



Cognitive and Affective Theory of Mind in Mild Cognitive Impairment and Parkinson's Disease: Preliminary Evidence from the Italian Version of the Yoni Task

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1. Introduction

Theory of mind (ToM) is a widely investigated construct in neuropsychology as well as in developmental and clinical psychology. It was originally described by Premack and Woodruff (1978) as the ability to infer and to represent the mental states of self and others (intentions, emotions, desires, and beliefs) and to understand and predict one's own and other people's behaviour on the basis of such mental representations. The increasing number of studies in this field have highlighted that ToM may be considered a complex, multidimensional psychological construct requiring the integration of several components, such as the attribution of intentions vs. emotions and the level of complexity of such inferences (first- and second-order level of attribution). Brothers and Ring (1992) distinguished between "cold" and "hot" aspects of ToM, later termed "cognitive" and "affective" ToM, respectively (Wang & Su, 2013). Cognitive ToM concerns the ability to understand the intentions, beliefs, and thoughts of the self and others. It can be evaluated through several tasks, such as the conventional first-order (Baron-Cohen, Leslie, & Frith, 1985; Wimmer & Perner, 1983), and second-order (Baron-Cohen, 1989; Perner & Wimmer, 1985) False Belief tasks, the cognitive subcomponent of the Faux Pas Recognition test (Stone, Baron-Cohen, & Knight, 1998) and the Strange Stories task (Happè, 1994). On the other hand, affective ToM concerns reasoning about the affective states, emotions or feelings of self and others. It is traditionally assessed using the Reading the Mind in the Eyes test (Baron-Cohen et al., 2001) and the affective subcomponent of the Faux Pas Recognition test (Stone, Baron-Cohen, & Knight, 1998).

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3 A different paradigm introduced by Shamay-Tsoory and Aharon-Peretz (2007) systematically
4 examined the dissociation between the cognitive and affective components of this construct at
5 different inferential levels. The Yoni task is designed as a computerized task that evaluates the
6 ability to judge first- and second-order affective versus cognitive mental state attributions based on
7 simple verbal instructions and eye-gaze cues involving minimal language and executive demands
8 (Shamay-Tsoory & Aharon-Peretz, 2007). The Yoni task was first used to investigate cognitive and
9 affective dimensions of ToM in patients with localized brain lesions (Shamay-Tsoory & Aharon-
10 Peretz, 2007), people with schizophrenia (Shamay-Tsoory, Aharon-Peretz, & Levkovitz, 2007), and
11 criminal offenders (Shamay-Tsoory et al., 2010). These studies have produced evidence of a partial
12 dissociation between affective and cognitive ToM based on partially distinct anatomical substrates.
13 Specifically, the Ventromedial Prefrontal Cortex (vmPFC) (Sebastian et al., 2011; Shamay-Tsoory
14 et al., 2005), the Amygdala (Völlm et al., 2006), the Inferior Frontal Gyrus (IFG) (Bodden et al.,
15 2013; Dal Monte et al., 2014), and the Anterior Cingulate Cortex (ACC) (Bodden et al., 2013) have
16 been found to be important for affective ToM, whereas the Dorsolateral Prefrontal Cortex (DLPFC)
17 (Kalbe et al., 2010; Xi et al., 2011) and the posterior temporo-parietal regions (Corradi-Dell'Acqua,
18 Hofstetter, & Vuilleumier, 2014; Van Overwalle & Baetens, 2009) have been found to play a key
19 role in cognitive ToM tasks.

