

Invited Review

Apoptosis and rotator cuff tears: scientific evidence from basic science to clinical findings

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Abstract

Introduction: Excessive apoptosis has been hypothesized as possible cause of tendinopathy and tear in the tendons of the rotator cuff (RC). Different mechanisms and molecules play a key role in cell regulation. Biological interventions can affect the process of apoptosis to control the tendinopathy process, and may be useful to design new treatments.

Source of data: We identified basic science, *in vitro* and *in vivo* preclinical and clinical studies listed in the Pubmed Google Scholar, CINAHL, Cochrane Central and Embase Biomedical databases in English, Spanish, Italian and French concerning the effects of apoptosis on RC tendons.

Areas of agreement: The homeostasis between the apoptotic and inflammatory processes is dynamic and controlled by pro- and anti-apoptotic mechanisms and signals, with variable balance in different areas of the RC tendons in human specimens.

Areas of controversy: Apoptosis can be identified along the whole tendon, not only in the area of the lesion. Therefore, it is not necessary to undertake wide debridement of the torn edges of the tendon when undertaking a repair.

Growing points: The identification of the various factors that control apoptosis and its mechanisms can help to design new treatments and exert positive effects in the recovery from tendon tears.

Areas timely for developing research: Further studies are needed to produce clear guidelines to determine how to balance the apoptosis process to reduce the failed healing response found in non-traumatic RC tears.

Key words: rotator cuff, tendons, apoptosis, shoulder, tenocytes, tendinopathy

Introduction

Apoptosis, or programmed cell death, is an important component in the control of cells proliferation by regulating embryogenesis, organogenesis and tissue morphogenesis, and maintaining homeostasis in many adult tissues.¹ The pathogenesis of atraumatic rotator cuff (RC) tendon tears, in which the disease is the result of a combination of intrinsic tendon and extrinsic factors, is still controversial.²

Of the intrinsic factors, apoptosis seems to may play a key role in the regulation and development of the lesions.

Yuan *et al.*³ in 2002 postulated excessive apoptosis as a primary cause of tendinopathy and tears within the supraspinatus tendon, rather than tears being a secondary effect of degeneration, identifying apoptotic cells in supraspinatus tendon tears compared with control samples. Furthermore, excessive apoptosis seems to involve the entire RC in the presence of a supraspinatus tear.⁴

Apoptosis is triggered by exogenous and endogenous stimuli that initiate two different highly complex and sophisticated pathways: intrinsic and extrinsic.

The mitochondrial or intrinsic pathway is triggered by different factors (i.e. oxidative stress, genetic damage, high concentration of cytosolic calcium ions) within the cell that increase mitochondrial membrane permeability. Bax protein, migrating to the surface of the mitochondrion and inhibiting the protective effect of anti-apoptotic Bcl-2 protein, inserts itself into the outer mitochondrial membrane, perforating it. This results in an opening of the mitochondrial permeability transition pore and release of two main groups of normally sequestered pro-apoptotic proteins from the intermembrane space into the cytosol: cytochrome c and the serine protease.

Cytochrome c binds to the protein Apaf-1 (apoptotic protease activating factor-1) and together form apoptosomes which bind to and activate caspase-9. Caspase-9 cleaves and, in so doing, activates other caspases (caspase-3 and -7).

The activation of these 'executioner' caspases creates an expanding cascade of proteolytic activity (similar to what happens in blood clotting and complement activation) which leads to digestion of structural proteins in the cytoplasm, degradation of chromosomal DNA and phagocytosis of the cell.

The death-receptor mediated or extrinsic pathway is activated by transmembrane receptor-mediator ligand involving receptors which are members of the tumor necrosis factor (TNF) gene. Fas Ligand (FasL), binding the TNF receptor, induces apoptosis activating caspase 8 and starting a cascade of caspase activation leading to phagocytosis of the cell. Nitric oxide induces apoptosis by dissipating the membrane potential of mitochondria, and therefore makes the mitochondrial wall more permeable.⁵

The mechanism responsible for the modulation of apoptosis may be a combination of different factors such as withdrawal of positive signals (i.e. growth factors for neurons or Interleukin-2) or receipt of negative signals (i.e. increased levels of oxidants within the cell, damage to DNA by oxidants, death activators as TNF- α , TNF- β and FasL). Furthermore, hypoxia, extracellular matrix (ECM), cytokines, genetic factor and other proteins interact in the apoptotic pathway.⁶ Basic science studies focus on both physiological and pathological processes regulating apoptosis, and external factors which can decrease or balance the apoptosis.

