

# **Biomarkers in Barrett's Esophagus**

Understanding the disease and supporting clinical decisions

Marta Catarina da Piedade Sirgado Mesquita

Tese para obtenção do Grau de Doutor em  
Biomedicina

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Tese para obtenção do Grau de Doutor em  
**Biomedicina**  
(3<sup>o</sup> ciclo de estudos)

Orientadora: Prof. Doutora Paula Chaves  
Co-orientadora: Prof. Doutora Mónica Bettencourt Dias

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**Júri:**

Presidente: Prof. Doutor Miguel Castelo Branco Craveiro de Sousa  
1<sup>a</sup> arguente: Prof. Doutora Maria de Fátima Machado Henriques Carneiro  
2<sup>a</sup> arguente: Prof. Doutora Joana Cancela de Amorim Falcão Parede  
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Prof. Doutora Sílvia Cristina da Cruz Marques Socorro  
Prof. Doutora Diana Raquel Fernandes Martins

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# Dedicatória

*A todos aqueles que me acompanham nesta aventura que é a vida  
e que me mostram continuamente que apesar de haver dias menos bons  
há sempre motivos para sorrir, agradecer e prosseguir viagem.  
A vós, minha família e amigos, com todo o meu amor e carinho.*

## **Uma intenção de vida:**

“... Fazer da interrupção um caminho novo.  
Fazer da queda um passo de dança,  
do medo uma escada, do sono uma ponte,  
da procura um encontro.”

FERNANDO SABINO

## **Uma das aprendizagens na vida:**

“O Perfeito é desumano”

“Adoramos a perfeição,  
porque não a podemos ter;  
repugná-la-íamos, se a tivéssemos.  
O perfeito é desumano,  
porque o humano é imperfeito.”

FERNANDO PESSOA



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# Resumo

O esófago de Barrett (EB) é uma reconhecida condição pré-maligna que surge no esófago distal associada ao refluxo gastroesofágico crónico e constitui o maior factor de risco para o desenvolvimento do adenocarcinoma esofágico (AE). Apesar da taxa de progressão maligna do EB ser baixa, a incidência de ambos tem aumentado drasticamente nas últimas décadas. Como agravante, esta neoplasia em estadios avançados está associada a taxas elevadas de morbilidade e mortalidade a menos que diagnosticada e tratada em estadios iniciais, pelo que todos os doentes com EB são integrados em programas de vigilância com vista à detecção precoce de progressão neoplásica. Contudo, esta prática clínica tem-se mostrado ineficaz para reverter este cenário epidemiológico e um dos factores limitantes relaciona-se com o facto da displasia continuar a ser o único marcador de risco de progressão maligna e não haver marcadores moleculares e clínicos que possam prever e estratificar o potencial maligno do EB. É assim urgente encontrar biomarcadores sensíveis e específicos capazes de guiar a prática médica, melhorar a relação custo-benefício dos programas de vigilância, mas principalmente a qualidade de vida dos doentes com EB.

O objectivo principal desta tese foi descobrir novas vias moleculares subjacentes à progressão maligna do EB de forma a identificar biomarcadores fidedignos passíveis de serem aplicados à clínica apoiando o diagnóstico, prognóstico e manejo destes doentes, e assim contribuir para aprofundar o conhecimento relativo ao processo de cancerigénese desta doença e potencialmente melhorar a abordagem clínica aos doentes com EB.

Para tal foram seguidas duas linhas de investigação diferentes. De modo a encontrar biomarcadores com potencial preditivo para progressão maligna em doentes com EB foi realizada uma meta-análise de dados de transcriptomas previamente publicados, seguida de uma validação experimental utilizando amostras de EB de doentes acompanhados no programa de vigilância do Instituto Português de Oncologia Francisco Gentil. Esta estratégia permitiu identificar dois promissores biomarcadores, o CYR61 e o TAZ, capazes de estratificar o risco de progressão maligna do EB, não só pela sua expressão diferencial ser a mais significativa na análise bioinformática mas porque a validação experimental revelou que estes dois genes se encontravam sobre-expressos logo na primeira biopsia (vários anos antes do desenvolvimento de cancro) onde foi feito o diagnóstico de EB dos doentes que progrediram comparativamente com

a expressão detetada no EB dos não progressores. Adicionalmente, foram ainda identificados outros genes diferencialmente expressos em EB associados a progressão maligna, cujas funções estão associadas a fenótipos de células estaminais e fenómenos de transição epitélio-mesenquimal (TEM) em cancro. Assim, foi também descoberto um potencial novo processo molecular associado ao desenvolvimento de cancro em EB.

Paralelamente, e considerando que alterações numéricas dos centróssomas podem estar presentes ao longo da progressão maligna em EB e assim contribuir para o seu processo de cancerigénese, decidimos explorar quando e como surgem as alterações numéricas dos centróssomas ao longo da progressão do EB, desde a condição pré-maligna até às metástases ganglionares, tanto em amostras de doentes como em linhas celulares, usando um método de dupla marcação por imunofluorescência para identificar e quantificar fidedignamente o número de centróssomas por célula. Esta análise revelou a existência de células com centróssomas supranumerários logo na fase de metaplasia dos doentes que progrediram para cancro, e que a sua incidência aumenta significativamente na fase de displasia, a qual é dependente da perda de função do gene supressor tumoral p53, estando também depois presentes ao longo das restantes fases de progressão. Estes resultados sugerem assim que a desregulação dos centróssomas pode contribuir para a iniciação e progressão neoplásica do EB. No futuro será importante aprofundar o contributo dos centróssomas na cancerigénese do EB e tentar perceber qual o seu impacto no diagnóstico, prognóstico e tratamento destes doentes. Uma vez que tanto as alterações numéricas dos centróssomas como a perda de função do p53 são achados prevalentes em cancro, os resultados deste estudo poderão ser relevantes para outros modelos tumorais.

Em conjunto, os resultados obtidos sugerem que a propensão maligna não é igual em todos os EB. Logo muito cedo no processo, aqueles cujo risco de virem a desenvolver cancro é maior sofrem alterações moleculares e celulares passíveis de serem detetadas e utilizadas como biomarcadores preditivos estratificando o risco de progressão maligna, e desta forma orientar as decisões clínicas, adequar tempos de vigilância e melhorar a abordagem terapêutica.

## **Palavras-chave**

Esófago de Barrett;displasia;adenocarcinoma  
esofágico;biomarcadores;CYR61;TAZ;transição epitélio-mesenquimal (TEM);  
centrôssomas;p5

## Resumo Alargado

O esófago de Barrett (EB) é uma reconhecida condição pré-maligna que confere risco aumentado de progressão neoplásica para o adenocarcinoma esofágico (AE). O EB surge no esófago distal como uma complicação associada a uma contínua agressão da mucosa esofágica pelo refluxo gastroesofágico. Caracteriza-se pela substituição metaplásica do epitélio pavimentoso estratificado, que normalmente reveste o esófago, por um epitélio colunar do tipo intestinal, confirmado pela presença de células calciformes. Apesar do risco de progressão neoplásica do EB ser baixo, este risco é significativo, e por isso não pode ser desvalorizado. Como agravante, esta neoplasia em estadios avançados está associada a taxas elevadas de morbidade e mortalidade a menos que diagnosticada e tratada em estadios precoces. É por isso que todas as diretrizes internacionais recomendam a integração dos doentes com EB em programas de vigilância com vista à deteção precoce de progressão neoplásica que possibilite o tratamento endoscópico curativo. No entanto, esta prática clínica tem-se mostrado pouco eficaz uma vez que a incidência do EA tem aumentado drasticamente nas últimas décadas, principalmente nos países ocidentais desenvolvidos. Um dos fatores limitantes apontados relaciona-se com o facto da displasia continuar a ser o único marcador de risco de progressão maligna e não haver marcadores moleculares e clínicos que possam predizer e estratificar o potencial maligno do EB. Presentemente, esta falta de marcadores para identificar os doentes em risco de progressão para cancro implica a vigilância endoscópica de todos apesar da grande maioria nunca vir a desenvolver cancro. Assim, urge encontrar biomarcadores sensíveis e específicos capazes de guiar a prática médica e melhorar a relação custo-benefício dos programas de vigilância, mas principalmente a qualidade de vida dos doentes com EB.