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40 Given the distinction between cognitive and affective ToM and the involvement of specific brain
41 areas underlying such different facets of mentalizing, we can assume the existence of different
42 patterns of ToM impairment according to the specific neurodegenerative condition. In particular,
43 the extent of ToM deficits may depend on various elements, such as the topographical distribution
44 of the brain damage and the different stages of the disease. For example, the partial dissociation
45 between cognitive and affective subcomponents of ToM was observed in Alzheimer's Disease
46 (AD), a neurodegenerative condition which progressively leads to severe cognitive impairment and
47 dementia. In this case, the neuropathological process affects, in the early clinical stage, the temporo-
48 parietal regions involved in cognitive ToM reasoning. With the progression of the disease, the
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3 cortical degeneration involves also the pre-frontal regions, with the engagement of the affective
4 component of ToM (Kemp et al., 2012). However, concerning the latter dimension, the results
5 appear controversial. While the majority of the studies highlight a significant impairment in the
6 cognitive dimension of ToM, in particular in those tasks with a high cognitive load such as second-
7 order false belief tasks, it has also been suggested that patients with AD show impaired affective
8 ToM.
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11 Notably, only a few studies have investigated ToM in people in a pre-dementia stage, i.e., in people
12 with Mild Cognitive Impairment (MCI), who are at increased risk for developing AD. In fact, MCI
13 represents a prodromal clinical phase which refers to the transition from a healthy condition to an
14 early AD condition (Petersen, 2004; Petersen et al., 2009). People with MCI show mild cognitive
15 deficits in a single cognitive domain (usually memory) or even in multiple cognitive domains.
16 However, their general cognitive functioning and their autonomy in daily life seem to be preserved.
17 Studies by Baglio et al. (2012), Moreau et al. (2015), and Poletti and Bonuccelli (2013) reported a
18 decline of both cognitive and affective ToM in people with MCI, while Dodich et al. (2016) did not
19 find any ToM impairment in these patients. Collectively, these findings suggest that ToM
20 impairment may arise early in people with MCI, but the results are quite controversial given the
21 high variability of the tasks used to evaluate ToM. Therefore, further research is needed to better
22 define the specific pattern of ToM difficulties in this clinical population, and to examine its possible
23 relationship with deficits in cognitive functions.
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44 A possible way to reach this goal would be to compare the ToM functioning of individuals
45 diagnosed with MCI, predominantly typified by cognitive symptoms but in absence of dementia, to
46 that of individuals with a neurodegenerative disease characterized mainly by motor symptoms and
47 in the absence of severe cognitive impairment, such as the early stage of Parkinson's Disease (PD).
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49 It has been demonstrated that people with Parkinson's Disease (PD) show cognitive ToM deficits,
50 in both the early and moderate stage of the disease. On the contrary, affective ToM seems to be
51 preserved at the very early stage of the disease – less than five years of disease duration (Poletti et
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3 al., 2012; Bora et al., 2015). According to the current model of ToM processing in PD, cognitive
4 and affective subcomponents of ToM may be associated to different frontostriatal circuitries, which
5 are affected in people with PD in relation to the stage of the disease (Bodden et al., 2010). In
6 particular, at early stages PD affects the head of the caudate nucleus, an area belonging to the
7 Dorsolateral Frontostriatal circuitry (DLFS) and involved in cognitive ToM tasks. With the
8 progression of the disease, the depletion of dopamine also affects the Orbital Frontostriatal circuitry
9 (OFS), with the involvement of the affective sub-components of ToM.
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18 Considering that the ToM profile of individuals with PD is relatively characterized as compared to
19 that of MCI, in the current study we sought to compare ToM abilities in these two populations. It
20 was reasoned that a comparison between two non-demented populations, i.e. MCI and early PD,
21 could be helpful in characterizing the different profile of ToM functioning in relation to different
22 neuropathological processes, also in the early stage when social cognitive impairment might be
23 subtle and hardly to detect (Moreau et al., 2015). Deficits in cognitive and/or affective
24 subcomponents of ToM might be a core feature of the early stages of such two neurological
25 disorders, with a significant impact on daily living of patients, especially on their quality of life and
26 social interactions (Henry et al., 2016; Yu & Wu, 2013).
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39 To the best of our knowledge, no study so far has explored affective Vs. cognitive ToM functioning
40 among patients with MCI using the Yoni task, and no studies have directly compared these two
41 dimensions of ToM functioning in MCI and PD, two neurodegenerative conditions without severe
42 cognitive impairment and dementia in the early stage. To this end, we investigated both cognitive
43 and affective dimensions of mentalizing ability by using for the first time the computerized Italian
44 version of the Yoni task (Shamay-Tsoory & Aharon-Peretz, 2007), together with a ToM battery that
45 includes both cognitive and affective paper-pencil tasks commonly used in the research with adults
46 and elderly individuals (Castelli et al., 2010). We hypothesized that people with MCI and PD would
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3 exhibit different, specific patterns of ToM impairment according to the different pathological
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5 process involved in these two neurodegenerative diseases.
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8 **2. Methods/Design:**

9 10 *2.1 Participants and clinical assessment*

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13 A total of 48 participants were consecutively recruited from the Don Carlo Gnocchi Foundation,
14 IRCCS S. Maria Nascente in Milan (Italy). Participants included 16 outpatients diagnosed with
15 amnesic Mild Cognitive Impairment [aMCI group: mean (SD) age: 75.88 (3.65) years; range 67-80
16 years; male:female ratio 8:8; mean (SD) education: 11.81 (2.40) years], 14 outpatients with
17 Parkinson's disease [PD group: mean (SD) age: 68.21 (7.96) years; range 52-78 years; male:female
18 ratio 13:1; mean (SD) education: 14.21 (3.44) years] and 18 healthy controls [HC group: mean (SD)
19 age: 74.06 (3.39) years; range 69-80 years; male:female ratio 8:10; mean (SD) education: 12.00
20 (3.24) years]. Table 1 shows the demographic and clinical characteristics of the samples in more
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33 The inclusion criteria for people with aMCI were the following: 1) diagnosis of mild AD or MCI
34 due to AD, according to the recommendations of the National Institute on Aging (Albert et al.,
35 2011; McKhann et al., 2011;) and the DSM 5 diagnostic criteria (American Psychiatric Association
36 - APA 2013); 2) normal global cognitive function, as determined by both the CDR scale (Morris,
37 1993; CDR with at least a 0.5 in the memory domain) and the Mini Mental State Examination score
38 (MMSE score \geq 24; Folstein, Robins, & Helzer, 1983), corrected for gender, age and years of
39 education according to Italian normative data (Measso et al., 1993); 3) memory complaint,
40 confirmed by an informant; 4) abnormal memory function, documented by an extensive
41 neuropsychological examination ; 5) no impairment in functional activities of daily living as
42 determined by a clinical interview with the patient and the informant; 6) absence of cerebral
43 vascular disease, as evidenced by Magnetic Resonance Imaging, or psychiatric illnesses, with
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3 particular attention to excluding participants with a history of depression (Hamilton Depression
4 Rating Scale score ≤ 12 ; Hamilton, 1960); 7) age over 65 years; and 8) school attendance ≥ 3 years.

