1	Who is more Vulnerable to Death from Extremely Cold Temperatures?
2	A Case-Only Approach in Hong Kong with a Temperate Climate
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24	Authors' contributions:
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26	interpreted the results and wrote the paper. TQT and CMW co-worked on associated data
27	collection and their interpretation.

Abstract

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30	Short-term effects of ambient cold temperature on mortality have been well documented in
31	the literature worldwide. However, less is known about which subpopulations are more
32	vulnerable to death related to extreme cold. We aimed to examine the personal
33	characteristics and underlying causes of death that modified the association between
34	extreme cold and mortality in a case-only approach. Individual information of 197,680
35	deaths of natural causes, daily temperature and air pollution concentrations in cool season
36	(November ~ April) during 2002 - 2011 in Hong Kong were collected. The extreme cold
37	was defined as those days with preceding week with a daily maximum temperature at or
38	less than the 1st percentile of its distribution. Logistic regression models were used to
39	estimate the effects of modification, further controlling for age, seasonal pattern and air
40	pollution. Sensitivity analyses were conducted by using the 5 th percentile as cutoff point to
41	define the extreme cold. Subjects with age of 85 and older were more vulnerable to
42	extreme cold, with odds ratio (OR) of 1.33 (95%CI: 1.22-1.45). The greater risk of extreme
43	cold related mortality was observed for total cardiorespiratory diseases and several specific
44	causes including hypertensive diseases, stroke, congestive heart failure, COPD and
45	pneumonia. Hypertensive diseases exhibited the greatest vulnerability to extreme cold
46	exposure, with OR of 1.37 (95%CI: 1.13-1.65). Sensitivity analyses showed the robustness
47	of these effect modifications. This evidence on which sub-populations are vulnerable to the
48	adverse effects of extreme cold is important to inform public health measures to minimize
49	those effects.

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Key Words:

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Introduction

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54 Studies on the associations between extreme cold/hot temperatures and daily mortality have been well documented in the literature (Curriero et al. 2002; Hajat et al. 2007; Analitis et 55 56 al. 2008; Basagaña et al. 2011; Chen et al. 2013; Guo et al. 2014). Researchers have found 57 that both cold and hot temperatures are associated with increased risk of mortality. In 58 general, cold effects are delayed and last for more than a few days, whereas heat effects 59 appear quickly and do not last long. At the same time, identification of factors that modify 60 the effects of extreme temperatures on mortality is also an issue of interest in the scientific 61 community. A greater susceptibility has been reported for the elderly and female (Hajat et 62 al. 2007; Analitis et al. 2008; Zhou et al. 2014; Zeng et al. 2014), and for those with lower 63 socioeconomic status (Armstrong 2003; Hajat et al. 2007; Xu et al. 2013). Regarding the 64 medical conditions and preexisting diseases that may confer susceptibility, results of 65 previous studies from different regions are geographically heterogeneous (Schwartz 2005; 66 Medina-Ramón et al. 2006; Madrigano et al. 2013; Zanobetti et al. 2013; Zhou et al. 2014). 67 Hong Kong is a subtropical city located on the southern coast of China, with hot summer 68 and milder winter. The associations of extremely cold and hot temperatures with the 69 increased risk of mortality (Chan et al. 2012; Goggins et al. 2013; Yi and Chan 2015) have 70 been studied. Authors found the heat-related mortality varied with sociodemographic 71 characteristics (Chan et al. 2012), and the cold-related mortality was greater among elders 72 and non-cancer patients (Goggins et al. 2013). However in these studies, researchers used 73 time series Poisson model to estimate the main temperature effect and stratified subgroup 74 analyses to access the potential modification, where the comparisons among subgroups 75 were not conducted and the statistical power might have been reduced. As an alternative, 76 Armstrong BG in 2003 firstly proposed and applied the case-only approach to access how 77 the fixed factors modified the effects of time varying factors in time series study 78 (Armstrong 2003). Being a simplified approach that reduces the vulnerability to model 79 miss-specification bias (Armstrong 2003; Zanobetti et al. 2013), case-only analysis has its 80 advantages over the conventional time series analysis on assessing the effect modification. 81 A greater effect of colder temperatures on mortality risk has been suggested in cities with 82 warmer winter (Curriero et al. 2002; Analitis et al. 2008), and studies conducted in warmer 83 areas with higher long-term mean temperatures tended more frequently to report 84 detrimental effects of cold (Bhaskaran et al. 2009). Hong Kong has hot summer and

