

颈动脉支架成形术与认知功能障碍

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【摘要】 颈动脉狭窄与认知功能障碍的关系为近年临床研究关注的焦点,颈动脉支架成形术预防缺血性卒中的效果已经大量临床试验所证实,但其对认知功能的影响尚存争议。颈动脉支架成形术可通过降低缺血性卒中发生率、改善脑血流动力学而改善认知功能,但术后微栓塞事件使认知功能障碍进一步加重,而脑白质高信号、脑微出血、抑郁症、高龄等则使术后认知功能障碍的风险增加。期望正在进行的颈动脉血运重建与药物治疗无症状性颈动脉狭窄及血流动力学比较研究,能够为颈动脉支架成形术在改善认知功能方面的疗效带来更为明确的结论。

【关键词】 颈动脉狭窄; 血管成形术; 支架; 认知障碍; 综述

Carotid artery stenting and cognitive impairment

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【Abstract】 Recently, concerns about cognitive impairment and its association with carotid artery stenosis have been raised up progressively. Carotid artery stenting (CAS) is a well-established method which has been widely applied for ischemic stroke. However, its impact on cognitive function remains controversial. CAS can improve cognitive function by reducing the incidence of ischemic stroke and improving hemodynamic status, while postoperative microembolic events can lead to increased cognitive impairment. In addition, the effect of CAS on cognitive function is also affected by many other factors, including white matter hyperintensity (WMH), cerebral microbleeds (CMBs), depression, advanced age, etc. Carotid Revascularization and Medical Management for Asymptomatic Carotid Stenosis - Hemodynamics (CREST-H) is expected to provide a clearer understanding of the therapeutic effects of CAS in cognitive function in conclusion.

【Key words】 Carotid stenosis; Angioplasty; Stents; Cognition disorders; Review

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认知功能障碍系指由一系列认知域功能缺损导致的不同程度认知损害,包括记忆力、注意力、言语功能、执行功能、定向力、视空间执行功能及其他认知域功能缺损。随着人类寿命的延长,认知功能障碍发病率呈逐年上升趋势,影响患者日常生活活动能力和社会功能,已成为全球性健康问题^[1-2]。认知功能障碍是诸多因素共同作用的结果,包括地域、遗传、年龄、心脑血管病及其危险因素、精神心

理因素(抑郁、焦虑、创伤后应激反应等)、生活方式或环境因素(吸烟、饮酒、饮食结构等)、受教育程度等^[3]。多项研究证实,颈动脉粥样硬化性狭窄(以下简称颈动脉狭窄)是导致认知功能障碍的重要原因之一^[4-5],颈动脉支架成形术(CAS)是治疗颈动脉狭窄和预防相关脑卒中事件的有效手段^[6-7]。然而,业已公布结果的大样本随机对照临床试验均未将认知功能作为终点事件进行观察,颈动脉支架成形术能否改善颈动脉狭窄患者术后认知功能目前仍存争议,笔者拟针对颈动脉支架成形术对认知功能的影响以及相关因素进行综述和分析。