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7 The inclusion criteria for the PD group were: 1) diagnosis of probable PD, according to Gelb's
8 clinical diagnostic criteria (Gelb, Oliver, & Gilman, 1999); 2) Mini Mental State Examination score
9 within the normal range (MMSE cut-off score 23.80; Folstein, Folstein, & McHugh, 1975)
10 corrected for gender, age and years of education according to Italian normative data (Measso et al.,
11 1993); 3) scores on Hoehn & Yahr (H&Y; Hoehn & Yahr, 1967) less than 2.5; 4) absence of
12 psychiatric and other neurologic illnesses, in particular, visual hallucinations, severe depression or
13 autonomic failure; and 5) antiparkinsonian treatment at a stable dosage during the three months
14 prior to study entry.
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24 The group of healthy controls (HC) consisted of age-matched volunteers with MMSE scores greater
25 than or equal to 26 (Folstein, Folstein, & McHugh, 1975) who attended the Don Carlo Gnocchi
26 Foundation. They were screened according to their clinical history in order to exclude major
27 systemic, psychiatric or neurological illnesses.
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33 Exclusion criteria for all participants were: 1) the presence of visual or auditory deficits; 2) a
34 positive history of psychiatric disorders or behavioral problems; 3) the presence of other
35 neurological conditions, cardiovascular diseases or cerebrovascular diseases; 4) a MMSE (Mini
36 Mental State Examination, Folstein, Folstein, & McHugh, 1975) score ≤ 23.80 , in order to exclude
37 participants with dementia.
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43 The study conformed to the ethical principles of the Helsinki Declaration (1975, revised in 2008),
44 with approval from the local ethics committee (Don Carlo Gnocchi Foundation, Milan). Informed
45 written consent was obtained from all participants before the study began.
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2.2 Neuropsychological and Theory of Mind assessment

Participants underwent a conventional neuropsychological assessment and a traditional paper-pencil ToM evaluation. In addition, a computerized task (the Yoni task) was used to assess affective and cognitive dimensions of ToM.

2.2.1 Neuropsychological assessment

During the neuropsychological examination, we administered the Montreal Cognitive Assessment test (MoCA; Santangelo et al., 2015) as a measure of global cognitive level. According to the theoretical model proposed by Santangelo and colleagues (2015), the total raw score of the MoCA test was divided into 12 subtasks exploring the following cognitive domains: Memory (score range 0-5), Visuo-Spatial Abilities (score range 0-4), Executive Functions (score range 0-4), Attention (score range 0-6), Language (score range 0-6) and Temporal/Spatial Orientation (score range 0-6). The total score of the MoCA test was also considered (score range 0-30). Adjusted and equivalent scores for the total MoCA score and for each cognitive domain subscores were provided according to the normative data in the Italian population sample (Santangelo et al., 2015).

2.2.2 Paper-pencil ToM tasks

ToM reasoning was assessed with a conventional paper-pencil battery specifically designed for research on adults and older individuals (Baglio et al., 2012; Castelli et al., 2010, 2011). For a detailed description of the tasks, please refer to Castelli et al. (2010).

The battery included:

- The *Deceptive Box Task* (Perner, Leekam, & Wimmer, 1987), which assesses the first level of false belief understanding (first-order false belief task). A closed box of candies is shown to the participant, the content of which has been previously substituted with staples. The examiner asks the participant what the closed box contains; then, the box is opened, the real

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3 content is shown and the box is closed again. At the end, the participant is asked to predict
4 what another person would say if shown that closed box (first-order false belief question), to
5 justify this answer, and to say what he/she had thought before discovering the real content
6 (first- order own false belief question). Two control questions are also provided. Each
7 question is scored 1 if the answer is correct and 0 if the answer is wrong (range 0-5).
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13 • The *Look-Prediction* and the *Say-Prediction* tasks (Astington, Pelletier, & Homer, 2002;
14 Liverta Sempio et al., 2005; Sullivan, Zaitchik, & Tager-Flusberg, 1994), which assess the
15 second level of false belief understanding (second-order false belief tasks). The participant
16 has to predict where a character in the story thinks another character would look for a hidden
17 object (look-prediction) or what a character thinks the other one would say about a hidden
18 object (say-prediction). Both tasks require participants to answer a total of five questions:
19 two control questions (one memory item and one reality item) and three mentalistic
20 questions (a first-order false belief question, a second-order false belief question and
21 justification of the second-order false belief question). Each question is scored 1 if the
22 answer is correct and 0 if the answer is wrong (range 0-5).
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- 25 • The *Reading the Mind in the Eyes test* (RME test, Baron-Cohen et al., 2001), which assesses
26 affective ToM. The test consists of 36 pictures of the eye region taken from different human
27 faces. Participants have to infer what the character is feeling and choose a word that
28 describes the character's mental state from four mental states written under each picture. In
29 addition, the Gender Test was used as a control condition in order to test basic visual face
30 discrimination ability, such as gender attribution. Each item is scored 1 if the answer is
31 correct and 0 if the answer is wrong (range 0-36);
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- 34 • A selection of four stories from the *Strange Stories* task (Happè, 1994; Happè, Brownell, &
35 Winner, 1999; Italian translation by Mazzola and Camaioni, 2002) to assess a more
36 advanced level of ToM reasoning about the social world and a selection of four physical
37 stories used as a control condition. Each question received a score of 0 for wrong answers, 1
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3 for partially correct/incomplete answers and 2 for correct answers (range 0-2 for each
4 question). The global scores of the four “ToM stories” and of the four physical stories
5 ranged from 0 to 8.
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10 2.2.3 *Yoni task*