O objetivo principal desta tese foi descobrir novas vias moleculares subjacentes à progressão maligna do EB de forma a identificar biomarcadores fidedignos passíveis de serem aplicados à clínica apoiando o diagnóstico, prognóstico e manejo destes doentes. O trabalho desenvolvido pretende contribuir para aprofundar o conhecimento relativo ao processo de cancerigénese desta doença e potencialmente melhorar a abordagem clínica aos doentes com EB.

Para tal foram seguidas duas linhas de investigação diferentes. Com o objetivo de encontrar biomarcadores com potencial preditivo para progressão maligna em doentes com EB foi realizada uma meta-análise, com recurso a uma *pipeline* bioinformática

inovadora, em que se combinaram dados de expressão génica (transcriptomas) previamente publicados de doentes de EB que progrediram para cancro *versus* doentes que não progrediram. Com esta estratégia pretendeu-se identificar genes diferencialmente expressos durante a fase de metaplasia entre os dois grupos de doentes e perceber se haveria uma assinatura genética associada à progressão maligna do EB. Desta análise bioinformática foram selecionados dois genes candidatos com potencial capacidade preditiva e estratificação do risco de cancro em EB, o CYR61 e o TAZ, não só pela sua expressão diferencial ser a mais significativa (significativamente sobre-expressos em EB que progrediu comparativamente com EB que não progrediu), mas também tendo em conta o seu reconhecido envolvimento em outros modelos de cancerigénese. Seguiu-se depois um processo de validação experimental utilizando amostras de EB de doentes acompanhados no programa de vigilância do Instituto Português de Oncologia Francisco Gentil (IPOLFG). Para isso foi avaliada a expressão génica (por PCR quantitativo) e expressão proteica (por imunocitoquímica), do CYR61 e do TAZ em EB de doentes que progrediram para cancro no decurso do seu seguimento *versus* doentes com EB cujo diagnóstico se manteve negativo para displasia até ao momento do estudo. Este processo de validação não só confirmou os resultados obtidos por bioinformática como revelou que estes dois genes se encontram sobre-expressos logo na primeira biopsia (vários anos antes do desenvolvimento de cancro) onde foi feito o diagnóstico de EB dos doentes que progrediram comparativamente com a expressão detetada no EB do grupo dos não progressores, reforçando o potencial poder preditivo e precoce do CYR61 e do TAZ como marcadores de risco de progressão maligna no EB. Adicionalmente, foi ainda explorado o seu possível contexto funcional no processo de cancerigénese do EB. Na análise bioinformática foram também identificados outros genes diferencialmente expressos em EB associado a progressão para cancro, que já tinham sido previamente detetados em assinaturas moleculares relacionadas com fenótipos de células estaminais e fenómenos de transição epitélio-mesenquimal (TEM) em cancro. Dado que tanto o CYR61 como o TAZ regulam funções celulares relevantes para o desenvolvimento de ambos os fenótipos investigou-se bioinformaticamente se haveriam outros marcadores de TEM também diferencialmente expressos, e de facto, foi encontrado um gene, TWIST1, cuja expressão era significativamente aumentada em EB associado a progressão, a qual foi depois validada por PCR quantitativo logo na biopsia diagnóstica de EB em doentes que progrediram para cancro. Uma vez que um dos eventos moleculares no processo de TEM é a perda de adesão celular, foi ainda avaliada a expressão proteica da E-caderina e verificou-se uma perda focal de expressão desta proteína no EB dos doentes que progrediram, tanto na biopsia diagnóstica como na biopsia associada com a progressão

para displasia/adenocarcinoma, mas não no EB em doentes que não progrediram. Estes resultados sugerem que desde muito cedo, anos antes da progressão neoplásica, ocorrem alterações moleculares relacionadas com TEM em EB que podem potencialmente contribuir para a sua propensão para desenvolvimento de cancro. Assim, para além da identificação do CYR61 e do TAZ como potenciais biomarcadores capazes de estratificar o risco de progressão maligna em EB foi também descoberto um potencial novo processo molecular associado ao desenvolvimento de cancro em EB. No futuro seria crucial conseguir validar o potencial preditivo destes dois biomarcadores em amostras com mais doentes e também aprofundar o contributo de ambos, juntamente com o processo de TEM, na carcinogénese do EB.

A segunda linha de investigação baseou-se no facto de a progressão neoplásica do EB resultar da acumulação de anomalias em processos celulares regulados pelo centróssoma, que em células animais é o principal organizador de microtúbulos, e também em evidências prévias que demonstram que as alterações do número de centróssomas são um achado prevalente em vários modelos neoplásicos, tanto em estadios iniciais como em estadios avançados. Tomando como ponto de partida este conhecimento, elaborou-se uma hipótese em que alterações numéricas dos centróssomas podem estar presentes ao longo da progressão maligna em EB e assim contribuir para o seu processo de cancerigénese. Para confirmar esta hipótese decidimos explorar quando e como surgem as alterações numéricas dos centróssomas ao longo da progressão do EB, desde a condição pré-maligna até às metástases ganglionares, tanto em amostras de doentes como em linhas celulares. Para tal, desenvolveu-se um método de dupla marcação por imunofluorescência de forma a identificar ambas as componentes que constituem um centróssoma (centríolos e material pericentriolar) e assim quantificar fidedignamente o número de centróssomas por célula. Esta análise revelou que de facto existem células com anomalias numéricas dos centróssomas logo na fase de metaplasia e que a sua incidência aumenta significativamente na fase de displasia, estando também depois presentes ao longo das restantes fases. Verificámos também que o número de centróssomas por célula se encontra desregulado ao longo da progressão. Ao relacionar as alterações encontradas com as alterações moleculares características deste modelo de progressão tumoral, verificámos que o aumento da incidência das anomalias dos centróssomas na transição de metaplasia para displasia coincidia com a perda de função do gene supressor de tumores p53. Através de estudos mecanísticos nas linhas celulares demonstrámos que o aumento de células com centróssomas supranumerários depende da perda de função deste gene e que muito provavelmente durante a fase de metaplasia o número de

células com extra centrossomas está a ser reprimido pela função normal do p53. Em conjunto, ao mostrar que as alterações numéricas dos centrossomas antecedem a progressão maligna, estão sempre presentes nos restantes estadios da doença, e surgem exclusivamente nos doentes que desenvolveram cancro, não se observando naqueles sem progressão tumoral, os nossos resultados sugerem, tal como foi inicialmente formulado, que a desregulação dos centrossomas pode contribuir para a iniciação e progressão neoplásica do EB. Assim, no futuro será importante aprofundar o contributo dos centrossomas na cancerigénese do EB e tentar perceber qual o impacto na diagnóstico, prognóstico e tratamento destes doentes. Uma vez que tanto as alterações numéricas dos centrossomas como a perda de função do p53 são achados prevalentes em cancro, os resultados deste estudo poderão ser relevantes para outros modelos tumorais.