85	temperate winter, with very high prevalence of air conditioner usage in summer but almost
86	no house heating in winter, so that the subjects might be more vulnerable to cold.
87	Identifying the most susceptible subpopulations would have great public health
88	implications in this region. In the current study, we aimed to use a case-only approach to
89	identify the time invariant individual factors that confer susceptibility to extreme cold
90	associated mortality, including personal social-demographic characteristics and specific
91	causes of death.
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93	Materials and Methods
94	Mortality Data
95	Daily mortality data during the cool seasons (November-April) in 2002-2011 were obtained
96	from Census and Statistical Department of Hong Kong. Individual information included
97	personal characteristics such as age, sex, occupational status and marital status. Primary
98	causes of death were coded in International Classification of Diseases, 10th version. The
99	underlying causes of death examined in this study as potential modifiers included all
100	diseases of circulatory system (ICD-10: I00-I99), diseases of respiratory system (ICD-10:
101	J00-J99) and diabetes (ICD-10: E10-E14). Some specific causes of cardiorespiratory death
102	were also examined, including stroke (ICD-10: I60-I69), hypertensive diseases (HBP, ICD-
103	10: I10-I15), myocardial infarction (MI, ICD-10: I21, I22), congestive heart failure (CHF,
104	ICD-10: I50), cardiac arrest (ICD-10: I46), chronic obstructive pulmonary disease (COPD,
105	ICD-10: J40-J44, J47) and pneumonia (ICD-10: J12-J18).
106	Temperature and Air Pollution Data
107	The daily minimum, mean and maximum temperature from 2002 to 2011 was obtained
108	from the Hong Kong Observatory. The extremely cold days were defined as those days
109	with preceding week with a daily maximum temperature at or less than the 1^{st} percentile of
110	its distribution in Hong Kong (Medina-Ramón et al. 2006). The calculation was based on
111	the temperature on the 7-day moving average of the day of death and the 6 preceding days
112	(lag06), as previous studies have suggested that mortality is more related to days following
113	a several days with on average low temperature than to a single day of cold (Saez et al.
114	1995), and the cold effect would last for longer days than hot effect (Guo et al. 2014).
115	Different cutoff point using daily maximum temperature at or less than the 5 th percentile to
116	define the extremely cold days was also tried in the sensitivity analyses.

117 Air pollution concentrations in the same period were obtained from the Environmental 118 Protection Department of Hong Kong. We calculated the daily 24-hr mean concentrations 119 of PM₁₀ and NO₂, and daytime 8-hr (10:00-17:00) mean concentrations of O₃ for each 120 general monitoring, and then averaged them across the ten stations (Qiu et al. 2013). Air 121 pollutants would be acted as potential confounders in the data analysis. 122 **Analytic Method** 123 This is a case-only approach to assess how the association between extreme temperature 124 and mortality was modified by the personal characteristics and the specific primary causes 125 of death. The underlying idea behind this approach is that if a time invariant factor 126 increases the risk of dying on extremely cold (or hot) days, a greater proportion of people 127 who died during those periods would be expected to have this factor, compared with people 128 who died during milder weather conditions. Hence, if a characteristic is a risk modifier for 129 deaths during extremely cold days, then extreme cold exposure should be a predictor of the 130 occurrence of that characteristic on death certificates using logistic regression. Formal 131 proof of the approach was provided by Armstrong (Armstrong 2003). Several studies 132 followed this approach to identify the sensitive subpopulation who is more vulnerable to 133 die from extreme temperatures (Schwartz 2005; Medina-Ramón et al. 2006; Medina-134 Ramón and Schwartz 2007; Zanobetti et al. 2013). 135 The validity of this approach depends on the assumption that the modifier and exposure are 136 independent, that is, not associated in the base population that gave rise to the deaths. 137 Because the personal characteristics vary among individuals but not fluctuate from day to 138 day variation of temperature, this assumption is clearly met in studies of ambient 139 temperature. Armstrong also suggested that the assumption that modifiers are fixed in time 140 could be relaxed to allow modifiers that change in time much more slowly than does the 141 temperature, such as age, chronic diseases, and some long-term treatments (Armstrong 142 2003). The case-only approach was proposed to analyze the effect modification but not the 143 main effect, and the motivation is simplification of modeling and reduced vulnerability to 144 model miss-specification bias. 145 As the personal characteristics such as gender, non-married marital status, and 146 economically inactive were all associated with old age, and Armstrong noted that 147 "Interaction of the time-varying factor of interest with another time-fixed variable" was 148 "almost certain to confound" an interaction of interest in a case-only analysis, we tried the