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12 Cognitive and affective ToM abilities were assessed with the Italian translation of the *Yoni task*
13 (Shamay-Tsoory & Aharon-Peretz, 2007). The task consists of 98 trials, each showing a face named
14 “Yoni” (“Gianni” in the Italian version of the task) and four colored pictures surrounding the face,
15 one in each corner of the screen, and referring to various semantic categories (for example, fruit,
16 animals, chairs, means of transport) or faces. The participant is required to choose the correct image
17 to which Yoni is referring based on a sentence that appears on the top of the screen and on some
18 available cues, such as Yoni’s eye gaze or facial expression or the eye gaze/facial expression of
19 faces around him. Participants were instructed to choose the answer they thought to be correct by
20 pointing to it with the computer mouse as fast as they could. Only one of the four alternatives is
21 correct. The items differ in the complexity of the meta-representation they require, i.e., first- or
22 second-order levels, and in the assessment of affective ToM (*Yoni likes...*), cognitive ToM (*Yoni is*
23 *thinking of...*) or a physical (control) condition (*Yoni is close to...*). First-order cognitive and
24 affective ToM items require participants to infer Yoni's mental state. In particular, in the cognitive
25 condition both Yoni’s facial expression and the sentence at the top of the screen are emotionally
26 neutral (for example, “*Yoni is thinking of...*”), while in the affective condition, all cues provide
27 relevant affective (both positive and negative) information (for instance, “*Yoni loves...*”/“*Yoni*
28 *doesn't love...*”). In the second-order items, participants must understand the interaction between
29 Yoni’s mental state and each of the four images around him (in the second-order items, the four
30 stimuli always consist of faces). For example, the sentence “*Yoni is thinking of the chair*
31 *that....wants*” requires a second-order cognitive inference, while the sentence “*Yoni loves the*
32 *animal that...loves*” requires a second-order affective inference. The items in the physical condition
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3 only require participants to think about the physical attributes of the character. These items were
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5 added in order to ensure that participants understood the instruction and were not responding
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7 automatically only to the eye gaze. Following Shamay-Tsoory & Aharon-Peretz (2007), the
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9 performance was rated for accuracy. Each item was scored 1 if the answer was correct and 0 if the
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11 answer was wrong. Thus, the total score on the Yoni task (Yoni TOT) ranged from 0 to 98. For each
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13 participant, the scores gained from each sub-category were summed in order to obtain four sub-
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15 totals: the total of first-order cognitive items (COG1, range 0-12), the total of second-order
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17 cognitive items (COG2, range 0-24), the total of first-order affective items (AFF1, range 0-12) and
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19 the total of second-order affective items (AFF2, range 0-36). No participants were excluded from
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21 the study because of an accuracy rate lower than 50% on the physical condition.
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25 *Please insert Figure 1 about here*
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28 *2.3 Statistical analysis*

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31 All statistical analyses were conducted using the IBM SPSS Statistics software, version 22. A *p*-
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33 value < 0.05 was considered statistically significant. Group comparisons of demographic variables
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35 of the three groups were computed using analyses of variance (ANOVA). Bonferroni *Post-hoc* tests
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37 were also computed to compare each diagnostic group with the HC group.
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41 Given the non-normal distribution of several variables, the Kruskal-Wallis H. test and the *Post-hoc*
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43 analyses corrected for multiple comparisons were used to: 1) compare scores obtained from the
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45 three groups both in the neuropsychological and in the ToM assessment (Tables 2-4); 2) compare
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47 the Reaction Times (RTs) within each group in the Yoni task according to the type of judgment
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49 (cognitive Vs. affective) and to the level of ToM reasoning (first- and second-order).
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52 **3. Results**

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3.1 Participants and clinical assessment

Table 1 shows the demographic data of the three samples. According to the specific clinical and epidemiological features of the diagnostic groups, age differed significantly between groups ($F=8.73(2)$, $p=.001$, $\eta^2=.28$). In particular, the MCI group was older than the PD group ($p=.001$) and the PD group was younger than the HC group ($p<.05$). Instead, the three groups were comparable for the level of education, as we found no significant differences in the level of education among the groups ($F=2.84(2)$, $p=.069$, $\eta^2=.11$).

The PD group scored between stages 1 and 2.5 on the Hoehn and Yahr (H&Y) scale (1967), indicating that participants were at a mild stage of the disease. None reported any cognitive problems or any evidence of deficits in their daily living activities. None of the patients reported changes in medication during the period of at least three months before enrollment and none was taking any additional psychotropic drug. Patient mean (SD) on the Unified Parkinson's Disease Rating Scale (UPDRS) evaluated immediately before the study began was 20.14 (15.17), and scores ranged from 4 to 44.