Em conjunto, os resultados obtidos nas duas linhas de investigação sugerem que a propensão maligna não é igual em todos os EB. Logo muito cedo no processo, aqueles cujo risco de virem a desenvolver cancro é maior sofrem alterações moleculares e celulares passíveis de serem detetadas e utilizadas como biomarcadores preditivos estratificando o risco de progressão maligna, e desta forma orientar as decisões clínicas, adequar tempos de vigilância e melhorar a abordagem terapêutica.

## **Palavras-chave**

Esófago de Barrett;displasia;adenocarcinoma  
esofágico;biomarcadores;CYR61;TAZ;transição epitélio-mesenquimal (TEM);  
centrossomas;p53

# Abstract

Barrett's esophagus (BE) is a recognized premalignant condition of the distal esophagus that constitutes the major risk factor for the development of esophageal adenocarcinoma (EA). Despite the known low rates of BE progression to EA, the incidence of both has increased profoundly over the last decades and esophageal malignancy remains to be a deadly cancer with high morbidity and mortality unless diagnosed at early stages. Current BE clinical management has revealed unsuccessful in reverting this worrisome epidemiological picture and a major hurdle has been the incapacity to discriminate among BE patients those who have a higher risk of malignant progression. In fact, to this date, besides dysplasia none of the existing clinical and histologic criteria could anticipate malignant progression. It is therefore imperative to find reliable molecular biomarkers to guide medical practice and improve the standard of care for BE patients.

The global aim of this thesis was to better understand the pathways underlying BE malignant progression and thereby identify reliable biomarkers relevant for the diagnosis, prognosis and management of BE patients thus contributing to an improved understanding of BE biology and an optimized support for clinical decisions.

To accomplish these challenging goals an unbiased and a hypothesis-driven strategies were followed. Through the unbiased approach, a meta-analysis of transcriptome datasets and subsequent experimental validation in a cohort BE patients in follow-up was used to define a gene set associated with BE cancer development and, therefore, identify early biomarkers predictive of BE malignant progression. *In silico* analysis singled out two genes, CYR61 and TAZ as candidate predictive markers for BE malignant progression and experimental validation using quantitative PCR and immunohistochemistry revealed that both genes are upregulated and overexpressed in non-dysplastic BE index biopsies from progressors years before cancer development when compared with index biopsies from BE patients that did not progressed. We also found that EMT and stemness-related genes were also significantly over represented in BE associated with progression. Together, these results support that CYR61 and TAZ are promising early biomarkers to stratify BE patients according to their cancer risk and suggest a novel mechanist route for BE neoplastic progression.

Using an hypothesis-driven approach, we explored when and how centrosome abnormalities arise along BE malignant pathway, from the early premalignant

condition stage to metastatic disease, by establishing an accurate method to identify and score centrosomes, at the single-cell level, in patient samples and cell lines. We found that centrosome amplification arises as early as the premalignant condition of patients that progress to malignancy and significantly expands at dysplasia stage, which is dependent of p53 loss of function, being then present along cancer progression, namely in EA and metastasis. So, these finding suggest that centrosome amplification could contribute to BE initiation and malignant progression. Considering that centrosome amplification is specific of patients that progress to cancer, this could be further explored to be translated into useful tools to be used in the clinical setting and potentially improve its diagnosis, prognosis and treatment. Moreover, given widespread occurrence of both p53 mutations and centrosome abnormalities in human tumors, our findings are likely to be extended to other cancers.

Collectively, both research avenues suggest the existence of different cellular and molecular abnormalities dictating different pathological propensity for malignant progression in BE, right from the beginning, and this could be further explored to trace a cancer risk profile for every patient and guide medical decisions and improve patient care.

## **Keywords**

Barrett's esophagus; esophageal adenocarcinoma; early biomarkers; risk prediction; CYR61; TAZ; centrosomes

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# Lista de Acrónimos

ACG	American College of Gastroenterology
AGA	American Gastroenterological Association
APC	Adenomatous polyposis coli
ARID1A	AT-Rich Interaction Domain 1A
BA	Barrett's adenocarcinoma
Bcl-2	B-cell lymphoma 2
BE	Barrett's esophagus
BMI	Body mass index
BMP4	Bone morphogenic protein 4
BRCA1	BRCA1 DNA repair associated
BSG	British Society of Gastroenterology
CCN	CYR61, CGTF and NOV family
CDX1	Caudal type homeobox 1
CDX2	Caudal type homeobox 2
CEP135	Centrosomal protein 135
CEP152	Centrosomal protein 152
CEP192	Centrosomal protein 192
CEP63	Centrosomal protein 63
CEP97	Centrosomal protein 97
CI	Centrosome index
CIN	Chromosomal instability
CIN I, CIN II, CIN III	Cervical intraepithelial neoplasia progression stages
CLE	Columnar lined esophagus with no intestinal features
CP110	Centriolar coiled-coil protein 110
CPAP	CENPJ, centromere protein J
CRBs	Centrosome related bodies
CYR61	Cysteine-rich angiogenic inducer 61
DAS-1	Dst1-delta 6-Azuracil Sensitivity
DNA	Deoxyribonucleic acid
DOCK2	Dedicator of cytokinesis 2
EA	Esophageal adenocarcinoma
EGFR	Epidermal growth factor receptor
ELMO1	Engulfment and cell motility 1
EM	Electron microscopy
EMR	Endoscopic mucosal resection
EMT	Epithelial-to mesenchymal transition
ESCC	Esophageal squamous cell carcinomas
ESMR	Endoscopic submucosal resection
FFPE	Formalin-fixed paraffin-embedded
FISH	Fluorescence in situ hybridization
G1, G2 Phase	Gap phases of the cell cycle
GATA4	GATA binding protein 4
GATA5	GATA binding protein 5
GEJ	Gastro-esophageal junction
GERD	Gastroesophageal reflux disease
GI	Gastrointestinal
HER-2	HERBB2, human erb-b2 receptor tyrosine kinase 2
HGD	High- grade dysplasia
HGIN	High-grade intraepithelial neoplasia

Hh	Hedgehog
Hp	Helicobacter pylori
HPP1	Hyperpigmentation, progressive, 1
HPV	Human papilloma virus
IF	Immunofluorescence
IHC	Immunohistochemistry
IM	Intestinal metaplasia
IPOLFG	Instituto Português de Oncologia Francisco Gentil
KRAS	KRAS proto-oncogene, GTPase
LGD	Low-grade dysplasia
LGIN	Low-grade intraepithelial neoplasia
lncRNAs	Long noncoding RNAs
LOH	Loss of heterozygosity
M Phase	Mitosis phase of the cell cycle
miRNAs	MicroRNAs
mRNA	Messenger Ribonucleic acid
MT	Microtubule
MTOC	Microtubule-organizing center
MUC-2	Mucin 2
MYC	MYC proto-oncogene, bHLH transcription factor
NF-kB	Nuclear factor kappa B
NGS	Next generation sequencing
NKX2.1	NK2 homeobox 1
NOS	Nitric oxide
p16/CDKN2A	Cyclin dependent kinase inhibitor 2A
p53	TP53, tumor protein p53
p63	TP63, tumor protein p63
PCM	Pericentriolar material
PCR	Polymerase Chain Reaction
PIK3CA	Phosphatidylinositol-4,5-bisphosphate 3-kinase catalytic subunit alpha
PLK1	Polo like kinase 1
PLK4	Polo like kinase 4
pRb	Rb protein
pSMAD	Phospho-SMAD
qRT-PCR	Quantitative Reverse Transcription PCR, qPCR
RA	Retinoic acid
Rb	RB1, RB transcriptional corepressor 1
RFA	Radiofrequency ablation
RNA	Ribonucleic acid
ROS	Reactive oxygen species
RUNX3	RUNX family transcription factor 3
S Phase	Synthesis phase of the cell cycle
SAC	Spindle assembly checkpoint
SAS-6	SAS-6 centriolar assembly protein
SFED	French Society of Digestive Endoscopy
Shh	Sonic Hedgehog
SMAD	Mothers against decapentaplegic homolog 4
SMARCA4	SWI/SNF related, matrix associated, actin dependent regulator of chromatin, subfamily a, member 4
SNP	Single nucleotide polymorphism
SOX2	SRY-box transcription factor 2
SOX9	SRY-box transcription factor 9
Src	SRC proto-oncogene, non-receptor tyrosine kinase
STIL	STIL centriolar assembly protein
TAZ	Transcriptional coactivator with PDZ-binding motif
TGF $\alpha$	Transforming Growth Factor Alpha