一、颈动脉狭窄对认知功能的影响

1. 颈动脉狭窄与认知功能的关系 (1)颈动脉

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狭窄程度:早期临床观察发现,颈动脉狭窄可能与认知功能障碍有关^[8-9],随后被更多的临床研究所证实^[5],而且不同程度的颈动脉狭窄对认知功能的影响可能存在一定差异。一项针对 3116 例急性缺血性卒中患者颈动脉狭窄(642 例)程度与认知功能障碍关系的横断面研究显示,无论是轻至中度狭窄(狭窄程度 1%~74%)或是重度狭窄(狭窄程度 \geq 75%)均是认知功能障碍的危险因素,而重度狭窄更易引起认知功能障碍($OR = 1.490, 95\%CI: 1.050 \sim 2.110; P < 0.001$)^[10]。另外,对中国农村地区 60 岁以上人群进行的流行病学调查研究显示,1375 例受试者中 123 例存在颈动脉狭窄,重度狭窄(狭窄程度 \geq 70%)是此类患者发生认知功能障碍的危险因素($OR = 3.750, 95\%CI: 1.240 \sim 11.400; P = 0.023$),而中度狭窄(狭窄程度 50%~69%)并非危险因素($OR = 1.430, 95\%CI: 0.630 \sim 3.220; P = 0.023$)^[11]。上述两项研究提示:随着狭窄程度的加重,发生认知功能障碍的风险逐渐提高。(2)无症状性颈动脉狭窄:无症状性颈动脉狭窄患者虽然极少发生脑卒中或短暂性脑缺血(TIA)事件,但大多伴随与认知功能障碍相似的危险因素,例如高血压、糖尿病、吸烟史、冠心病等。与基线资料相匹配的无狭窄对照组相比,无症状性颈动脉狭窄患者(狭窄程度 $>$ 50%)综合认知评分、学习能力、记忆力、信息处理速度和执行功能均不同程度减退,表明无症状性颈动脉狭窄与认知功能障碍有关,同样是认知功能障碍的危险因素之一^[12]。而对伴有单侧或双侧脑血管反应性功能障碍的无症状性颈动脉狭窄患者的随访观察显示,3 年随访期间其简易智能状态检查量表(MMSE)评分显著下降,而且与脑血管反应性正常者之间差异有统计学意义^[13]。由此可见,无症状性颈动脉狭窄患者认知功能障碍的表现不尽一致,部分患者会随着随访时间的延长出现认知功能障碍进行性加重,而这一变化对患者日常生活和工作能力会有一定影响。

2. 颈动脉狭窄引起认知功能障碍的机制 颈动脉狭窄引起认知功能障碍的机制复杂多样,其中一种或数种机制可共同导致认知损害,包括缺血性卒中、脑血流动力学异常、脑微栓塞、脑白质高信号(WMH)等^[14-15]。(1)脑缺血与血流动力学异常:症状性颈动脉狭窄尤其是伴脑卒中时,对认知功能的影响主要是通过缺血性卒中事件对特定脑区的损害而发挥病理作用,例如发生于额颞叶、海马、丘脑、

基底节、角回等部位的缺血性卒中患者均会出现相应的认知功能障碍^[16-17]。而无症状性颈动脉狭窄,慢性血流动力学异常是其发生认知功能障碍的重要原因之一^[18]。脑组织低灌注引起的慢性缺血,可通过细胞凋亡、免疫炎症性损伤、氧化应激损伤等病理途径导致脑白质、海马等与认知功能相关脑区的神经元异常或缺失;与此同时,慢性缺血诱发的突触异常、神经元能量代谢障碍,以及中枢胆碱能和单胺能神经递质系统功能障碍亦参与其中^[19-20];大脑皮质灌注下降引起的皮质结构改变也是影响因素之一^[21],上述因素共同促进了认知功能障碍的发生。(2)微栓子:经颅多普勒超声(TCD)监测发现,颈动脉狭窄是微栓子的重要来源^[22],而微栓子与颈动脉斑块的性质密切相关,微栓子减少可在一定程度上提示附壁斑块趋于稳定,反之,则提示存在不稳定或易损斑块、溃疡性斑块的可能;若微栓子进一步增加,表明血小板聚集和血栓形成,梗死形成。由微栓子引起的梗死绝大部分为无症状性梗死,而这种不断发生梗死的“剂量效应”即会使患者出现不同程度的认知功能障碍^[23-24]。(3)脑白质高信号:与认知功能障碍密切相关^[25],颈动脉狭窄是脑白质高信号的危险因素之一,重度狭窄者其侧脑室周围白质高信号体积则显著增大^[26],同样可能是颈动脉狭窄性认知功能障碍的原因之一。