This review analyzes the relationship between the factors which have been identified as possible regulators of the apoptotic process in RC tendons, and evaluates how they can influence apoptosis.

Methods

Search strategy

In August 2016, a systematic search was conducted in the online PubMed, Google Scholar, CINAHL, Cochrane Central and Embase Biomedical databases using various combinations of the following key terms and MesH terms: RC, tendons, tenocyte, tendinopathy, apoptosis and shoulder, with no limits regarding the year of publication and following the Preferred Reporting Items for Systematic Reviews and Meta-Analyses (PRISMA) guidelines.⁷ Our PRISMA checklist is presented in Figure 1. Two authors (M.B. and L.O.) screened all the articles identified for title, abstract and full text concerning the effects of apoptosis in RC. All in vitro, in vivo preclinical and clinical studies in English, Spanish, Italian and French were evaluated and analyzed in this review.

Results

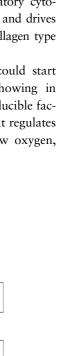
Genetic influence

Genetic factors play a role in the development of full thickness tears of the RC.^{8,9} Siblings of patients with RC tear had more than twice the relative risk to develop a RC lesion, and nearly five times the risk of experiencing symptoms.¹⁰ Tashjian *et al.*¹¹ identified two single-nucleotide polymorphism associated with RC tears. They were located within two genes SAP30BP (on chromosome 17) and SASH1 (on chromosome 6); both these genes play a marked role in apoptosis, regulating tendon cell apoptosis and predisposing individuals to RC tears.

Hypoxia

Tenocytes are capable of withstanding acute and repetitive reductions of blood perfusion, and therefore are likely able to tolerate transient hypoxia. Hypoxia promotes the expression of pro-inflammatory cytokines, which are key apoptotic mediators, and drives matrix component synthesis towards a collagen type III profile by human tenocytes.^{12,13}

Millar *et al.*¹⁴ noted that hypoxia could start and regulate early tendinopathy by showing in apoptotic cells an increase of hypoxia-inducible factor 1 α (HIF1 α), a transcription factor that regulates several genes to promote survival in low oxygen,



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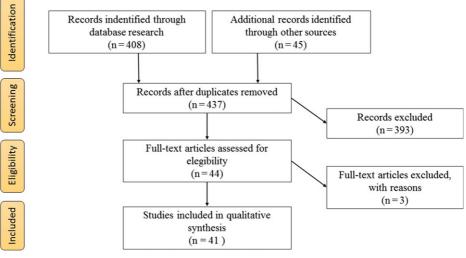


Fig. 1 PRISMA 2009 flow diagram.

Bcl-2, a regulator protein and clusterin, a molecular chaperone and a member of the small heat shock protein (HSP) family. Hypoxia reduces the ERK (extracellular signal regulated kinase) and p38 production, increasing collagen III synthesis compared with type I. The final result is a decrease of the resistance of tendons to tensile forces.

Benson et al.¹⁵ showed that the expression of HIF-1a was greatest in mild impingement and in association with different stages of RC tendinopathy (partial, small, medium and large RC tears). Bcl-2 Nineteen KiloDalton interacting protein (BNip3) expression, a pro-apoptotic member of the Bcl-2 family with a role in hypoxia-induced death in many cell types, increased significantly in RC tears, but was reduced in massive tears. This is possibly a consequence of the reduction of BNip3positive cells from apoptosis. Excessive apoptosis was found within full thickness tears of the RC, with almost a threefold increase compared with the control or mild RC tear groups. Furthermore, there was a statistically significant association between the proportion of apoptotic cells and the age of the patients. This is contrary to Yuan et al.³ study, in which there was no association between the proportion of apoptotic cells and age, duration of symptoms or size of tear. This is a likely consequence of the relatively small number of patients studied and the limited age range (50-70 years).