TLR4	Toll like receptor 4
TWIST1	Twist family bHLH transcription factor 1
UK	United Kingdom
USA	United States of America
WWTR1	WW domain-containing transcription regulator protein 1



**CHAPTER 1:**  
**General Introduction**



## **1.1 Definition and clinical relevance of Barrett's esophagus**

Barrett's esophagus (BE) is a pathological condition of the distal esophagus whose definition still remains controversial. It is broadly regarded as the replacement of the normal stratified squamous lining by a columnar-lined metaplastic epithelium, which is detectable by endoscopy and confirmed histologically. It is clinically relevant because it correlates with long standing gastroesophageal reflux disease (GERD) and it is a premalignant condition that increases the risk of developing esophageal adenocarcinoma (EA), also known as Barrett's adenocarcinoma (BA).[1-4] This neoplasia develops through a sequence of molecular and histologic events reflected morphologically by the multistep process of metaplasia, dysplasia (low/high grade) and adenocarcinoma.[3]

### **1.1.1 Definition of Barrett's esophagus**

Despite the histologic features of Barrett's columnar mucosa being well described, the morphological criteria for BE diagnosis are still a matter of worldwide discussion. Whereas the American Gastroenterological Association (AGA) and the American College of Gastroenterology (ACG) claim that the presence of intestinal metaplasia (IM) is required, the British Society of Gastroenterology (BSG) argues that a columnar epithelium, with no goblet cells, is enough for the diagnosis. Despite the recognition of three distinct epithelia in BE, namely cardiac, oxyntic-cardiac and intestinal, the AGA and the ACG only consider the intestinal type for diagnosis. [5-9]

Underlying this discussion are the different perspectives regarding the risk of malignant progression of the distinct metaplastic phenotypes. Actually, the rationale behind BE definition diverges between USA and UK scientific societies. The former support that BE is clinically important because it predisposes to cancer so the definition should only include the histologic features that significantly increases the risk of cancer development; the latter advocate that BE definition should be merely a description of the acquired metaplastic condition irrespective of its malignant potential.[3] The BSG claim that the evaluation of risk in BE patients must be addressed separately, taking into account the current knowledge and several factors (endoscopic, histological and molecular) specific of each patient in order to determine the best individual management strategy.[10]

The USA perspective stems from early retrospective cohort studies demonstrating that most EA arises in the background of columnar mucosa with intestinal features [11-15], and large population-based studies demonstrating that the cancer risk is significantly higher in patients with IM versus patients with columnar epithelium without goblet cells.[16, 17] North American medical societies therefore consider IM as the columnar type of epithelia that clearly

predisposes to EA and recommend that BE diagnosis implies the histological identification of this epithelium in biopsies before recommendation for surveillance. [7, 18]

In favor of the British point of view there are retrospective studies showing a similar risk of progression for patients with IM or columnar epithelium without goblet cells. [6, 19, 20] There is also a growing conviction among BE experts that the columnar lined esophagus with no intestinal features (CLE) is a previous step in BE pathway, and thus the development of IM is a time related event.[6] Accordingly, evidence from two follow-up studies where patients with columnar epithelium without IM at index biopsy were included in surveillance programs and prospectively followed support this: in a cohort (n=322) studied by Gatenby and colleagues (2008), IM was documented in 54.8% of the patients after 5 years of surveillance and in 90.8% after 10 years [19]; and in our cohort (n=15), Dias Pereira and Chaves (2012) reported the presence of specialized columnar epithelium in 60% of the cases after a mean follow-up of 7.1 years.[21]

Another important issue is related to the fact that the absence of goblet cells in a biopsy could be due to a sampling error, and thus lead to an erroneous diagnosis (non-IM CLES instead of CLES with IM). A study by Chandrassoma and colleagues (2012), where a systematic collection of biopsies was conducted, revealed that IM was detected in most of the cases (87.4%), including those with dysplasia or adenocarcinoma. In the cases with only cardiac-type mucosa there was no dysplasia or invasive neoplasia. In the group where a systematic biopsy sampling was not applied, a substantial number of cases with dysplasia or EA exhibited exclusively neoplasia in the biopsy material. Thus, the authors concluded that many adenocarcinomas, with no documented adjacent residual IM, could be explained by tumor overgrowth or by insufficient sampling instead of a real absence of IM. They also supported that when an adequate and systematic protocol of biopsies was followed, the cases without IM have an insignificant risk of malignant progression.[22, 23] This raises an important question since inadequate sampling could, erroneously, exclude from follow-up risk patients (when USA criteria is applied) that if deprived of an early BE diagnosis could have a later presentation and a worst prognosis.

Moreover, there is accumulated evidence that non-goblet columnar metaplasia exhibits cryptic features of intestinal differentiation. In accordance, diverse studies have shown expression of intestinal markers, CDX2 [24-26], DAS-1 [24, 27, 28], HepPar1 [29], villin [24, 30], MUC-2 [24], and a quite similar cytokeratin expression pattern [27] not only in areas of BE with typical goblet cells but also in non-goblet columnar epithelium from BE and CLEs, favoring a common origin. In addition, several reports also disclosed similar molecular abnormalities, such as microsatellite instability [31], chromosomal instability [31, 32] and DNA content alterations [33] in columnar mucosa with no goblet cells, both in BE and CLE patients. These data support that esophageal non-globlet columnar epithelium, along with IM, is clearly abnormal and at risk of malignant progression. In line with this, and questioning the North American guidelines, a report from Riddel and Odze came out in 2009 supporting the exclusion of intestinal metaplasia

from BE definition.[6] This fact points out that even the USA experts are not consensual regarding this issue.