Please insert Table 1 about here

3.2 Neuropsychological assessment

All patients scored within the normal range on the total score of the MoCA test according to the equivalent scores (Santangelo et al., 2014) (Table 2). However, a significant difference emerged between groups on the global cognitive level assessed with the MoCA test ($X^2=14.32$, $p=.001$). In particular, the MCI group scored lower compared to the HC group ($p=.001$), while no significant differences emerged between the PD group and the HC group and between the MCI group and the PD group (Table 2)

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3 As regards the single cognitive domain subscores, significant differences emerged among groups in
4 the Executive Functions subscore ($X^2=7.59$; $p<.05$), in the Memory subscore ($X^2=6.15$; $p<.05$)
5 and in the Language subscore ($X^2=8.05$, $p<.05$). Post hoc tests revealed that the PD group obtained
6 significantly lower performances in the Executive Functions subscore compared to the HC group
7 ($p=0.04$), and that the MCI group scored lower compared to the HC group both in the Memory
8 subscore ($p=0.041$) and in the Language subscore ($p=0.02$).
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19 3.3 Paper-pencil ToM tasks 20

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22 All participants exhibited good performance on the control tasks, i.e., the gender test and the
23 physical stories. Two participants of the PD group who scored 0 on both the control questions of the
24 Look-Prediction and on both the control questions of the Say-Prediction tasks were excluded from
25 the analysis of those tests.
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31 Our results show no significant differences among groups in the Deceptive Box task, in the Look-
32 Prediction task and in the Say-Prediction task (Table 3). Notably, we found significant between-
33 group differences in the most advanced ToM tasks, i.e. in the RME test ($X^2=11.71$, $p<.005$) and in
34 the Strange Stories task ($X^2=6.87$, $p<.05$). In particular, pairwise comparisons revealed that the
35 MCI group had lower performance than the HC group both on the RME test ($p<.005$) and on the
36 Strange Stories task ($p<.05$), while no significant differences emerged between the two clinical
37 groups (MCI and PD) and between the PD group and the HC group (Table 3).
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50 3.4 Yoni task 51

52 3.4.1 Accuracy 53 54 55 56 57 58 59 60

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3 No differences emerged between groups for the control items (physical condition) of the Yoni task
4 (Table 4). However, a significant between-group difference emerged on the total score of the Yoni
5 task (TOT/98, $X^2=8.95$, $p<.05$). In particular, the MCI group scored lower compared to the HC
6 group ($p<.05$), while no differences emerged between the PD group and the HC group and between
7 the two clinical groups.
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14 While no between-group differences emerged on the first-order affective items (AFF1), we found
15 significant between-group differences on the second-order affective items (AFF2, $X^2=6.46$, $p<.05$).
16 In particular, the MCI group scored lower compared to the HC group ($p<.05$), while no significant
17 differences emerged between the two clinical groups and between the PD group and the HC group.
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24 As for the first-order cognitive items (COG1), we found a significant difference across groups
25 ($X^2=12.50$, $p<.005$). In particular, the MCI group exhibited significantly lower performance
26 compared to both the HC group ($p<.005$) and the PD group ($p<.05$), while no differences emerged
27 between the PD group and the HC group. The results obtained for second-order cognitive items
28 (COG2) are similar to those for second-order affective items reported above. Significant differences
29 emerged between the groups ($X^2=7.26$, $p<.05$), with the MCI group scoring lower than the HC
30 group ($p<.05$), while no significant differences emerged between the two clinical groups and
31 between the PD group and the HC group.
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41 42 *3.4.2 Reaction Times (RTs)* 43

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45 Our results showed no significant differences in the RTs across groups, both in the
46 affective/cognitive first-order items (AFF1, $p=.39$; COG1, $p=.11$), and in the affective/cognitive
47 second-order items (AFF2, $p=.14$; COG2, $p=.30$) of the Yoni task.
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4. Discussion

The aim of the present study was to characterize ToM functioning among two non-demented neurodegenerative diseases characterized by different neuropathological processes at early stages: the MCI group, predominantly typified by cognitive symptoms, and the PD group, primarily characterized by motor symptoms. Both clinical conditions were also compared to a group of healthy control participants (the HC group). We administered the Yoni task to evaluate both cognitive and affective, first- and second-order dimensions of ToM, in conjunction with a paper-pencil ToM battery commonly used to evaluate ToM in the life-span.

Our results showed that, on the paper-pencil ToM tests, all groups scored above the cut-off. More specifically, the performances on the Deceptive Box Task (first-order false belief task), the Look-Prediction task and the Say-Prediction task (both first- and second-order false belief tasks) were similar for all three groups, while some differences emerged in the more advanced ToM tasks. The MCI group scored lower compared to the HC group on the RME test and on the Strange Stories task. These tasks imply higher cognitive load to be performed, especially high verbal and memory load, which may be impaired in people with MCI. These results add further evidence to the state-of-the-art literature about ToM functioning in people with MCI, which is still quite controversial. In fact, our results on the RME test are in line with Poletti and Bonuccelli (2013), who reported low performance among people with MCI in inferring affective mental states as assessed with the RME test. Yet, these results are not in line with previous results obtained by Baglio et al. (2012), who found no impairments on an RME test administered in a reduced version for a fMRI paradigm. With respect to the Strange Stories task, our results are not in line with the previous results of Baglio et al. (2012) who found no impairment in aMCI in this task that examines the social implications of ToM reasoning. Probably, this puzzling picture can be explained referring to two elements. The first concerns the intrinsic variability of the clinical samples due to the presence of different diagnostic criteria, which are all scientifically grounded but not univocal. The second

