rules against each other, we prioritized maximizing the F1 score to balance the population-adjusted PPV and sensitivity. In the case of ties, we considered the adjusted PPV, unadjusted PPV, specificity, and sensitivity, in that order.

Given the rule with highest F1 score, we evaluated when patients received the diagnosis within RDW relative to the Michigan-ADRC, by measuring the time from the first AD Michigan-ADRC diagnosis to the first AD-labeled encounter in RDW. We also examined our ability to identify AD at the encounter level. Using the ground truth labels outlined earlier, a confusion matrix was constructed to show the number of encounters (AD/not AD) that were correctly and incorrectly identified by the EHR-based rule. Results are reported as the median with an empirical 95% confidence interval (CI), over 1000 bootstrapped samples. Statistical significance relative to the best rule was determined by whether the upper bound of the 95% CI for the F1 score was below the lower bound F1 score of the best rule.

### 2.3 Predictive model

In the following sections, we frame the problem of predicting AD over a 10-year horizon using EHR-extracted data. We describe feature engineering, including which EHR components were used, and model training. We then describe model evaluation in terms of predictive performance and influential features.

### 2.3.1 Outcome

To control for the effect of age on risk of developing AD, we aligned patients in our risk stratification cohort (Section 2.1) based on their earliest visit between 68 and 72 years. Patients were labeled according to the cohort discovery tool (Section 2.2) as converting to AD within 10 years or not. The date of conversion was defined as the date of the first encounter meeting the cohort discovery tool’s criteria. Patients were labeled positive if they converted within 10 years of alignment and negative otherwise.

### 2.3.2 Variable extraction

Given the “alignment visit”, each patient was represented by a high-dimensional feature vector summarizing all encounters in the 1000 days prior to alignment. A look-back period of 1000 days was chosen based on the median length of available history. We extracted data pertaining to diagnoses (ICD9 [International Classification of Diseases, Ninth Revision] codes), procedures (CPT [current procedural terminology] codes), medications (medication name, ingredient name, and VA [Veterans Affairs] class code), laboratory results (LOINC [Logical Observation Identifiers Names and Codes] and result values), vital sign measurements (eg, temperature), health-care utilization (eg, encounter types), and demographic information (eg, race). Features were categorized as “time-invariant” or “time-dependent.” Time-invariant features were patient characteristics that do not change over time (eg, race), and time-dependent features were those associated with a specific encounter or timestamp (eg, diagnoses). Data were pre-processed with FIDDLE (Flexible Data-Driven Pipeline), using a time window of 250 days, a pre- and post-filter threshold of 0.0003, and a frequency threshold of 1.0. Feature vectors for each patient were constructed by concatenating their time-invariant and time-dependent data corresponding to the 1,000 days prior to alignment.

### 2.3.3 Model training

Data were split using an 80%–20% training–test random stratified split. Using the training data, we performed model selection. Minimizing the L2-regularized hinge loss, we trained a linear-support vector machine to predict AD onset for patients aligned between 68 and 72 years over a 10-year horizon. The amount of regularization was tuned using five-fold cross-validation on the training set, sweeping $C$ in $(0.001-1000)$ on a logarithmic scale. Analyses were performed in Python 3.6 using SciKitLearn.26

### 2.3.4 Model evaluation

Overall performance of our predictive model was measured using the area under the receiver operating characteristics curve (AUROC) and a confusion matrix measuring sensitivity, specificity, PPV, and accuracy.
based on a threshold at the 65th percentile on the held-out test set. We measured model calibration using the Brier score\textsuperscript{27} (details in Appendix S3 in supporting information). Additionally, we examined the model’s ability to classify AD converters among patients with memory impairments, reporting the AUROC and confusion matrix (details and results in Appendix S9 in supporting information). We report all model evaluation results as empirical 95% confidence intervals generated using 1000 bootstrapped samples unless otherwise stated.

We also assessed the model’s ability to predict over the 10-year horizon by examining the number of correctly predicted converters with respect to their time to conversion (time between alignment and first AD diagnosis). Because the model outputs a continuous risk score, we classified patients as “high risk” if their risk score was above the 65th percentile and as low risk otherwise. We examined five non-overlapping conversion windows, reporting the sensitivity for each.

Beyond model performance, we examined which categories of EHR information (eg, diagnoses vs procedures) were the most informative for prediction by comparing the AUROCs on models trained with different subsets of features (eg, training only on diagnosis features or training only on procedural features).