Nevertheless, USA medical societies argue that, up to now, there is not strong evidence supporting the inclusion of patients without IM in follow-up. Although they recognize that non-goblet columnar epithelium could predispose to malignancy, they argue that the level of risk remains unclear. Until then they maintain that it is not possible to make substantiated management guidelines for those patients. [7, 34] Indeed, given the low risk of malignant progression, the cost-benefit of surveillance and treatment programs, even for patients with IM whose cancer risk is well defined, has been questioned. [7] [34, 35]

There is convincing evidence in favor of both perspectives supporting the need of future research to clarify the most appropriate definition and the best strategy for BE patient management. Curiously, the controversy concerning BE definition extends to other countries beyond the USA and the UK. Europe, other than the UK, follows the American definition while in Japan, as in the UK, BE is diagnosed in the context of columnar metaplasia lacking goblet cells. Actually, Japanese experts were the first to propose that the diagnosis of BE could be performed in the context of columnar epithelium without goblet cells. [6, 36]

Another important and controversial issue is the anatomical landmarks used at endoscopy to define the limits of the distal esophagus, thereby identifying the gastro-esophageal junction (GEJ) since an accurate diagnosis of BE requires the precise detection of red velvet mucosa (columnar epithelium) proximal to that junction.[34, 37] While the Western world uses the proximal end of the gastric longitudinal folds, in the East the distal end of the lower esophageal palisade vessels is the reference for the GEJ.[34, 38] Conceptually, the two landmarks should co-localize but there are factors that may affect this co-localization including diverse pathological conditions. [10] These limitations are responsible for inter-observer variability and can lead to false positive or false negative BE diagnosis, namely in short or ultra-short segments. Current scientific evidence does not favor a universally endoscopic landmark and without a validated gold standard any choice will have always an arbitrary component.[7, 34] In the lack of substantiated evidence advocating alternative markers, both UK and USA guidelines support that “the proximal limit of the longitudinal gastric folds with minimal air insufflation is the easiest landmark to delineate the GEJ”, despite its limitations.[7, 10, 34] In Asian countries, however, endoscopists continue to support the use of distal end of palisade vessels as the best reference point. Particularly in Japan they use this landmark to identify the GEJ since the proximal end of gastric folds is impaired by the prevalence of severe *Helicobacter pylori* atrophic gastritis. [39]

In conclusion, the histologic features for the diagnosis of BE and the anatomic landmarks for the identification of the GEJ remain inconsistent requiring more research to reach an adequate consensual definition.

### **1.1.2 Brief history of Barrett's esophagus**

Although the concept of BE has been discussed for more than one century, the diagnostic criteria remains controversial, reflecting the lack of a clear understanding of the disease. Indeed, the history of BE is full of misunderstandings, uncertainties, and controversies. A summary chronological overview of the key events that conducted to the present understanding of the entity is crucial to stress the ever-existing misinterpretations and the progressive clarification of BE biopathology.

Even though he was not the first to refer the entity, the eponymous "Barrett's esophagus" stayed after the publication in 1950 by Norman Rupert Barrett, a recognized British surgeon who brought the focus on the condition.[40] In his report he supported that an organ should be defined by its mucosal lining rather than by its anatomic location and sustained that the esophagus should be regarded as "that part of the foregut, distal to the cricopharyngeal sphincter, which is lined by squamous epithelium". Therefore, he argued that the previously described ulceration, similar to chronic gastric ulcer observed in a tubular organ, appearing at the distal esophagus, are in fact located in the stomach. In favor of his argument, he noticed that the ulcerated columnar lining was "gastric in type".[40] Norman Barrett's misinterpretation, based on the assumption that the squamous-columnar transition defines the gastroesophageal junction, sustained that the lesion was congenital and located at stomach. Despite defining an incorrect biopathology, the eponymous persisted. Actually, before Norman Barrett many authors have already described clinical conditions framing the spectrum of BE. [41, 42]

Almost fifty years before Barrett, Tileston reported the entity, described its morphology, clarified the epidemiology and, in striking contrast to Barrett, suggested the correct etiology. The first morphologic description of the condition is attributed to Wilder Tileston in 1906.[41] He described a "simple ulcer of the esophagus" located in the esophageal lowest part, near to the cardia that resembles, grossly and microscopically a "simple ulcer of the stomach. He stated that it is more frequent in middle age males and that "the cardia should be insufficient, allowing regurgitation of the gastric juice into the esophagus".[41] Almost simultaneously with Norman Barrett, in 1951 in France, Lortat-Jacob described the "endo-brachyesophagus", an endoesophageal ascent of gastric type mucosa in patients with reflux and with no alteration of GEJ topography.[43-45] Lortat-jacob's interpretation was closer to the present understanding of BE than Barrett's first description. In respect to BE etiology, Norman Barrett regarded the lesion as congenital while Tileston and Lortat-Jacob as associated to reflux.[40, 41, 43]

The discussion on the nature of the lesion, congenital vs. acquired, parallels the controversy about its histological characterization. Tileston, Norman Barrett and Lortat-Jacob described a gastric type mucosa adjacent to the ulcer.[40, 41, 43] Bosher and Taylor's, in 1951, described a "lower esophagus completely lined by gastric mucosa with intestinal-type goblet elements but no parietal cells", which they considered a heterotopia. [46] This was the first reference to an intestinal phenotype in the esophageal lining, although it was regarded as a heterotopia. The

second reference to an intestinal phenotype came in 1952 by Morson and Belcher who reported a case of esophageal adenocarcinoma arising in a “glandular mucous membrane” showing “chronic inflammatory and atrophic changes, with a tendency towards an intestinal type containing many goblet cells”.[47] Despite the reference to a previous report of adenocarcinoma in the esophagus (by Carie in 1950), their work was the first detailed description of an adenocarcinoma arising in a distal esophagus lined by columnar epithelium, clearly corresponding to the entity, currently, designated as Barrett’s adenocarcinoma.

In 1959, the report by Moersch and colleagues about patients with reflux esophagitis referred to a “deep ulceration in columnar epithelium-lined esophagus” which they already named as “Barrett’s ulcer” suggesting that the eponym was been retained. Remarkably, the authors described “cells resembling young columnar cells were seen occasionally, and thus the question of inflammatory metaplasia had to be considered.” [48] This was the first suggestion of a metaplastic process associated to long standing GER. Nevertheless, the question regarding BE etiology was clarified only in 1970 with the experimental work of Bremner et al. They demonstrated that in the absence of GER the removal of distal esophageal lining in dogs was followed by squamous re-epithelialization, but inducing GER, a new columnar epithelium arose. [49] This study corroborated the association between GER and the columnar lining of the distal esophagus and discarded the congenital hypothesis.

The histological picture of the columnar lining was another polemic and challenging issue. Paralleling the debate on BE etiology, several histological descriptions emerged using different designations. [50-55] It was Paul and colleagues in 1976, who clarified the histological spectrum of the columnar lined mucosa.[56] Using a multilevel esophageal biopsy protocol in 11 patients, the authors described three different types of columnar epithelium: the atrophic “gastric fundic” type with parietal and chief cells; the junctional type with cardiac type mucous glands and no parietal cells; and the “specialized columnar epithelium”, a unique type of intestinal metaplasia, with a villiform surface, mucous glands, Alcian-blue positive goblet cells and no parietal or chief cells. The first two types were similar to normal gastric mucosa and the third one was only analogous to some types of intestinal metaplasia observed in the stomach. A distinctive pattern on their topographic distribution was also prominent. The intestinal type was always proximally located, adjacent to the squamous epithelium, followed by the junctional type, being the atrophic gastric fundic type distally located. Therefore, they concluded that BE columnar lining is highly heterogeneous which could explain the previous existent discrepancies. Another relevant issue in this report was the recognition, in one case, of dysplastic features within specialized columnar epithelium. Pointing out this, the authors perceived the importance of this columnar epithelium in malignant transformation. [56] This work was an important piece in the puzzle of BE discussion considering their focus on three crucial points regarding the disease: morphology, heterogeneity and risk. Actually, it contributed to the understanding of the complex columnar epithelium morphology raising for the first time the concept of cellular

heterogeneity in BE and reporting the development of cancer associated to intestinal metaplasia.