二、颈动脉支架成形术对认知功能的影响

1. 颈动脉支架成形术疗效与预后 颈动脉支架成形术能够有效改善颈动脉狭窄性缺血症状与体征,降低相关脑卒中事件发生率,虽然可使部分患者在脑卒中事件方面获益,但能否同时改善其认知功能,目前尚无定论。Yoon 等^[27]对 31 例重度颈动脉狭窄支架成形术患者的观察发现,术后 3 个月症状性狭窄组患者视空间能力($P = 0.010$)和首尔神经心理筛查痴呆版(SNSB-D)评分($P = 0.046$)均显著改善,且优于无症状性狭窄组和正常对照组。在一项针对颈动脉支架成形术的 Meta 分析研究中,共纳入 16 项临床研究,其结果显示,手术可提高颈动脉狭窄患者的 MMSE 评分,并可使患者精神运动速度、注意力、记忆力等认知功能获得改善^[28]。然而,Wang 等^[5]对 16 项颈动脉支架成形术对认知功能影响的临床研究进行回顾分析,所得结论略有差异:其中,12 项显示颈动脉支架成形术对颈动脉狭窄患者认知功能有不同改善,其余 4 项则提示术后部分患者出现不同程度或不同认知域功能下降。虽然

各项试验所纳入的受试对象均符合目前颈动脉支架成形术的适应证范围,但并非所有入选患者术后均能够获得认知功能的改善,甚至部分患者预后不良。导致目前难以准确预测颈动脉支架成形术对认知功能影响的原因包括:(1)虽然颈动脉支架成形术可通过改善脑血流动力学而改善认知功能,但是术后发生的微栓塞事件对认知功能存在一定影响。(2)目前公布的临床试验样本量偏小,且多为单样本前后对照研究,缺乏大样本、多中心随机对照临床研究证据,使得试验证据级别偏低。(3)所纳入病例的信息和研究方法存在显著异质性,包括年龄、颈动脉狭窄引起的不同血流动力学状态、缺血损伤程度及持续时间、受教育程度、共患病、认知功能评价方法、随访时间节点等均可能影响对术后认知功能的综合评价。(4)评价过程中部分临床试验纳入病例的基线认知评分过低,由于“地板”效应,术后可能仅出现评分提高或维持不变;同样,所纳入病例的基线认知评分过高,由于“天花板”效应,术后可能仅评分下降或维持不变,上述情况均可能导致术后患者认知功能评价结果出现偏倚^[29]。

2. 颈动脉支架成形术引起的血流动力学改变对认知功能的影响 血流动力学改变在颈动脉支架成形术对认知功能的影响中具有重要作用,主要包括脑组织低灌注和脑血管反应性功能障碍。对于未发生缺血性卒中事件的颈动脉狭窄患者而言,脑组织低灌注与认知功能减退密切相关^[30]。一般认为,脑血流量下降 40%~50%即可引起缺血性细胞损伤^[31],对于脑血管反应性基线良好者,认知功能呈缓慢下降^[32],脑血管反应性受损者,尤其是双侧大脑半球均出现脑血管反应性功能障碍者认知功能明显下降^[13,33]。部分由血流动力学异常主导的血管性认知损害(VCI)患者,通过改善脑组织低灌注和脑血管反应性即可达改善认知功能之目的^[34]。颈动脉支架成形术不仅能够改善脑组织低灌注,而且术后即刻同侧受损的脑血管反应性逐渐恢复至正常水平^[35]。一项针对无症状性颈动脉重度狭窄患者支架成形术的研究显示,低灌注组患者阿尔茨海默病评价量表-认知分量表(ADAS-Cog)、MMSE 评分、Stoop 色词测验(SCWT)等认知功能均显著改善,而灌注正常组上述认知功能测试未曾获益^[36]。Akioka 等^[37]也发现,颈动脉支架成形术通过改善脑组织低灌注或脑血管反应性而提高患者认知功能,与术前灌注正常伴脑血管反应性功能障碍组相比,