We also analyzed the model’s most important features using permutation importance\textsuperscript{28}, in which any decrease in AUROC was measured by randomly permuting all patient values within a feature or group of correlated features ($R \geq |0.7|$). The most important features were identified as those with the largest drop in AUROC, taken as the median over 100 permutations and whose lower bound on an empirical 95% confidence interval was above zero.

3 | RESULTS

In the following sections, we identify the best EHR-based rule for cohort discovery. We then summarize performance of the predictive model in terms of AUROC, calibration, and learned risk factors.

3.1 | Cohort discovery tool

From 789 Michigan-ADRC volunteers, 624 (79%) were 65 years and older and had encounters with Michigan Medicine (details in Appendix S4 in supporting information); 24.8% of the 624 volunteers converted to AD.

Among several cohort discovery rules (Figure 2), the one that best identified AD patients included those with a diagnosis code for AD (Table S1 in supporting information; median F1-score = 0.73 \{95\% CI = 0.68-0.78\}, median adjusted PPV = 0.77 \{95\% CI = 0.71-0.82\}, median sensitivity = 0.70 \{95\% CI = 0.65-0.74\}). The PheKB tool\textsuperscript{20} performed significantly worse in terms of median F1-score = 0.55 \{95\% CI = 0.48-0.62, \(P < .05\)} and median sensitivity = 0.45 \{95\% CI = 0.31-0.51, \(P < .05\)}.

Among the true positives identified by our best rule, the first RDW diagnosis occurred on average 177 days before (95\% CI = 278 before-68 days after) the first AD Michigan-ADRC diagnosis. At the encounter level, this rule yielded a median PPV of 0.59 \{95\% CI = 0.56-0.63\} and a median sensitivity of 0.82 \{95\% CI = 0.72-0.83; details in Appendix S5 in supporting information\}.

3.2 | Predictive model

Applying the cohort-discovery rule with the highest F1-score to RDW (Figure 3) yielded a study population of 8474 patients, of which 4.14\% converted to AD within 10 years from alignment (Table 1). FIDDLE extracted 268 time-invariant features and 3963 time-dependent features per time window across four time windows (feature breakdown in Appendix S6 in supporting information). The training and test sets consisted of 6777 and 1697 patients, respectively.

On the test set, we achieved an AUROC of 0.70 \{95\% CI = 0.63-0.77; Figure S2a in supporting information\} and a Brier score of 0.028 \{95\% CI = 0.025-0.029; Figure S1 in supporting information\}. Thresholding
Applying inclusion/exclusion criteria. We begin with all patients in Michigan Medicine’s Research Data Warehouse (RDW). Numbers in each box correspond to the number of patients included/excluded.

**FIGURE 3** Applying inclusion/exclusion criteria. We begin with all patients in Michigan Medicine’s Research Data Warehouse (RDW). Numbers in each box correspond to the number of patients included/excluded.

**TABLE 1** Select characteristics of study cohort

| Patient demographics | RDW, N = 8,474 |
|----------------------|----------------|
| Number of encounters per patient pre-alignment (IQR) | 11 (4-25) |
| Number of encounters per patient post-alignment (IQR) | 84 (36-172) |
| Female (%) | 54.94 |

**Clinical characteristics**

| Most common co-morbidity | Essential hypertension |
| Most common procedure | Laboratory tests related to hematology and coagulation |
| Most common medication | Morphine |

AD conversion within 10 years (%) | 4.14 |

Obtained from the inclusion/exclusion criteria in Figure 3. Abbreviations: AD, Alzheimer’s disease; IQR, interquartile range; RDW, Michigan Medicine’s Research Data Warehouse.

at the 65th percentile, we achieved a sensitivity of 0.62 (95% CI = 0.60-0.63), a specificity of 0.66 (95% CI = 0.65-0.66), and a PPV of 0.07 (95% CI = 0.05-0.09), for an overall accuracy of 0.66 (95% CI = 0.65-0.66; Table S5 in supporting information).

The model predicted AD onset over long and short prediction horizons with high sensitivity (Figure S3 in supporting information), though performance generally decreased as the prediction horizon increased: 87% patients who converted within 2.5 years of alignment were correctly identified, while the model correctly identified only 53% of those who converted within 8.4 to 10 years of alignment. The distribution of time to conversion was left skewed, with most patients converting >6 years post-alignment.

Overall, data on laboratory test results, procedures, and healthcare utilization had the most predictive power (Figure 4a, Figure S2b). Predicting using laboratory test results alone was able to achieve an AUROC of 0.62 (95% CI = 0.55-0.69). However, the best performance was achieved when all categories of EHR data were combined. Using longitudinal data from all previous encounters up to 1000 days prior to alignment also improved performance, compared to when data from only the encounter of alignment was used AUROC = 0.54 (95% CI = 0.47-0.61; Figure 4b). The top 10 important features pertained to health-care utilization, procedures involving laboratory blood testing, and cardiovascular risk factors (Figure 4c, Table 2), with the median drop in AUROC between 0.002 and 0.040.