The debate regarding BE association with EA matched the discussion on BE etiology and histology. Despite previous reports describing adenocarcinomas arising in columnar epithelium with intestinal features, it was in 1978 that Haggitt and colleagues who clearly demonstrated the biopathological association.[11, 47, 57, 58] The authors described 12 out primary esophageal adenocarcinoma arising in the setting of a columnar mucosa, 10 of which with a continuum of lesions from columnar epithelium to invasive adenocarcinoma. They concluded that “esophageal adenocarcinoma is one complication of a columnar epithelium-lined esophagus”, and suggested that the “invasive carcinoma evolves through a sequence of epithelial dysplasia and carcinoma in situ”. So, they recommended a surveillance program with biopsy and cytology as effective methods to detect precursor lesions and to prevent invasive neoplasia. [11] Likewise, Skinner and colleagues aiming at identifying etiological and prognostic factors associated to malignancy, compared BE patients with and without associated neoplasia. [12] Their work stressed the role of GER on BE, highlighted the value of specialized intestinal epithelium featuring goblet cells, as a hallmark of BE, namely in risk patients and suggested dysplasia, mainly associated with the intestinal phenotype, as the most serious indicator of malignant potential.[12]

In the last decades of the 20<sup>th</sup> century, BE and the intestinal phenotype reached a widely acceptance between experts as a premalignant condition and as a risk marker, respectively. In 1998, the ACG proposed a definition that stands until nowadays, despite the controversies and lack of consensus. It was recommended that BE should be defined as “a change from the normal esophageal squamous mucosa to columnar mucosa of any length that is visible endoscopically and that on biopsy demonstrates intestinal metaplasia”. [59, 60]

Nowadays, it is consensual that BE is a lesion of the distal esophagus, acquired as a consequence of long standing GER and widely accepted as the premalignant condition for esophageal adenocarcinoma. However, several points remain ambiguous, namely, which are the BE features really associated with malignancy, which are the patients that are going to progress, and would in fact benefit from surveillance and in what frequency. Also the actual biological meaning of the different cellular lineages, namely the gastric phenotype is still a matter of controversy.

These ambiguities are responsible for different approaches that bring limitations with detrimental effects not only in the clinical setting but also in research, giving rise to an unclear interpretation of the literature.

Actually, the Barrett’s esophagus concept seems like “a never-ending story” with the last chapter still completely unrevealed.

### **1.1.3 Epidemiology and risk factors of Barrett's esophagus and Esophageal Adenocarcinoma**

The clinical relevance of Barrett's esophagus (BE) disease relates to its establishment as the major risk factor for development of esophageal adenocarcinoma (EA), a malignancy whose incidence has been rising at an alarming rate, especially in western countries during the last decades.[61-63]

#### **1.1.3.1 Epidemiology**

Barrett's esophagus (BE) normally develops in the background of chronic gastroesophageal reflux disease (GERD), which is a highly common clinical disorder with prevalence rates varying from 8 to 40% worldwide.[64] BE is approximately 10 times more frequent among persons with manifestations of GERD, with studies reporting a prevalence between 5-20% in patients undergoing upper endoscopy for reflux symptoms.[64-69] However, many BE patients are asymptomatic, which means they have silent reflux, do not seek medical care and remain undiagnosed.[70, 71]

The overall prevalence of BE remains quite difficult to estimate due to the significant number of cases that are clinically undetected.[67, 72] In 1999, Cameron and colleagues found that BE was five times more prevalent in autopsies when compared to BE prevalence retrieved from endoscopic series in the same geographic area. This suggested that only a minority of the cases were clinically recognized [73], and that for every diagnosed BE patient probably 20 more remain unidentified in the overall population [71]. Additionally, two studies in individuals undergoing screening colonoscopy, in which endoscopy and biopsies were done to evaluate BE prevalence, revealed that BE was also present in patients without GERD symptoms. [74, 75] In the first study the overall prevalence of BE was 6.8%. BE was diagnosed in 5.6% of the patients with no history of heartburn and in 8.3% of the patients with reflux symptoms.[74] In the second study, 16.7% of the population studied was diagnosed with BE. Once more, clinical GERD symptoms were a poor predictor for detecting BE that was found in 19.8% of the symptomatic cases and in 14.9% of patients who denied having reflux symptoms.[75] It is important to note that these two studies were conducted in tertiary care centers and selection bias needs to be considered since age is a risk factor for BE and older patients are more prone to have GERD when compared to a truly unselected sample of the adult population.[67] Thus the prevalence of BE in the aforementioned studies was likely overestimated and the overall incidence and prevalence rates are expected to be smaller in the general population.[37, 76]

The most accurate estimates are derived from endoscopic surveys of random samples of the adult population, regardless of clinical indication, with the single purpose of detecting BE. Since this condition can only be diagnosed through endoscopic evaluation and histologic confirmation, there are few population-based studies assessing the prevalence and incidence in unselected overall population.[1, 77] The best data were probably derived from three different studies named Kalixanda, Loiano-Monghidoro and SILC studies, which overcame the logistic

challenge of doing an endoscopic survey on a large scale at random in the communities.[78-80] In the Kalixanda study, upper endoscopy on 1,000 randomly selected Swedish adults revealed a BE prevalence of 1.6%.[78] The Loiano-Monghidoro study of 1,033 Italian individuals revealed a prevalence of 1.3%.[79] Finally, in the SILC study of 1,029 endoscopies of individuals in Shanghai BE was found in 1.8% of the subjects.[80] It is noteworthy that the Swedish and Italian studies confirmed histologically the presence of intestinal metaplasia to diagnose BE whereas in the SILC study the investigators were less restrictive and used endoscopically suspected BE as diagnostic criterion. Thus, estimates on BE have to be interpreted with caution since global epidemiological differences could vary widely depending on the endoscopic diagnostic criteria and definition used, apart from geographic, demographics, genetics and lifestyle factors.[38, 81-84]

BE is globally recognized as the premalignant condition for EA, a tumor whose incidence has been rising over the past decades, at a rate faster than any other type of cancer, mainly in western nations, becoming also the fastest growing cause of death from cancer.[9, 84-86] In the USA there was a seven-fold increase on EA incidence rate, from 0.36 to 2.56 per 10,000 cases, between 1973 and 2006.[87] This same trend was noticed in several European countries and Australia. Thus, EA evolved from being a rare neoplasia to become the most frequent esophageal malignancy in the USA and most Western countries in the late 1990s.[83] In 2014, 18,170 new cases of esophageal cancer were documented in the USA of which 59.9% were EA.[88] However some recent data show evidence that the rate of this increase has leveled off or even plateaued.[87, 89, 90]

The causes for the dramatic increase of this neoplasia incidence are not fully elucidated but it is conceivable that one of the reasons might be the rising incidence of BE and its underlying condition, GERD, in the last decades.[39] In fact, GERD incidence has been increasing in many developed countries and in the USA it became the leading diagnosis for gastrointestinal disorders in the outpatient setting.[91, 92] While some authors claimed the increasing BE incidence might be partially explained by a greater awareness of the disease among clinicians, and consequently by a higher number of endoscopies and biopsies performed, there is evidence that the incidence of BE is rising independently of these factors suggesting a real occurrence rather than a higher detection rate.[64, 72] For example, a study based on data from the Northern Ireland registry reported an increase of 93% in BE incidence between 1993 and 2005. A similar study was conducted in the Netherlands and the same upward trend was found. Notably, this rising incidence was more pronounced in patients younger than 60 years.[93-95] Other hypotheses about BE increasing incidence are related with the increased prevalence of other known risk factors such as abdominal obesity and smoking, and also with the decreased prevalence of *Helicobacter pylori* infection.[63, 72, 96]

Patients with BE are at an increased risk of developing EA, with estimates ranging from 10 to 125 times the risk of the general population.[94, 97-100] Early progression rates reports tended

to overestimate the cancer risk since they were performed mainly at reference centers and derived from small cohort studies with a short length of follow-up.[7, 71, 101] Recent better-quality studies, based on larger cohorts, longer surveillance follow-up and more stringent criteria, such as, more robust BE definition and exclusion of cases with prevalent dysplasia (either present just in the index biopsy or in the first year of follow-up), showed a considerable lower cancer incidence. These large population-based BE follow-up studies reported an absolute annual risk of progression to EA of 0.12-0.14%. [17, 95, 102, 103] Moreover, a recent large meta-analysis of 57 studies demonstrated that the pooled annual incidence of EA in this BE cohort was of 0.33% (95% CI 0.28–0.38%).[35, 104] So, in the light of these studies, only a small minority of the BE patients will progress to malignancy.