Nuclear factor-kB (NF-kB) also plays a role in the pathogenesis of RC tears. Evaluating the tear margins of 63 patients with non-traumatic RC tears (mean age 65 years, range: 52–74), it was shown that NF-kB, activated by hypoxia, was increased on the margins of the tendon tear with increasing size of the lesion. NF-kB seems to lessen the progression of the damage, supporting the healing response, and lessening the rate of tendon cells death.¹⁶

Cytokines and caspases

Cytokines are important molecular messengers in the response of soft tissue from injury to wound healing, and play an important role in oxidativestress induced cellular apoptosis.¹⁷ The caspases are a family of cysteine proteases for aspartic acid residues, which cleave specific intracellular substrates and regulate cell death induced by apoptosis.¹⁸

Millar *et al.*¹⁹ confirmed the presence of the cytokines IL-18, IL-15, IL-6 and macrophage inhibitory factor (MIF) in both rat and human models of tendinopathy. They identified significantly increased levels of key mediators, caspases 3 and 8 and of Fas-Ligand apoptosis in the margins of full thickness tears of the RC compared with matched subscapularis tendon and normal control tendon. In another study, Millar *et al.*²⁰ showed an increase of IL-17A in early RC tendinopathy. This cytokine seems to regulate and modulate the first phases of tendon degeneration by regulating inflammatory, apoptotic pathways and collagen matrix synthesis, as it increases collagen III and decreases collagen I synthesis.

Voloshin *et al.*²¹ showed an elevated expression of IL-1, IL-6 and TNF- α in the subacromial bursa in 10 patients with full thickness tears the RC comparing them to eight patients (control group) (*P* < 0.001).

Blain *et al.*²² found an increase of IL-1, IL-6, TNF, COX-1, COX-2, MMP-1 and MMP-9 in 14 patients with subacromial bursitis undergoing miniopen RC repair compared to four patients undergoing surgery for shoulder instability.

Lundgreen *et al.*²³ comparing biopsies from nine patients (five men and four women; mean age 54) with partially torn supraspinatus tendons and the matched intact subscapularis tendons, and 10 reference subscapularis tendons (five women and five men, mean age 43.9, undergoing an arthroscopic labral repair and who demonstrated no RC pathology), showed a significant increase of apoptotic tenocytes, and cells expressing p53 and caspase c in both the supraspinatus and subscapularis tendons of patients presenting partial-thickness tears. In this study, however, the control group was significantly younger than the patient group, and two different types of tendons were compared.

Fabis *et al.*,^{24,25} in nine patients, noted a reduction of caspases 3, 8, 9 and Bax (pro-apoptotic molecules) along a 1 cm section taken from the edge of a torn supraspinatus tendon (P < 0.05). TNF- α decreases in a distal to proximal direction within 1 cm of the edge of a torn supraspinatus tendon, contrary to an increase of the anti-apoptotic molecules Bcl-2 and expression of the anti-inflammatory cytokine IL-10, which showed an opposite trend (P < 0.05).

Furthermore, the expression of type I collagen, IL-4 and IL-13 significantly increased, and IL-1b and IFN- γ decreased from the distal to the proximal parts of the tendon edge (P < 0.05). The homeostasis between the apoptotic and inflammatory processes can be dynamic and is highly dependent on the distance from the edge of the tear. The authors recommended careful resection of the torn edges of the RC tear, as resection 4–7 mm from the edge of the torn supraspinatus tendon may enhance the healing process.

Lee et al.²⁶ quantified the extrinsic and intrinsic apoptosis pathways by examing the activities of caspase 3/7, 8 and 9 and cytochrome c in tendon biopsies collected from 14 patients undergoing arthroscopic RC repair for RC tears. When these biopsies were compared with tendon biopsies from seven patients undergoing surgery for proximal humeral fractures, the activity of caspase 9 and cytochrome c was more than double that of other proteins. The increase of caspase 9 and cytochrome c activity suggests that the intrinsic (mitochondrial) pathway might be more important in the apoptosis mechanism of RC tears. They noted a significant difference in the apoptotic activities harvesting the samples from three different sites of the tendons. This suggests that apoptosis is a generalized phenomenon throughout the entire tendon. They hypothesized that apoptosis could start from the lateral aspect of the RC, and then propagate in all directions.

Yuan *et al.*²⁷ showed that oxidative stress, exposing to hydrogen peroxide (H_2O_2) human tenocytes from patients undergoing surgery for RC repair, induced apoptosis most likely through releasing cytochrome c from mitochondria to cytosol, and activating caspase-3 in a time and dosedependent manner. Lower concentration of H_2O_2 (50 µM) led to tenocytes apoptosis, while there was a significant increase in necrotic cell death with higher concentrations of H_2O_2 .