低灌注伴脑血管反应性功能障碍组获益更加明显。因此,对于伴低灌注或脑血管反应性功能障碍的患者,颈动脉支架成形术可能对其认知功能具有改善作用,尤以无症状性颈动脉狭窄患者疗效更佳。值得注意的是,过度灌注为颈动脉支架成形术后并发症之一,虽然并非常见并发症,但一旦发生即可导致脑水肿、脑出血甚至脑疝形成,致使认知功能预后不良。有研究认为,围手术期脑组织高灌注状态是颈动脉支架成形术后认知功能障碍的重要危险因素^[38]。

3. 术后微栓塞对认知功能的影响 (1)手术相关微栓塞:是导致颈动脉支架成形术后认知功能减退的重要原因之一。虽然,颈动脉粥样硬化性疾病自身会产生微栓子或诱发脑梗死事件,但颈动脉支架成形术可能诱发此类事件的发生,手术过程中机械性操作为主要诱发因素,包括球囊扩张与支架植入对附壁斑块的剪切应力,其他还有手术器械可能触及主动脉弓或颈总动脉斑块并导致其脱落^[39]。有资料显示,颈动脉支架成形术相关微栓塞事件发生率约为 20%~70%^[40-41],是否会导致患者术后近、远期认知功能预后不良?一项针对 16 例中至重度颈动脉狭窄患者颈动脉支架成形术后 1 个月的随访研究显示,8 例患者出现语言和记忆力下降,均与手术相关微栓塞事件有关^[42];而另一项术后随访 6 个月的观察结果则认为,微栓塞与术后认知功能减退无关联性,提示手术相关微栓塞仅可能导致术后短期内认知功能减退^[43]。然而,通过扩散加权成像(DWI)对颈动脉支架成形术后微栓塞相关梗死体积的评价发现,梗死体积与术后 Rey 听觉-词汇学习测验(RAVLT)评分,无论短期(1 个月; $r = -0.340, P = 0.021$)还是长期(6 个月; $r = -0.360, P = 0.026$)评价结果均呈负相关,梗死灶大体积组($> 500 \text{ mm}^3$)、中体积组($100 \sim 500 \text{ mm}^3$)和小体积组($< 100 \text{ mm}^3$)RAVLT 评分下降 $> 10\%$ 的患者(6 个月时),占各组总病例数的 10/19、11/23 和 5/18^[44]。一项对颈动脉支架成形术后为期 14 个月的微栓塞随访研究发现,手术相关微栓塞可导致患者术后认知功能预后不良^[45]。而 TCD 观察显示,术后 1 周和 1 年时手术侧微栓子信号高于对侧颈动脉的患者,与手术前相比,其随访 1 年时的 MMSE 评分下降,提示微栓子信号持续性增高与认知功能障碍有关^[46]。由此可见,微栓塞对部分患者认知功能的影响具有一定可逆性,其近期和远期影响存在异质性,对微栓塞而言,

这种异质性可能与空间负荷和时间负荷的差异性有关。由微栓塞引起的较大体积梗死,以及术后持续存在的较高微栓子信号(MES)可能是远期认知损害的重要原因。(2)预防措施:包括术中脑保护措施,以及合理选择支架类型。目前临床常用脑保护装置有远端滤网型保护装置、近端球囊血流阻断系统和血液转流装置^[47]。其中,以滤网型保护装置应用最为广泛,但是应用该保护装置术后微栓塞及相关梗死的发生率依然较高^[48-49]。首先是滤网装置孔隙无法捕捉直径 $< 200 \mu\text{m}$ 的栓塞微粒,其次该装置与颈动脉壁之间存在的间隙,以及回收过程的操作均可能遗漏部分栓子。另两种保护装置均是通过充盈球囊阻断前向血流或经血管鞘建立颈动脉-股静脉血流通路,诱导血流转向导入股静脉,从而降低微栓塞发生率。临床研究显示,与远端滤网保护装置相比,近端保护系统对降低围手术期微栓塞发生率更为有效^[50-51]。此外,不同类型的支架设计也可对术后的微栓塞事件产生影响。较为常见的设计类型包括开环设计和闭环设计支架,后者因支架网孔面积较小,对大多数颈动脉斑块的覆盖效果更佳,较开环支架防止斑块碎片脱落的效果更为有效。一项 Meta 分析结果显示,植入开环设计支架的患者术后新发无症状性梗死明显高于植入闭环设计支架的患者^[52]。