**4 | DISCUSSION**

Research in predicting AD risk2-16 has focused on datasets specifically curated for the purpose of studying AD (eg, Alzheimer’s Disease Neuroimaging Initiative [ADNI]).29 While such studies can be used to identify predictors of disease progression, many of the studied variables, for example, CSF composition, are not collected during routine clinical care, especially in the decades before symptom onset. Moreover, because of the costs associated with such data collection, study populations are relatively small (∼1700 patients) and prediction horizons relatively short (2–4 years). In contrast, EHR data consist of routinely collected data, have been collected for over a decade at some institutions, and are available for a large portion of the population, as highlighted by Stephan et al.30 Given this potential, we sought to explore the utility of EHRs in modeling the progression of AD 10 years before clinical diagnosis. We developed and validated an automated EHR-based cohort discovery tool for identifying AD patients and then applied this tool to a large cohort of patients aligned between 68 and 72 years. Using these data and machine learning techniques, we developed a model for predicting AD conversion within 10 years.

While EHR data have been leveraged to model other conditions,31-34 they have been largely underused in modeling AD progression. Most related studies focus on cohort discovery,18,20,35 characterizing the incidence of AD,19 and modeling the risk of dementia more generally while controlling for age to a lesser extent.36,37 We differ from previous work in that we focus on only AD, while prior work has focused on AD and related dementias. We chose to focus on AD alone, because it is the most common form of dementia. Previously proposed identification rules required at least five encounters with a dementia diagnosis code or AD associated medication.20 On RDW, this rule had a lower F1 score compared to our proposed rule. In addition, we differ from previous risk stratification models in that we consider AD specifically,36,37 use a 10-year horizon instead of 5 years...
FIGURE 4 Comparison of electronic health record (EHR) data contributions. A, Analysis of individual EHR data fields. Comparison of model performance when trained with specific fields of EHR data. In this experiment, all data up to 1000 days prior to alignment were used. Error bars represent 95% confidence intervals. B, Analysis of longitudinal data. Comparison of model performance when trained on information from all encounters up to 1000 days prior to alignment versus training on information from up to 500 days before alignment and information from alignment only. In this experiment, data from all EHR components were used. Error bars represent 95% confidence intervals. The black dashed line represents the receiver operating characteristic curve for random predictions. C, Analysis of individual features. Broad categories in which the features from Table 2 can fall. Number correspond to those found in Table 2.

or less, and focus on a broader set of input covariates or potential risk factors. We also control for age to a larger extent, as it has been demonstrated that previous models performed similarly to predicting based on age alone.

Compared to curated datasets like ADNI, EHR data present additional challenges. In the context of AD, EHRs do not have a set of ground truth diagnoses. We relied on the fact that a subset of individuals in RDW were also volunteers in the Michigan-ADRC for whom we had ground truth diagnoses. In addition, data from prospective studies such as ADNI are collected at fixed time intervals, while EHR data are irregularly sampled.

Despite these challenges, there are many advantages in working with EHR data. First, EHR data may contain more longitudinal data per patient than ADNI. For example, 25% of ADNI participants had >10 encounters, compared to more than 50% in our study population. This allowed us to predict AD onset over longer horizons (10 years) with modest performance. Approximately half of the patients who converted between 8.4 and 10 years after alignment were correctly identified, demonstrating the possibility of early detection. The ability to predict over longer horizons could be crucial, as the physiological changes in the brain are suspected to take place at least 20 years before symptom onset. Over time, as more EHR data are collected, we may be able to improve model performance and investigate longer time horizons. Second, study populations from ADNI are highly enriched with AD individuals and AD-specific data, while EHR-derived study populations are more likely to represent the general population and the types of data routinely available. We identified laboratory tests and procedures associated with AD onset up to 10 years in advance. While identification of EHR variables known to be associated with AD for model building is useful, EHR variables with no known association to AD could lead to the discovery of unknown biological mechanisms, interactions, and novel biomarkers. Similarly, an EHR-based predictive tool may be used in a cost-effective strategy to screen which at-risk patients should undergo earlier testing using more invasive (eg, CSF fluid) or imaging-based established biomarkers.