Scott *et al.*²⁸ examined apoptosis using antibodies against fragmented DNA in 32 male Sprague-Dawley rats randomly divided into controls (standard cage care) and runners (standard cage care plus treadmill running which induced supraspinatus tendinopathy). They did not find consistent results regarding apoptosis in the primary stages of tendinopathy, concluding that apoptosis might play a secondary role in the more advanced stages of injury such as fibrosis or after frank tendon tears.

Heat shock protein

HSPs protect cells from the cytotoxic effects of cytokines and apoptotic mediators, and play a protective role as molecular chaperones in cells by facilitating the folding, intracellular transport, assembly and disassembly of other proteins.²⁹

Millar et al.³⁰ using 24 rat and 17 torn supraspinatus tendons collected from patients with RC tears undergoing shoulder surgery (mean age 57 years but with wide range, 39-75 years) suggested that HSP plays a central role in caspase dependent apoptotic cell signaling and in the cascade of failed healing response found in tendinopathy. Over-expression of HSP 27 is essential in preventing cells from undergoing apoptosis, inhibiting specifically the cytochrome C and ATP-triggered activity of caspase 9 on the apoptotic pathway. Furthermore, HSP 27 indirectly interferes with cell death because of its ability to modulate intracellular glutathione, while HSP 70 interacts with Apaf-1, thereby preventing its interaction with the caspases, preventing apoptosis and protecting cells from heat stress, the cytotoxic effects of TNFa and from nitric oxide.

Extracellular matrix

The ECM of tendons is composed largely of type I collagen, which provides structural integrity and accounts for mechanical strength. Disruption of the collagen matrix is characterized by loss of its normal longitudinal alignment. Fragmentation of collagen bundles decreases the mechanical property of the tendon, and may result in tendon rupture.³¹

Wu *et al.*³² demonstrated that the percentage of cells undergoing apoptosis increased gradually with the degree of ECM breakdown. The increase of apoptotic cells changes severely the tendon through the loss of fiber structure, hyalinization and loss of parallel arrangement, with no discernible orientation of the fiber. A reduced cell population might affect the rate of collagen synthesis and capacity of healing after injury by contributing to matrix deterioration and promoting further cell death and cell differentiation.

The increase of type III collagen is expression of tendinopathy and hypoxia changes, and alters collagen synthesis by tenocytes, with a disproportionate concentration of type III collagen compared with type I, with detrimental changes in the ECM.¹⁴

Exogenous substance and hormones

Hyaluronic acid (HA) has an anti-inflammatory and anti-adhesive activity in tendons and in synovial fibroblasts derived from RC tear without evident adverse effect.^{33,34} Osti *et al.* in *in vitro* studies in RC degenerative torn tendon samples demonstrated a decreased rate of apoptosis when the tendon-derived cells were exposed to HA, stimulating and reducing the synthesis of collagen type I and type III respectively. The reduction in collagen type III seems to be a protective factor for tendons. The molecular weight of HA seems not to affect this process, although the presence of sorbitol 4% increases the expression of collagen I, limiting HA degradation.³⁵

The effectiveness of corticosteroid (CS) injections results from their analgesic and anti-inflammatory properties, but they exert profound negative effects on human tenocytes. CSs induce early tendon fibroblasts death and inhibit their proliferation at the injection site, and decrease the biomechanical properties of the injected tendons.³⁶ High doses of CS (1.0 mg/mL of triamcinolone acetonide) cause irreversible effects on the human RC-derived tenocytes by prolonging the suppression of their viability and promoting apoptosis. CS increase mRNA expressions of caspase-3, 7, 8 and 9, indicating that both the endogenous and the exogenous apoptosis pathways are activated. Lower concentrations of CS (0.1 mg/mL of triamcinolone acetonide) seem to have reversible effects on the tendons in 3 weeks, suggesting intervals longer than 3 weeks for safe CS re-administration.^{37,38}

Furthermore, the use of lidocaine with the injection causes cytotoxicity, decreases biomechanical properties, induces apoptosis and delays collagen organization in torn RC tendons both *in vivo* and *in vitro* increasing reactive oxygen species production regulated by extracellular signals and activation of caspase-3/7.³⁹