149	analyses by including the potential confounding of age as a four-level categorical variable
150	(age<65, age of 65-74, age of 75-84 and age>=85) in order to get the age-controlled
151	estimates of modification. Considering the possible interaction of the putative modifier
152	under investigation with other time-varying factors such as air pollutants, which would
153	confound the modification of interest (Armstrong 2003), we also did sensitivity analysis by
154	including air pollutants (PM ₁₀ , NO ₂ and O ₃) as additional indicators in the logistic
155	regression model. Furthermore, because of the baseline seasonal pattern of mortality, the
156	additional non-temperature related modifiers of risk by predisposing condition might be
157	captured by a sine and cosine term with 365.24-day period (Schwartz 2005). We therefore
158	included an annual sine-cosine pair to sufficiently control for a seasonal component that
159	might plausibly confound the modifier of interest and extreme temperature.
160	Binary logistic regression was repeatedly used to examine the modifier with two levels
161	such as personal characteristics (gender, employment and marital status); multinomial
162	logistic regression was used to examine the modifier with several categories such as age
163	and specific causes of death. All analyses were conducted in SPSS version 20.0.
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165	Results
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be due to their association with old age. Causes of cardiorespiratory diseases (compared with other natural causes) had higher risks of death related to extremely cold temperature, 183 184 with OR of 1.17 (95%CI: 1.10-1.25) for total circulatory diseases and 1.13 (95%CI: 1.05-185 1.22) for total respiratory diseases, respectively. Among the specific causes of death, 186 COPD, pneumonia, stroke, hypertensive diseases, and congestive heart failure showed 187 greater susceptibility to death on days following extremely cold periods (Table-3). The greatest risk of cold related mortality was observed for hypertensive diseases, with OR of 188 189 1.37 (95%CI: 1.13-1.65). The modifications of the specific circulatory causes on cold 190 related mortality were robust after controlling for age, seasonal pattern (a sine and cosine 191 term with 365.24-day period) and air pollutants (PM₁₀, NO₂ and O₃). Sensitivity analyses using the 5th percentile as the cutoff point to define the extremely cold 192 193 days got similar estimates, which appeared to result in a larger statistical power to capture 194 more personal characteristics and specific causes of death including diabetes and MI as the 195 modifiers for the cold associated mortality (Table-4). 196 197 **Discussion** 198 In this case-only study conducted in cool seasons in Hong Kong, we identified several sub-199 populations that are particularly susceptible to extremely cold temperatures. Subjects with 200 hypertensive diseases were especially vulnerable to extreme cold. The increase in deaths on 201 days following extremely cold periods was higher also for stroke, MI, CHF, COPD and 202 pneumonia. Among the personal characteristics, only older age was clearly associated with 203 elevated risk of mortality from extremely cold temperatures. 204 Chronic Diseases. It is explicable that subjects with hypertensive diseases show the 205 greatest susceptibility to the effects of extremely cold temperature. Cold stress has been 206 found to result in raising blood pressure, increasing the blood viscosity and platelet counts 207 (Keatinge et al. 1984; Elwood et al. 1993). The cold effects on homeostasis system with 208 increased fibrinogen, together with the effect on blood pressure, could explain a large part 209 of the increase in myocardial infarction in the winter (Elwood et al. 1993). The marked 210 increase of deaths from stroke on extremely cold days may also relate to the higher blood 211 pressure in winter and increased levels of plasma cholesterol and fibrinogen (Keatinge et 212 al. 1984; Fröhlich et al. 1997) which could facilitate the formation of blood clots and lead 213 to thrombosis through haemoconcentration. It is interesting we found the higher risk of 214 dying from congestive heart failure on days following extremely cold periods, which was