Many of the features identified as important matched previous findings in the literature. In particular, features related to health-care use appeared to be strong predictors, in line with previous work that...
TABLE 2 Important features

| Feature group | Description | Drop in AUROC (95% CI) |
|---------------|-------------|------------------------|
| 1. Age between 59 and 68 | • Maximum age between 59 and 68  
• Age between 59 and 68 | 0.0400 (0.0251-0.0675) |
| 2. Visit type – outpatient between 250 and 500 days before alignment | • Patient has an outpatient visit  
• Time between visits is in (0, 2] days | 0.0180 (0.0060-0.0360) |
| 3. Age between 71 and 72 | • Maximum age between 71 and 72  
• Age between 71 and 72 | 0.0070 (0.0015-0.0161) |
| 4. Religion value NON | Patient does not report a religious association | 0.0047 (0.0015-0.0128) |
| 5. Laboratory test | Blood measurements of  
• platelet mean volume  
• erythrocyte distribution  
• hematocrit  
• erythrocyte mean corpuscular hemoglobin | 0.0041 (0.0026-0.0074) |
| 6. Laboratory test | Blood measurements of  
• lymphocytes  
• monocytes  
• basophils  
• neutrophils | 0.0037 (0.0005-0.0093) |
| 7. Diagnosis code V04.8 along with procedures 9065x and G000x between 250 and 500 days before alignment | Vaccines for influenza, pneumococcal disease  
Revision mastoidectomy  
Injection of samarium lexidrona | 0.0028 (0.0006-0.0073) |
| 8. Non-invasive systolic blood pressure in (127, 136] between 500 and 750 days before alignment | Elevated blood pressure/hypertension | 0.0023 (0.0004-0.0041) |
| 9. Procedure 8260x and lab test 2132-9 with value in (89.999, 382.8] between 0 and 250 days before alignment | Measurements of  
• blood cyanide  
• vitamin B12  
• transcobalamin | 0.0021 (0.0012-0.0031) |
| 10. Laboratory test | Urine measurements of  
• ketones  
• leukocyte esterase  
• protein  
• urobilinogen  
• total bilirubin  
• glucose  
• erythrocytes | 0.0021 (0.0009-0.0044) |

Summary of the top 10 most important feature groups, as determined by permutation importance. The letter “x” is used to denote any character. Laboratory tests, diagnoses, and procedures are represented as LOINC, ICD9, and CPT codes respectively. Abbreviations: AUROC, area under the receiver operating characteristics curve; CI, confidence interval; CPT, current procedural terminology; ICD9, International Classification of Diseases, Ninth Revision; LOINC, Logical Observation Identifiers Names and Codes.

has reported an increase in health-care use one year prior to AD diagnosis. In addition, many of the important features related to laboratory blood tests have been previously associated with AD. Specifically, Chen et al. and Winchester et al. found that changes in blood cell composition may be associated with AD development. Wang et al. found an association between vitamin B12 and AD development. In line with Cao et al. and Le Page et al., we identified immune system biomarkers as beneficial in early detection. In terms of comorbidities we identified as associated with increased risk, hypertension has previously been identified. In addition, urine tests are associated with diabetes testing, another related risk factor. In terms of procedures, mastoid procedures could act as a possible
surrogate for hearing loss, which has been suspected to be associated with AD. Finally, the receipt of vaccinations may be indicative of an overall poorer state of health, increasing susceptibility to infection and disease. Importantly, all of the predictive factors identified in our retrospective analysis are merely associations and not necessarily indicative of a causal relationship.

Our study is not without limitation. We relied on imperfect labels from our cohort discovery tool. As a result, the model may not generalize to predicting the full spectrum of patients that convert to AD. In addition, inaccuracies in labeling the date of AD onset may introduce additional noise. Another limitation stems from our decision to exclude censored patients. We excluded censored patients because they did not have sufficient follow-up to assign a label. Going forward, approaches for incorporating censored patients could increase the size of the study population. Furthermore, although we aligned patients between 68 and 72 years to control for the effects of age on our prediction task, age appeared as an important predictor. Though aligning patients at a single age (eg, 68 years) could have mitigated this effect, this ultimately would have decreased the size of the study population.

In summary, we demonstrated the potential for EHRs as a novel source of data for developing models that characterize AD progression. Going forward, such analyses could be applied to other EHRs to generate hypotheses regarding novel early predictors and mechanisms of AD. In addition, longitudinal clinical studies involving early interventions may selectively target recruitment efforts toward “at-risk” patients well before symptom onset.

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CONFLICTS OF INTEREST
The authors have no conflicts of interest to report.

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SUPPORTING INFORMATION

Additional supporting information may be found online in the Supporting Information section at the end of the article.

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