4. 术后影响认知的其他因素 (1)脑白质高信号:研究表明,脑白质高信号是认知功能障碍的危险因素之一^[53]。颈动脉支架成形术后若 MRI 显示出明显的脑白质高信号[年龄相关性脑白质改变(ARWMC)评分 > 7 分]可增加围手术期并发症,如缺血性卒中事件^[54-55]。Maggio 等^[39]发现,术后栓塞事件发生风险会随着脑白质高信号体积负荷的增加而提高,其中体积负荷 $> 5.25 \text{ cm}^3$ 者的术后栓塞事件发生率约为 50%,术后认知功能障碍的潜在风险亦随之增加。(2)脑微出血(CMBs):脑叶微出血可影响颈动脉支架成形术患者的执行功能、信息处理能力和记忆力,其他部位出血则可使信息处理和运动速度下降^[56]。基底节、丘脑、胼胝体或脑干等深部脑组织伴(或不伴)脑叶微出血可引起老年患者术后认知功能快速下降,并影响整体认知水平^[57]。颈动脉支架成形术还可导致新发脑微出血的快速形成,尤其是术前已经存在微出血的患者,其机制可能与此类患者术后血流动力学异常造成的血管损害有关^[58]。术后微栓塞与微出血之间存在关联

性,并可能是脑微出血的原因之一,通过微出血而影响患者认知功能^[59]。(3)抑郁症:抑郁症患者大多伴有认知功能障碍,尤其是重度抑郁症病例,此时部分认知筛查和评价工具则不适用^[60],采用这些工具评价抑郁症伴认知功能障碍患者手术前后的认知功能可能出现假阳性或假阴性情况。(4)高龄、糖尿病、高血压和低教育水平:与糖尿病、高血压、低教育水平因素相比,年龄因素无法干预,随着年龄的增加,痴呆的发病率亦逐年升高^[61],颈动脉支架成形术能否改善高龄患者认知功能,使其从中获益,尚未获得明确的临床证据。在一项针对高龄症状性颈动脉重度狭窄患者的临床研究中,患者平均年龄为 (72.1 ± 4.4) 岁,术前蒙特利尔认知评价量表(MoCA)基线评分 (24.17 ± 2.50) 分,术后随访 1 年该评分增至 (28.44 ± 1.16) 分 $(P < 0.01)$,提示高龄症状性颈动脉重度狭窄患者支架成形术后认知功能明显改善^[62];一项前瞻性队列研究对伴腔隙性梗死(LACI)的高龄颈动脉狭窄患者支架成形术后认知功能进行为期 3 年的随访,其结果显示,高龄(年龄 > 65 岁)是 MoCA 评分下降的危险因素^[63]。有研究以 ≥ 68 岁为界对颈动脉狭窄患者进行分组,观察支架成形术前患者认知功能的变化,其结果显示,与手术前相比, ≥ 68 岁组患者术后 72 小时综合认知功能评分下降 $(P = 0.01)$,随访至术后 3 个月时手术前后认知功能差异则无统计学意义,提示年龄 ≥ 68 岁的颈动脉狭窄患者无法从支架成形术中获益^[64],可能与部分高龄患者围手术期并发症发生率较高、认知功能损害不可逆有关。