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3 element refers to the high variability of the ToM tasks used in each study. In fact, various types of
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5 tasks are used to measure the same construct (for example, false belief reasoning), and the same
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7 task can be adapted according to the research paradigm (for example, paper-pencil vs. functional
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9 magnetic resonance imaging paradigm). The still controversial picture about ToM functioning
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11 among MCI populations also emerges from two recent studies with different ToM tasks. Moreau et
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13 al. (2015) found ToM impairments in the very early stages of MCI, even in real social interaction
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15 evaluated through video clips and on the Referential Communication task (Champagne-Lavau et al.,
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17 2009). On the other hand, Dodich et al. (2016) found that the MCI group had no impairments in
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19 ToM competence as evaluated by the Story-Empathy task, a non-verbal task measuring the ability
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21 to infer the intentions and emotions of others (Dodich et al., 2016).
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25 In contrast with the conflicting results of ToM abilities in MCI the pattern of ToM abilities in PD is
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27 relatively established. Therefore, comparing MCI with PD group both on classical paper-pencil
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29 ToM tasks and on the Yoni task may help to clarify the pattern of ToM impairment among people
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31 with MCI. In line with previous studies (see Poletti et al., 2012 for a review), we show here that the
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33 PD group exhibits impairment on the more advanced ToM tasks (the RME test and the Strange
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35 Stories task), scoring between healthy elderly people and people with MCI. In fact, no differences
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37 emerged on either task between the MCI and the PD groups and between the PD group and the HC
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39 group. Thus, it also seems that people with PD show initial decay on advanced ToM tasks that
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41 evaluate the emotional components of ToM compared to the HC group, although the difference is
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43 not significant.
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47 A better understanding of ToM functioning in MCI and PD is offered by the results of the Yoni
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49 task, which allows us to analyze both the complexity of ToM reasoning (first-and second-order) and
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51 the cognitive vs. affective dimensions of this construct. First, our results showed that people with
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53 MCI scored lower on the global score of the Yoni task compared to the HC group. In order to better
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55 assess where the MCI group fails, we considered the different components of the Yoni task. We
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3 found no significant difference among groups on the first-order affective items (AFF1), indicating
4 that all patients were not impaired in this basic condition. This result can be explained in relation to
5 the brain areas affected in both neurodegenerative diseases, and according to the stages of the
6 diseases. In fact, both MCI and PD were at the early stage of the disease, therefore we can assume
7 that the pre-frontal regions have not yet been affected by the disease, thus leaving the affective
8 condition substantially preserved.
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16 On the contrary, in the first-order cognitive condition (COG1), the MCI group exhibited the worst
17 performance compared to the HC and the PD groups, while no significant difference emerged
18 between the HC and PD groups. This result is quite interesting, given that people with MCI showed
19 no impairment in the classical paper-pencil first-order false belief tasks. So, it seems that the Yoni
20 task is able to detect early ToM impairment at the first-order levels of cognitive ToM reasoning,
21 whereas classical paper-pencil false belief tasks are not able to detect such impairments. Moreover,
22 the performance in the Yoni task indicated a decrease in the first-order cognitive scores only in the
23 MCI sample, which is characterized predominantly by cognitive symptoms. On the second-order
24 cognitive and affective items (COG2 and AFF2) we found a pattern of results similar to those on
25 the Eyes Test and the Strange Stories test, with a decrease in ToM functioning observed among
26 people with MCI and an initial decay in PD patients. These results seem particularly interesting
27 because they offer the possibility to define the pattern of ToM impairment in the MCI group and the
28 PD group at different levels. In fact, the MCI group showed the worst performance on the first-
29 order cognitive items compared to both the HC and the PD groups, and a lower performance on the
30 second-order cognitive and affective items compared to the HC group only. Thus, the Yoni task
31 highlighted the decay of both the basic level of cognitive ToM reasoning and of the more complex
32 ToM inferences (both cognitive and affective second-order levels of reasoning) among MCI
33 patients, while the first level of affective ToM seems to be preserved. The Yoni task also appears to
34 enable detecting an initial decay of advanced ToM performance in the PD group. So far, only
35 Bodden et al. (2010) have investigated affective and cognitive dimensions of ToM in PD using the
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3 Yoni task. They showed that PD patients exhibited low scores on both the affective and cognitive
4 second-order ToM subscales, and that such impairment was not related to cognitive deficits. In the
5 present study, the performance of the PD group on the Yoni task was not significantly different
6 from that of the HC group. The performance of the PD group also did not differ significantly from
7 that of the MCI group, indicating that the PD patients were showing reduced performance in this
8 task, scoring between people with MCI and healthy control participants. The absence of significant
9 differences between the PD group and the HC group could be explained by different clinical and
10 epidemiological features of the two samples. Our PD sample was at a mild stage of the disease,
11 scoring between stages 1 and 2.5 on the Hoehn and Yahr (H&Y) scale (Hoehn & Yahr, 1967),
12 while the PD sample in Bodden's study was at a mild to moderate stage of the disease, with an
13 H&Y median of 2.5, ranging from 1 to 3. However, it is important to point out that the level of
14 accuracy on both the affective and cognitive items of the Yoni task in our study and in the research
15 of Bodden et al. (2010) was well above the cut-off, so the performance of both the PD groups on the
16 Yoni task was substantially preserved.