Recently, platelet rich plasma (PRP), a blood fraction containing a high concentration of platelets, has been used to improve healing in tendon injuries, stimulating cell proliferation and total collagen production in human tenocyte cultures. Kim et al. showed that self assembled peptide (SAP) + PRP can be effective in healing a RC tear by enhancing the collagen arrangement and inhibiting inflammatory changes and apoptosis.⁴⁰ Muto et al. confirm that the deleterious effect and apoptosis of CS injections can be prevented by adding PRP in vitro.³⁸ On the other hand, Carr et al.⁴¹ in a randomized controlled trial including 60 patients (age: 35-75 years) showed that the co-application of PRP during arthroscopic acromionplasty did not improve clinical outcomes at any time of the study (P < 0.001). In that study, PRP caused potential deleterious effects on healing tendons, decreasing blood vessel number and tendon cellularity and increasing the levels of p53 protein in tendon biopsies taken 12 weeks after acromionplasty. The authors concluded that PRP treatment could actually be pro-apoptosis.

Three studies showed how oxidative stress increased autophagy and RC tears, and how antioxidants protect against autophagic cell death.⁴² Anthocyanins, a natural antioxidant, inhibiting intracellular ROS production and reducing the H₂O₂-induced phosphorylation of ERK1/2, JNK and p38, plays an important anti-apoptotic role in the prevention of RC tendinopaty.^{43,44}

Nevertheless, other studies are necessary to explain better their molecular interactions and how these molecules could be used to regulate the apoptosis process.

Table 1 Effects of exogenous substances

Author	Study type	Drug	Specimen	Results
Honda et al. ³⁹	In vivo In vitro	Lidocaine	<i>In vitro</i> : tenocytes from 14 torn human RC tendons cultured in monolayers at various concentrations of lidocaine <i>In vivo</i> : 33 rats underwent bilateral shoulder surgery	Lidocaine significantly inhibit cell proliferation and cause cell death in tenocytes, induce apoptosis, collagen necrosis and decrease biomechanical strength
Yamada <i>et al.</i> ³³	In vitro	НА	10 Patients with RC disease (age: 62 years, range: 44-72).	Treatment with various concentrations of HA significantly modulate cell proliferation decreasing the expression level of procollagen alpha1 (III) mRNA, but not that of procollagen alpha1 (I) mRNA
Osti <i>et al.</i> ³⁵	In vitro	HA	Supraspinatus tendons tear from 10 patients (mean age of $63,6 \pm 6,9$ years) operated arthroscopically for shoulder RC repair	HA increased viability and proliferation, in dose-dependent manner and reduce apoptosis at 24 h compared to control cells
Nakamura <i>et al.</i> ³⁶	In vitro In vivo	Corticosteroid and HA	16 Tendon specimens from patients with RCT; 60 adult bilateral shoulder Sprague-Dawley male rats (40 shoulders treated by CS or HA, 40 by CS or PBS, and 40 by HA or PBS)	CS induced the death of tendon fibroblasts and inhibited their proliferation with features typical of apoptosis and secondary necrosis. HA possesses anti-inflammatory and anti-adhesive
Harada <i>et al.</i> ³⁷	In vitro	Triamcinolone acetonide	Human RC-derived cells isolated from the torn edges of human supraspinatus tendons of two men aged 61 and 54 years, and one woman aged 72 years	activities in tendon and synovial fibroblasts derived from RCT without adverse effects A 0.1 mg/mL dose of TA temporarily decreased cell viability and increased cell apoptosis, which was recovered at 21 days, however, 1 mg/mL of TA caused
Muto <i>et al.</i> ³⁸	In vitro	PRP and triamcinolone acetonide (TA)	Human RC-derived cells isolated from the torn edges of human supraspinatus tendon of three men aged 61, 54 and 32 years and one woman aged 72 years	irreversible damage to cell morphology and viability Exposure to TA significantly decreased cell viability and increase the number of apoptotic cells, but cell viability and apoptosis did not decrease when PRP was added with TA. The deleterious effect of TA was prevented by PRP
Carr <i>et al</i> . ⁴¹	In vivo	PRP	60 Randomized patients with RC tendinopathy (55% women, 35–75 years). Patients were randomized to arthroscopic acromionplasty (AA) alone or in combination with an injection of autologous PRP into the subacromial bursa (AA + PRP).	PRP significantly alters the tissue characteristics in tendons after surgery reducing cellularity and vascularity and increasing levels of apoptosis