5. 颈动脉支架成形术与颈动脉内膜切除术和药物治疗对认知功能的影响 颈动脉支架成形术和颈动脉内膜切除术(CEA)均为治疗颈动脉狭窄的有效方法,但其适应证存在差异^[65]。有研究表明,颈动脉支架成形术后微栓塞发生率明显高于颈动脉内膜切除术^[66],但二者对认知功能的改善是否存在同样差异,仍有争议。与此同时,近年随着药物治疗的不断规范,对颈动脉狭窄也显示出一定的疗效^[67],3 种治疗方法对改善伴认知功能障碍的颈动脉狭窄患者的疗效有无明显差异,各项研究之间并未取得一致性结论:随访研究显示,颈动脉内膜切除术组患者术后随访 6 和 12 个月时的 MoCA 评分均明显增加,注意力、语言功能、抽象力及延迟回忆改善;支架成形术组随访至 12 个月时方出现 MoCA 评分改善,且仅表现为视空间执行功能提高,而药物

治疗组则治疗前后无明显差异^[68];而认知功能基线评分较低的患者,3种治疗方案均可使其获益^[69]。与该项研究不同的结论则认为,颈动脉内膜切除术对改善认知功能具有一定疗效,而支架成形术则可能是导致患者长期认知损害的危险因素之一^[70];甚至有研究指出,无论是颈动脉内膜切除术还是支架成形术对患者认知功能均有不良影响^[63]。笔者认为,造成3种治疗方法疗效不一致的原因,除前文所述,可能还与许多临床试验中支架成形术组纳入的病例大多存在高危因素或严重心肺疾病,受混杂因素的干扰,使结果存在偏倚,故尚待大样本随机对照临床试验加以证实。目前正在进行的颈动脉血运重建与药物治疗无症状性颈动脉狭窄及血流动力学比较研究(CREST-H)^[71]是CREST-2研究^[72]的补充试验,主要针对无症状性颈动脉狭窄患者进行的颈动脉血管再通术(颈动脉内膜切除术或颈动脉支架成形术)与认知功能关系的多中心、随机对照临床试验,旨在探索颈动脉内膜切除术和(或)颈动脉支架成形术联合强化药物治疗与单独药物治疗对改善认知功能方面的差异,以及手术前后血流动力学、无症状性脑梗死、脑白质高信号体积、脑微出血等因素的变化对认知功能的影响,希望能够发现相关影响因素,从而确定颈动脉血管再通术的合理适应证。

综上所述,颈动脉支架成形术通过血管再通作用而改善颈动脉狭窄患者认知功能,但并非所有患者均能够从支架成形术中获益。研究颈动脉支架成形术对认知功能的影响,其主要意义在于将认知功能作为支架成形术的一项主要临床终点事件,联合脑卒中事件或不良事件发生率综合评价颈动脉支架成形术的疗效,达到改善患者认知功能和生活质量之目的,或避免该手术导致的认知功能预后不良,尤其是对于无症状性颈动脉狭窄患者,如何选择能够从手术中获益的患者尤为重要。期待CREST-H研究能为颈动脉支架成形术在认知功能的治疗效果上带来更为明确的结论,以使颈动脉狭窄伴认知功能障碍患者从中获益。

利益冲突 无

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下期内容预告 本刊2019年第11和12期报道专题为胶质瘤,重点内容包括:神经外科参与脑科学研究的机遇与挑战;浅析胶质瘤整合诊断实践与热点问题;新时代胶质瘤免疫治疗研究进展;胶质瘤侵袭迁移实验性靶向治疗研究进展;重复经颅磁刺激在脑功能定位和神经重塑中的应用;肿瘤电场治疗:从基础到临床;胶质瘤治疗后影像学评价;中枢神经系统胶质母细胞术前MRI强化特征对术后复发时间的预测价值;额叶胶质瘤相关癫痫患者基于白质纤维束的脑功能网络改变研究;不同磁共振成像模式判断胶质母细胞瘤预后研究;TAM分泌TGFB1促进胶质瘤细胞恶性进展体外研究;胶质瘤分子病理检测的临床应用价值;婴幼儿脑肿瘤临床及病理学特点:单中心100例病例分析;成人弥漫性中线胶质瘤精准治疗探索;难治性小细胞肺癌脑膜转移伴脑转移瘤一例临床分析;继发于低级别胶质瘤的继发性胶质肉瘤一例临床分析