215 not reported in previous studies (Schwartz 2005; Medina-Ramón et al. 2006). Congestive 216 heart failure would be a result of many cardiovascular diseases or occur when several 217 cardiovascular diseases/conditions are present at once. However, we did not found the 218 increased vulnerability for cardiac arrest on extremely cold days as a previous study 219 reported (Medina-Ramón et al. 2006), which could result from the small sample size in our 220 study. We only recorded 284 cardiac arrest cases during the ten years' study period, 221 accounting for 0.1 percent of the total deaths. 222 The increased susceptibility of causes of respiratory diseases especially COPD and 223 pneumonia are also noteworthy. The lungs of persons with COPD and pneumonia are 224 typically colonized by bacteria, and cold weather can easily exacerbate respiratory 225 infections (Burge 2006). In addition, cold can induce bronchospasm, as well as increase 226 platelet and red cell counts, and blood viscosity (Keatinge et al. 1984). Because persons 227 with COPD often have cardiovascular complications, these effects on blood components 228 may also play a role. 229 Sociodemographic Factors. Being consistent with the previous studies (Schwartz 2005; 230 Hajat et al. 2007; Analitis et al. 2008; Medina-Ramón and Schwartz 2008; Zhou et al. 231 2014; Yi and Chan 2015), we found a greater susceptibility of the elderly to extreme cold 232 related death. A reduced thermoregulatory capacity in the elderly, combined with a 233 diminished ability to detect changes in their body temperature, may partly explain their 234 increased susceptibility. A French three-city study found that outdoor temperature and 235 blood pressure are strongly correlated in the elderly (Alpérovitch et al. 2009). The elderly 236 may also have a higher prevalence of co-morbidities which would make them more 237 sensitive to cold effect. 238 The modification effects of other personal characteristics including 'female', 'economically 239 inactive' and 'never married/widowed/divorced' were less significant and less robust, and 240 the age-controlled estimates of modification disappeared. These characteristics and old age 241 were interrelated, so that their vulnerability may probably be explained by old age. The 242 susceptibility of females may be due to the fact that they live longer. The susceptibility of 243 those economically inactive may be due to the group of retired and again be explained by 244 age; and the susceptibility of those never married/widowed/divorced may be driven by the 245 widowed group and therefore be explained by age (or sex).

Advantages of case-only approach. The conventional approach to investigate the modification of personal characteristics and pre-existing comorbidities is by inclusion of interaction terms in the regression model of outcome on the exposure and modifier, or by carrying out separate regressions on strata with different modifier status (Lipsett et al. 1997; Zanobetti et al. 2000; Zeka et al. 2006; Peel et al. 2007; Kan et al. 2008; Qian et al. 2013). However, the case-only approach provides important advantages over traditional analyses in examining the effect modification, including reduction of potential confounding by variables typically associated with mortality, simplification of modeling, and reduction of results sensitivity to model misspecification bias (Armstrong 2003; Zanobetti et al. 2013). Of particular interest, the long term trend and periodicity in mortality whose modeling is quite complex, drops out in case-only approach. It was encouraging that in this study, seasonal pattern and air pollutants did not appear to confound the modification of interested factors. Using the 5th percentile as the cutoff point to define the extremely cold days seemed easier to identify the specific cardiorespiratory causes of death as the modifiers for the cold associated mortality, which may be due to the larger statistical power than the 1st percentile being used as the cutoff. Although such findings need to be confirmed in more locations, including areas with different climates, they support the use of the case-only approach to examine susceptibility. *Limitations of this study.* One limitation of this study is that we could not link the death data to the previous medical records of the decedents, so that we were unable to abstract the pre-existing comorbidities for each subject. Although the subjects who died of cardiorespiratory diseases might have had pre-existing chronic cardiorespiratory diseases, modification of the specific primary causes of death identified in this study could not exactly represent the modification of the pre-existing comorbidities. Second, air pollution concentrations averaged from general monitoring stations were assigned to all the decedents. This may introduce some misclassification of the pollution exposure although the potential error can be non-differential. Another limitation came from the case-only study design itself, which cannot estimate the main effect of the extreme cold but only the effect modification by certain characteristics. With the main effects of cold temperature on mortality in Hong Kong been well studied previously (Goggins et al. 2013; Guo et al. 2014; Yi and Chan 2015), however, examining the effect modification was the main purpose of the current study.

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Conclusions

We identified old age and some specific cardiorespiratory causes including hypertensive diseases, stroke, congestive heart failure, COPD and pneumonia that are particularly susceptible to extreme cold related mortality. Understanding who is susceptible to the extreme events will be important in minimizing their public health impact. The vulnerable subpopulations identified in this study may use central heating to mitigate the cold effect on days following extremely cold periods.