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34 The selective impairment of the cognitive dimension on one side and of the second-order level of
35 ToM reasoning on the other side could be interpreted in the light of cognitive demand involved in
36 those tasks. In fact, even though the strong debate in the literature regarding the relationship
37 between ToM and executive functioning still has some discrepancies, it seems that the typical
38 decline in ToM due to aging could be mediated by alterations in executive functions (Kemp et al.,
39 2012). This point may be more relevant in neurodegenerative pathologies, where the progression of
40 the disease mainly affects the brain structures involved in high cognitive functions. In the present
41 study, the pattern of ToM decay in MCI and the initial ToM impairment in PD could be partially
42 interpreted in the light of the neuropsychological profile of each clinical group. Our
43 neuropsychological assessment provides a picture of cognitive functioning which is congruent with
44 the specific phenotypes of the two groups at the early stages of the disease. In fact, although all
45 participants were above the cut-off on the global cognitive task, we found significant differences
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3 between groups both in the total score of the MoCA test and in the specific cognitive domains. In
4 particular, the significant decrease of ToM performance observed in people with MCI could be
5 interpreted in the light of an initial decline in the global cognitive level, in particular in the memory
6 function and language skills compared to healthy controls. Furthermore, the PD group showed
7 worse performance only in the “Executive Functions” subscore of the MoCA test compared to the
8 healthy controls and this might explain the selective, early decrease in the performance of the more
9 advanced ToM tasks, in which the executive functioning might play a major role.
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18 **5. Conclusion**

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21 Deficits in social cognition represent a core feature of many neurodegenerative disorders and may
22 have a significant impact on mental health and wellbeing (Henry et al., 2016). For this reason, its
23 assessment in the clinical setting has gradually gained importance in addition to the classical
24 neuropsychological assessment. In fact, an assessment of ToM for Major Cognitive Disorders was
25 introduced in the DSM-V (2013), and Adenzato & Poletti (2013) have warmly suggested that
26 mentalizing tasks should be introduced into standard neuropsychological assessments.
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35 At the same time, it is important to notice the great variety of ToM tasks that are usually employed
36 to test ToM in neurodegenerative pathologies, thus leading to contradictory findings. The present
37 study has offered preliminary evidence of the capacity of the Yoni task to detect different patterns
38 of ToM deficits among people with MCI and to highlight an initial decay in ToM functioning
39 among people with PD. The advantage of the Yoni task is that it provides an opportunity to
40 highlight different levels of ToM deterioration at an earlier stage, i.e., in the absence of dementia,
41 across different neurodegenerative pathologies.
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51 **6. Limitations of the study**

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54 The present study represents a preliminary investigation of affective and cognitive ToM in pre-
55 demented populations with the Yoni task. The significant age differences between the MCI group
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3 and the PD group may constitute a possible limitations of this study. This difference may have
4 influenced the comparison between the two clinical groups, especially on the ToM tasks where
5 adjusted scores according to normative data are not provided. However, such differences could be
6 explained in light of the different clinical features of these two neurodegenerative pathologies in
7 their early stages, and particularly the mean age of onset. In fact, both clinical conditions are age-
8 related, but the mean age of onset varies significantly: the mean age of onset for PD is estimated to
9 be in the early-to-mid 60s (Inzelberg, Schechtman, & Paleacu, 2002), while MCI appears to become
10 more prevalent in individuals aged 70 years and older (Petersen et al., 2009). Future studies should
11 expand the sample size in order to further strengthen this pattern of results and to provide a more
12 robust knowledge of ToM changes in age-related neurodegenerative pathologies, which in turn
13 could pave the way for devising possible interventions to enhance ToM functioning across the life-
14 span.
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Tables

		<i>aMCI (n=18)</i>	<i>PD (n=14)</i>	<i>HC (n=18)</i>	Pvalue^a (ALL)
<i>Age (years)</i>	<i>Mean(SD)</i>	75.88 (3.65)	68.21 (7.96)	74.06 (3.39)	0.001*
<i>Education (years)</i>	<i>Mean(SD)</i>	11.81 (2.40)	14.21 (3.44)	12.00 (3.24)	0.069
<i>Gender (M:F)</i>		8:8	13:1	8:10	-
<i>MMSE</i>	<i>Mean(SD)</i>	28.21 (1.56)	29.50 (0.10)	29.35 (1.20)	0.014 [#]
<i>H&Y</i>	<i>Median(range)</i>	-	1.00 (1.00,2.50)	-	-
<i>UPDRS</i>	<i>Mean(SD)</i>	-	20.14 (15.17)	-	-

Table 1: Demographic and clinical characteristic of the sample.

* Significant differences between the MCI group and the PD group and between the PD group and the HC group.