Continued

Table 1 Continued	tinued			
Author	Study type Drug	Drug	Specimen	Results
Kim <i>et al.</i> ⁴⁰	In vivo	PRP + self assembled peptide (SAP)	27 Sprague-Dawley rats randomly divided in four groups (7 SAP, 7 PRP, 7 SAP–PRP and six control)	SAP–PRP can be effective in healing a rotator cuff tear by enhancing the collagen arrangement and inhibiting inflammatory changes and apoptosis
Kim et al. ⁴²	In vitro	Cyanidin	Human supraspinatus tendon tissues collected from three patients (two males and one female, ages 50, 56 and 55 years)	Cyanidin inhibits autophagic cell death
Nam <i>et al.</i> ⁴⁴	In vivo	Cyanidin and delphinidin	atus tendons of adult male Sprague-Dawley rats	Cyanidin and delphinidin exerted dose-dependent anti- apoptotic effects ($P < 0.001$)
Park <i>et al.</i> ⁴³	In vitro	Anthocyanins	Supraspinatus tendons of male Sprague-Dawley	Anthocyanins has an inhibitory effect on H2O2-induced apoptosis by suppressing both the intracellular ROS production and activation of JNK and ERK1/2
Lundgreen et al. ⁴⁷	In vivo	Smoke	10 Smokers vs 15 non smokers with full-thickness supraspinatus tendon tears	The supraspinatus tendons from smokers have significantly more advanced degenerative changes with increased density of apoptotic cells, reduced tenocyte density and upregulation proliferative activity

Cigarette smoke has a negative effect on tendon healing, and many studies have remarked on the increase of the risk of RC tears in smookers; in particular, nicotine and carbon monoxide decrease microperfusion and tissue oxygenation, leading to tissue hypoxia.^{45,46}

Lundgreen *et al.*⁴⁷ showed that the supraspinatus tendons in smokers have significantly more advanced degenerative changes, with increased density of apoptotic cells, reduced tenocyte density and down regulation of proliferative activity.

Endogenous substances may also regulate apoptosis. Recent studies have investigate the role of hormones in the pathogenesis of tendinopathy, and it seems that hormonal imbalances cause negative effects on the healing and maturation process of tendon healing.⁴⁸

Oliva *et al.* investigated the presence of thyroid hormones receptors in RC tendons, and described their possible role in the proliferation and apoptosis of human tenocyte by enhancing tenocyte growth and counteracting apoptosis in healthy tenocytes.^{49,50}

Berardi *et al.* confirmed this hypothesis, in an *in vitro* study evaluating biopsies from five different healthy supraspinatus tendons, and showing how thyroid hormones modulate ECM proteins secretion (such as collagen I, biglycan and Cartilage Oligomeric Matrix Protein) in tenocytes.⁵¹

Maman *et al.*⁵² described the reaction of tenocytes to the estrogens and calciotropic stimulations: female sex steroids and vitamin D promoted tendon-derived cell proliferation via estrogen receptor α and vitamin D receptor.

The results are summarized in Table 1.

Conclusion

Apoptosis in RC tears may be induced by many stimuli, both endogenous and exogenous. *In vivo* and *in vitro* studies showed that repetitive stress and overuse in normal human tenocytes produce hypoxia, and start a typical pathway that induce apoptosis and contribute to tendon failed healing response.

In RC tears, the concentration of cytokines and caspases is increased. They play a key role in

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cellular apoptosis and in the regulation of the homeostasis between the apoptotic and inflammatory processes in the RC tendon tears.

The pro-apoptotic signals increase moving away from the tear margins, and can play an important role during the surgical repairs of RC tear on the healing response of the tendon. It appears that wide debridement the edge of a tendon tear is not necessary to enhance the healing process.

Genetic influences increase the susceptibility to the earlier incidence of tears and progression of symptoms and tear size. Antioxidants could play a role in the development of RC tears, but other studies are necessary to confirm this. Understanding the pathological cascade should lead to the development of cell-target treatment modalities for early RC tendinopathy.

Several drugs are injected to manage RC tear. CS seems to reduce pain, but with deleterious effects on tendons. HA reduces apoptosis acting on the production of collagen type I and reduction of type III, but it is still unclear what are the most appropriate molecular weight and therapeutic protocol.

In conclusion, knowing which stimuli may trigger the cascade of RC tendinopathy and its modifiable mediators would allow to reduce the damage and increase the potential healing of such injuries.

Conflict of interest statement

The authors have no potential conflicts of interest.

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