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Table-1 Descriptive Statistics for Natural Causes of Death in Cool Seasons in Hong Kong (November-April, 2002-2011)

Category	Number	Percentage (%)
Total	197,680	100.0
Age		
<65 yrs	36,570	18.5
65-74 yrs	37,425	18.9
75-84 yrs	66,103	33.4
>=85 yrs	57,582	29.1
Sex		
Male	109,505	55.4
Female	88,175	44.6
Occupational Status		
With occupation	18,402	9.3
Economically inactive	179,278	90.7
Married Status		
Married	93,775	47.4
Never married/Widowed/Divorced	75,585	38.2
Unknown	28,320	14.3
Cause of death		
Diabetes	3,209	1.6
All cardiovascular diseases	57,024	28.8
Stroke	18,657	9.4
Hypertensive Diseases	3,720	1.9
Myocardial Infarction	10,550	5.3
Congestive Heart Failure	4,283	2.2
Cardiac Arrest	158	0.1
All respiratory diseases	40,310	20.4
COPD	10,092	5.1
Pneumonia	25,808	13.1

Figure-1 The temporal distribution of daily maximum/mean/minimum temperature (°C) in Hong Kong, 2002-2011

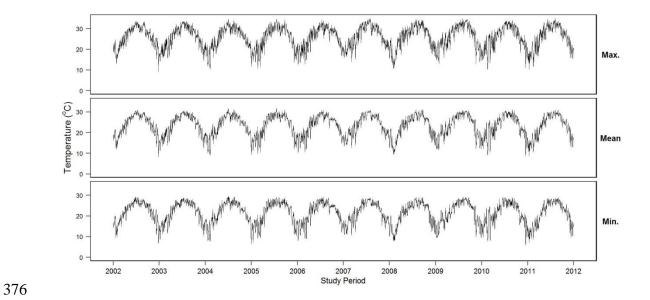


Table-2 Modification by Personal Characteristics of the Effect of Extremely Cold Temperatures on Mortality in Cool Seasons in Hong Kong, 2002-2011 (OR (95%CI))*

Characteristics	Model 1 ^a	Model 2 ^b	Model 3 ^c
Age of 65-74yrs	1.05 (0.95, 1.15)	-	1.04 (0.95, 1.15)
Age of 75-84yrs	1.19 (1.10, 1.30)	-	1.19 (1.10, 1.30)
Age of 85yrs and older	1.33 (1.22, 1.45)	-	1.33 (1.22, 1.45)
Female	1.06 (1.00, 1.12)	1.01 (0.96, 1.07)	1.06 (1.00, 1.12)
Economically Inactive	1.11 (1.00, 1.23)	1.02 (0.92, 1.14)	1.09 (0.98, 1.20)
Never married/Widowed /Divorced	1.08 (1.01, 1.15)	1.02 (0.96, 1.09)	1.08 (1.01, 1.15)

^{*:} Estimates represent the ratio of relative risk associated with extreme cold in persons who have the condition (e.g. being female) relative to that ratio in other persons. For the age groups, all compared with the age less than 65yrs group. The extremely cold days were defined as those with a daily maximum temperature at or less than the 1st percentile of its distribution in Hong Kong during 2002-2011, based on the temperature on the 7-day moving average of same day of death and the 6 preceding days.

Table-3 Primary Causes of Death as Modifiers of the Effect of Extremely Cold Temperatures on Mortality in Cool Seasons in Hong Kong, 2002-2011 (OR (95%CI))*

Cause of Death	Model 1 a	Model 2 b	Model 3 °
Diabetes	1.19 (0.96, 1.48)	1.17 (0.94, 1.45)	1.19 (0.96, 1.48)
All Circulatory Diseases	1.17 (1.10, 1.25)	1.13 (1.06, 1.21)	1.17 (1.10, 1.25)
Stroke	1.14 (1.03, 1.26)	1.10 (1.00, 1.22)	1.14 (1.03, 1.26)
Hypertensive Diseases	1.37 (1.13, 1.65)	1.31 (1.08, 1.58)	1.37 (1.13, 1.66)
Myocardial Infarction	1.09 (0.96, 1.24)	1.07 (0.94, 1.21)	1.09 (0.96, 1.24)
Congestive Heart Failure	1.25 (1.04, 1.50)	1.16 (0.96, 1.39)	1.25 (1.04, 1.50)
Cardiac Arrest	1.10 (0.41, 2.96)	1.06 (0.39, 2.87)	1.02 (0.38, 2.77)
All Respiratory Diseases	1.13 (1.05, 1.22)	1.06 (0.99, 1.15)	1.13 (1.05, 1.22)
COPD	1.14 (1.00, 1.29)	1.09 (0.95, 1.24)	1.12 (0.99, 1.28)
Pneumonia	1.16 (1.06, 1.26)	1.08 (0.98, 1.18)	1.16 (1.06, 1.26)