However, the risk of progression to invasive neoplasia increases significantly with dysplasia.[77]. The rate of progression to EA ranged from 0.5 to 26.5% for LGD and from 6 to 19% for high-grade dysplasia.[105-108] Low-grade dysplasia was traditionally considered as harboring a low risk of progression. Recent studies showed that when the diagnosis of low-grade dysplasia was confirmed by an expert pathologist the risk of progression was high. So high-grade dysplasia and confirmed low-grade dysplasia are the best risk markers of progression to EA. [109, 110]

In conclusion, BE is the main risk factor for the development of EA. The risk of progression among BE patients is low but significant. Furthermore, dysplasia is the only validated marker that increases significantly the risk of progression to EA. So, international guidelines recommend targeting and screening the population at higher risk of BE and endorse these patients to endoscopic surveillance programs in order to detect malignant progression at an early and curable stage cancer.

### **1.1.3.2 Risk factors**

Despite being a common disorder, BE is not equally distributed among the overall population and the risk of progression of BE patients is different between regions. It is therefore envisioned that BE is a disease with a multifactorial etiology resulting from the interaction of several risk factors, such as demographic, environmental and clinical factors, with the unique genetic background and susceptibility characteristic of each individual. However, the knowledge about the contribution of these interactions in the development and progression of BE is still scarce.[1, 111-114]. Since BE is a premalignant condition of EA, it is conceived that, along with BE itself, risk factors beyond this precursor lesion also contribute to neoplastic progression.[115]

**BE segment length** - Most studies report that the risk of developing dysplasia/EA is higher as the extent of BE segments increases. [10, 116] However, there is no cut-off length at which the risk of malignant progression is significantly higher. [62, 95] On the other hand, as short segment BE are more frequent than long segments, it is conceivable that most EA occur in the former ones.[115]

**Gastro-esophageal reflux disease (GERD)** is a chronic disorder associated to continued esophageal exposure to gastric or bile acids driven by a defective lower esophageal sphincter.[83, 111] Currently, GERD is defined according to the Montreal consensus as "a condition that develops when the reflux of stomach contents causes troublesome symptoms and/or complications".[117] Long-standing GERD is tightly associated with BE and EA being considered the major risk factor for BE and to play a role in BE malignant progression. [83]

**Hiatal hernia** is an anatomical alteration resulting from the protrusion of part of the stomach upwards throughout the diaphragm. This decreases the efficiency of lower esophageal sphincter against reflux predisposing to GERD and BE.[69, 118] The size of hiatal hernia also seems relevant [119], with some studies showing association between larger hiatal hernia, severe reflux and higher risk of malignancy.[95, 120, 121]

**Obesity**, measured as total body mass index (BMI), has long been accepted as a risk factor for BE and EA.[69, 122] It deserves special attention since obesity is becoming globally epidemic.[123] Not only BMI, but also the location where fat accumulates, namely the abdominal/visceral adiposity is a stronger risk factor for BE and EA.[124, 125] Several hypotheses were raised to support the obesity involvement in the pathogenesis of GERD, BE and EA, including mechanical features as increased intra-abdominal pressure and metabolic factors such as secretion of high levels of proinflammatory cytokines.[124] Also, abdominal obesity increases the likelihood of having hiatal hernia, which *per se* also fosters reflux.[126] Interestingly, an association between visceral adiposity and higher risk of 9p loss of heterozygosity (LOH), 17p LOH and aneuploidy, the main molecular changes in BE progression was also reported.[95]

**Gender** - Most studies show that BE and EA is more common in men.[34, 62, 111, 112] Although the prevalence of GERD is similar in both sexes, a meta-analysis showed a male:female ratio of 1.96:1 in BE and of 5:1 in EA. These differences have been explained by a protective role of women hormonal behavior [111], or by a different body fat distribution since men have predisposition to develop central obesity whereas women to develop peripheral obesity.[125] However, prospective studies do not prove this gender ratio.[34, 62] Nevertheless, the prevailing evidences still show male gender as a risk factor for BE and for the malignant progression to EA.[62]

**Age** is accepted as a risk factor for BE and EA by many investigators.[61, 127] Despite the fact that in older individuals it is clinically more frequent the need for endoscopies, therefore being higher the chance of BE diagnosis, these studies argue that, in the patients with GERD symptoms, the probability of having BE is also amplified, as age increases. [7]

**Ethnicity** - The prevalence of BE varies between different ethnic origins and geographic regions being more frequent in white Caucasian than Asian, Middle Eastern, African, Caribbean and South American.[1, 111, 128] In fact, several cohort studies demonstrated that most BE

patients are white when compared with other ethnic groups and that this variation in prevalence increases with malignant progression. There is not a clear explanation for these findings but these differences could derive from studies bias, because they rely on the demographics of people who attend for endoscopy, unidentified genetic variants in non-Caucasian, or may also result from distinctive environmental background (dietary and lifestyle habits) and differences in the rates of obesity and GERD among countries. [34, 61, 111]

**Smoking** is considered a moderate risk factor for BE and to a higher extent for EA albeit the results in this field being inconsistent.[63] This may be due to different methodologies and sample sizes in studies and variable BE definition. [62, 83, 112] There is a suggestion that smoking alone may not be a risk factor but when associated with visceral obesity, GERD symptoms, and with long segment BE, it should be considered. [111, 129]

***Helicobacter pylori (Hp)*** is a Gram-negative bacterium that commonly infects the human stomach and its chronic infection is strongly associated with an increased risk of developing gastric cancer.[130, 131] Inversely, several authors argue that *Hp* infection, mainly CagA positive strains, seems to have a protective role against BE and EA.[35, 132] In fact, some epidemiologic studies have shown that *Hp*(+) individuals have half the risk of developing BE and EA when compared with *Hp*(-).[83, 133, 134] This protective role could be explained by the capacity of these bacteria to cause gastritis, which results in reduced gastric acid production and decreased GERD.[115, 135] Since the prevalence rates of *Hp* infection is falling, mainly in developed countries, it has been proposed that could be, at least in part, the reason for the increasing incidence of BE and EA.[115, 136, 137]

**Diet** - Since the incidence of BE and EA varies considering sex, ethnic and geographic characteristics, it is conceivable that different dietary habits could be one of the factors involved in this difference.[83] Nevertheless, the current data only results from observational studies and still lacks randomized trials to confirm the role of diet in BE.[138]