[#] Significant differences between the MCI group and the PD group and between the MCI group and the HC group

	<i>aMCI (n=18)</i>	<i>PD (n=14)</i>	<i>HC (n=18)</i>	Pvalue^a (ALL)	Pvalue^b (MCIvsHC)	Pvalue^c (PDvsHC)	Pvalue^d (MCIvsPD)
Neuropsychological tests							
MoCa total score	23.91 (22.60,25.22)	25.29 (23.84,26.30)	27.08 (25.02,29.14)	.001	.001	.112	.397
<i>Domain subscores</i>							
Memory	0.00 (0.00,3.00)	2.50 (1.00,4.00)	3.00 (2.00,4.00)	.046	.041	1.00	.461
Visuo-spatial abilities	3.56 (3.01,4.00)	3.65 (2.62,3.90)	3.96 (3.64,4.00)	.051	-	-	-
Executive functions	3.15 (2.77,3.84)	3.09 (2.79,3.74)	3.82 (3.35,4.00)	.019	.082	.031	1.00
Attention	5.89 (5.27,6.00)	5.89 (5.46,5.89)	5.98 (5.89,6.00)	.184	-	-	-
Language	4.91 (3.88,5.74)	5.39 (5.09,5.79)	5.88 (5.29,5.93)	.019	.019	.195	1.00
Visual-spatial Orientation	6.00 (6.00,6.00)	6.00 (5.98,6.00)	6.00 (6.00,6.00)	.509	-	-	-

Table 2: Neuropsychological tests. Group characteristics and non-parametric comparisons. Scores were reported as median and interquartile range. Scores are adjusted for age and educational level.

Pvalue^a test for overall comparison (MCI vs HC vs PD) ; Pvalue^b test for MCI vs HC; Pvalue^c test for PD vs HC; Pvalue^d test for MCI vs PD. Group comparisons were computed with the Kruskal-Wallis H. test; pairwise comparisons were computed with Bonferroni *post hoc* test.

	<i>aMCI (n=18)</i>	<i>PD (n=14)</i>	<i>HC (n=18)</i>	Pvalue^a (ALL)	Pvalue^b (MCIvsHC)	Pvalue^c (PDvsHC)	Pvalue^d (MCIvsPD)
<i>Paper-pencil ToM tasks</i>							
Deceptive Box task	5.00 (5.00,5.00)	5.00 (5.00,5.00)	5.00 (5.00,5.00)	1.00	-	-	-
Look-Prediction task	3.00 (3.00,3.00)	3.00 (2.50,3.00)	3.00 (3.00,3.00)	.118	-	-	-
Say-Prediction task	2.00 (1.00-3.00)	1.00 (1.00,2.50)	3.00 (1.00,3.00)	.070	-	-	-
RME test	19.50 (16.25,21.00)	21.00 (18.00,25.25)	26.00 (21.25,27.25)	.003	.002	.136	.660
Strange Stories task	5.00 (4.25,5.75)	7.00 (4.50,7.00)	7.00 (5.00,8.00)	.032	.028	1.00	.351

Table 3: Paper-pencil ToM tests. Group characteristics and non-parametric comparisons. Scores were reported as median and interquartile range. Scores are adjusted for age and educational level.

Pvalue^a test for overall comparison (MCI vs HC vs PD) ; Pvalue^b test for MCI vs HC; Pvalue^c test for PD vs HC; Pvalue^d test for MCI vs PD. Group comparisons were computed with the Kruskal-Wallis H. test; pairwise comparisons were computed with Bonferroni *post hoc* test.

	<i>aMCI (n=18)</i>	<i>PD (n=14)</i>	<i>HC (n=18)</i>	Pvalue^a (ALL)	Pvalue^b (MCIvsHC)	Pvalue^c (PDvsHC)	Pvalue^d (MCIvsPD)
<i>Yoni task</i>							
AFF1	12.00 (11.00,12.00)	12.00 (11.00,12.00)	12.00 (11.00,12.00)	.559	-	-	-
AFF2	24.50 (19.25,30.00)	28.00 (24.75,32.25)	30.00 (27.50,32.25)	.040	.037	1.00	.298
COG1	11.00 (9.50,12.00)	12.00 (11.75,12.00)	12.00 (12.00,12.00)	.002	.002	1.00	.027
COG2	16.50 (13.00,17.75)	20.50 (16.75,22.25)	21.00 (14.00,23.00)	.026	.041	1.00	.091
Total Score	76.00 (67.00, 84.75)	83.50 (80.75,90.50)	88.50 (79.75,92.00)	.011	.016	1.00	.059

Table 4: Yoni task. Group characteristics and non-parametric comparisons. Scores were reported as median and interquartile range. Scores are adjusted for age and educational level.

Pvalue^a test for overall comparison (MCI vs HC vs PD) ; Pvalue^b test for MCI vs HC; Pvalue^c test for PD vs HC; Pvalue^d test for MCI vs PD. Group comparisons were computed with the Kruskal-Wallis H. test; pairwise comparisons were computed with Bonferroni *post hoc* test.

Figure

FIRST ORDER		
<i>Cognitive ToM</i>	<i>Affective ToM</i>	<i>Physical items</i>
<p>Yoni is thinking of ____</p>	<p>Yoni loves ____</p>	<p>Yoni is close to ____</p>
SECOND ORDER		
<i>Cognitive ToM</i>	<i>Affective ToM</i>	<i>Physical items</i>
<p>Yoni is thinking about the fruit that ____ wants</p>	<p>Yoni loves the fruit that ____ does not love</p>	<p>Yoni has the toy that ____ has</p>

Figure 1: Sample of items from the Yoni task: first- and second-order, cognitive and affective mental inference and physical (control) items.