^{*:} Estimates represent the ratio of relative risk associated with extreme cold in persons who die from a specific cause of death (e.g. stroke) relative to that ratio in persons dying from other non-cardiorespiratory and non-diabetes causes. The extremely cold days were defined as those with a daily maximum temperature at or less than the 1st percentile of its distribution in Hong Kong during 2002-2011, based on the temperature on the 7-day moving average of same day of death and the 6 preceding days.

^a: single factor model with extreme cold only; ^b: model 1 further controlling for confounding from age as a four-level categorical factor; ^c: model 1 further controlling for confounding from seasonal pattern (captured by an annual sine-cosine pair with 365.24-day period) and air pollutants (PM₁₀, NO₂ and O₃).

^a: single factor model with extreme cold only; ^b: model 1 further controlling for confounding from age as a four-level categorical factor; ^c: model 1 further controlling for confounding from seasonal pattern (captured by an annual sine-cosine pair with 365.24-day period) and air pollutants (PM₁₀, NO₂ and O₃).

Table-4 Sensitivity Analysis using the 5th percentile as the cutoff to define the extreme cold (OR (95%CI))*

402

cold (OK (95%C1)).			
Condition	Model 1 ^a	Model 2 b	Model 3 c
Characteristics			
Age of 65-74yrs	1.01 (0.97, 1.06)	-	1.00 (0.96, 1.05)
Age of 75-84yrs	1.08 (1.04, 1.13)	-	1.08 (1.04, 1.13)
Age of 85yrs and older	1.17 (1.12, 1.22)	-	1.17 (1.13, 1.22)
Female	1.03 (1.00, 1.06)	1.00 (0.97, 1.03)	1.03 (1.00, 1.06)
Economically Inactive	1.01 (0.97, 1.06)	0.97 (0.92, 1.02)	0.98 (0.94, 1.03)
Never married/Widowed /Divorced	1.06 (1.03, 1.09)	1.02 (0.99, 1.06)	1.06 (1.03, 1.10)
Cause of death			
Diabetes	1.20 (1.08, 1.33)	1.19 (1.07, 1.32)	1.17 (1.05, 1.30)
All Circulatory Diseases	1.17 (1.14, 1.21)	1.15 (1.12, 1.19)	1.16 (1.12, 1.20)
Stroke	1.16 (1.10, 1.21)	1.14 (1.09, 1.20)	1.15 (1.10, 1.21)
Hypertensive Diseases	1.31 (1.19, 1.44)	1.29 (1.17, 1.41)	1.30 (1.18, 1.44)
Myocardial Infarction	1.11 (1.04, 1.18)	1.10 (1.03, 1.17)	1.09 (1.02, 1.16)
Congestive Heart Failure	1.19 (1.09, 1.31)	1.15 (1.05, 1.26)	1.20 (1.09, 1.32)
Cardiac Arrest	1.31 (0.83, 2.06)	1.29 (0.82, 2.03)	1.25 (0.79, 1.97)
All Respiratory Diseases	1.11 (1.07, 1.15)	1.08 (1.04, 1.12)	1.11 (1.07, 1.16)
COPD	1.12 (1.05, 1.20)	1.10 (1.03, 1.17)	1.11 (1.04, 1.18)
Pneumonia	1.12 (1.07, 1.17)	1.08 (1.03, 1.13)	1.13 (1.09, 1.18)

^{*:} Estimates represent the ratio of relative risk associated with extreme cold in persons with sociodemographic characteristic or dying from a specific cause of death relative to that ratio in other persons. The extremely cold days were defined as those with a daily maximum temperature at or less than the 5th percentile of its distribution in Hong Kong during 2002-2011, based on the temperature on the 7-day moving average of same day of death and the 6 preceding days.

a: single factor model with extreme cold only; b: model 1 further controlling for confounding from age as a 410 four-level categorical factor; c: model 1 further controlling for confounding from seasonal pattern (captured by an 411 annual sine-cosine pair with 365.24-day period) and air pollutants (PM₁₀, NO₂ and O₃).