Most of these risk factors have already been translated to the clinical setting. In fact, recent guidelines from AGA, ACG and BSG advocate that, additionally to GERD, other risk factors (at least two or multiple depending on the guideline) should be considered, namely male gender, age  $\geq 50$ , white race, hiatal hernia, obesity (high BMI and/or intra-abdominal adiposity) and smoking habits, to select patients to be endorsed to endoscopic screening in order to detect BE.[7, 10, 139]

## **1.2 Barrett's esophagus malignant progression to esophageal adenocarcinoma: pathogenesis and carcinogenesis**

The prevailing rationale is that Barrett's esophagus (BE) is the result of a metaplastic process, defined as the replacement of one cell type by another, that appears as an adaptive response to

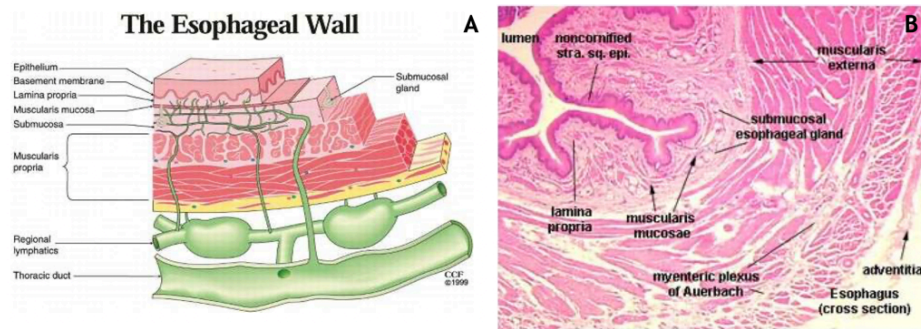
gastro-esophageal reflux disease (GERD). Chronic exposure to reflux damages the esophageal squamous cells and leads to esophagitis. In some individuals the healing process is accompanied by a cellular reprogramming triggered by a change in the expression of key developmental transcription factors, which dictates a shift in the cell's phenotypic commitment. This results in the replacement of the damaged squamous epithelium by columnar cells that are able to secrete mucus and are more resistant to acid and bile reflux. However, what determines whether BE develops or not remains elusive. Actually, to this day, the cell of origin of BE is still matter of debate, a problem that is urgent to solve since it is crucial for understanding the molecular mechanisms underlying the metaplastic conversion. [3, 114, 140]

On the same line of thinking, and despite decades of research, we are still far from knowing when, how and which BE patients will progress to cancer. Current knowledge suggests that in the setting of chronic injury, due to recurrent reflux episodes and repeated healing of the Barrett's mucosa, together with chronic inflammation, in some individuals BE cells could acquire physiological properties that enable them to become cancer cells.[2, 141, 142] In fact, several factors have already been implicated in the molecular pathways involved in BE malignant progression to EA, namely those involved in regeneration, cell cycle, apoptosis, cell adhesion, chromosomal instability (CIN), aneuploidy and invasion, events that have already been linked in general with tumorigenesis.[143] By definition, the process of carcinogenesis involves the acquisition of genetic and epigenetic abnormalities in key molecular pathways, allowing normal cells to develop anomalous functional properties that lead to the development of cancer cells. In 2000, Hanahan and Weinberg proposed that six essential changes must occur in order for a cell to become malignant and denominated these changes as "cancer hallmarks" [144]. Cancer cells must: be independent from exogenous mitotic stimulation or being self-sufficient in growth signals, evade growth inhibitory signals, resist cell death by avoiding apoptosis, have limitless replicative capacity becoming immortal, induce angiogenesis in order to sustain their own growth, and be able to invade local tissues and metastasize, this is, spreading and proliferating in distant locations. Later in 2011 the authors proposed two additional cancer hallmarks: reprogramming of the energy metabolism to enhance further proliferation of cancer cells (e.g. switch to aerobic glycolysis) and the ability to evade destruction by the immune system. Furthermore, according to the same authors, underlying the acquisition of these cancer hallmarks, there are genetic instability and mutations, which provide cancer cells with genetic changes that drive tumor progression, and inflammation that triggers a tumor-promoting microenvironment.[144-146]

Similar to other types of cancer, the process of carcinogenesis in BE is also characterized by a succession of genetic and epigenetic alterations, which confer a selective advantage to neoplastic cells through the acquisition of these cancer hallmarks.[147] The progressive sequence of these molecular changes goes along with histologic events, morphologically expressed on the multistep process of metaplasia, dysplasia (low/high grade) and adenocarcinoma.[3]

### 1.2.1 Histologic features of Barrett's metaplasia, dysplasia and carcinoma sequence

BE is a pathological condition of the distal esophagus. Four layers compose the esophageal wall: mucosa, submucosa, muscularis propria and adventitia/serosa. (Fig. 1)

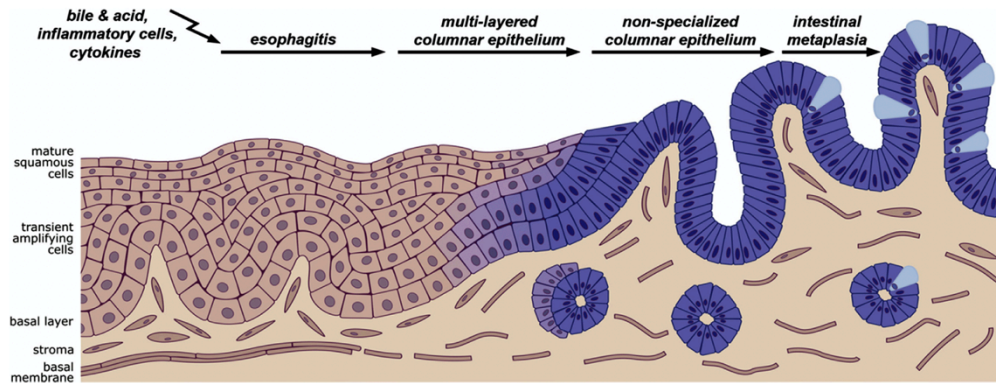


**Figure 1. Cross-section of the esophageal wall. A)** Schematic anatomical view. **B)** Histological sagittal section displaying the multiple layers. (Retrieved from [466, 467])

The mucosal lining of the esophagus is a non-keratinized stratified squamous epithelium supported by a thin layer of loose connective tissue called lamina propria containing stromal cells, blood and lymphatic capillaries, nerve fibers and scattered inflammatory cells. In the distal esophagus, near the gastro-esophageal junction (GEJ), the lamina propria also contains cardiac glands that secrete neutral mucins for protection of the esophagus against the acidic gastric juices. The lamina propria invaginates into the squamous epithelium giving rise to papillae that usually extend to one third/one half of the epithelial thickness. Histologically, this epithelium is characterized by the presence of multiple layers of epithelial cells organized in a deeper proliferative and a thicker superficial differentiated zone. The proliferative zone has a basal layer of cuboidal dividing cells, adherent to the basement membrane and occupying 10% to 15% of the total thickness. From the deepest layer, cells differentiate moving upwards to the surface becoming flat and larger keratinocytes (cells with small nuclei and eosinophilic cytoplasm, being the clear look due to the presence of glycogen) and continuously replacing the outer superficial cells that were sloughed off [148, 149]. The esophageal mucosa contains a third layer of longitudinally oriented smooth muscle fibers, the muscularis mucosa. The submucosa of the esophagus is highly vascular and is composed of connective tissue with abundant blood vessels and lymphatics, nerve cells, and occasional lymphocytes and plasma cells. Similar to salivary glands it also has mucous glands that produce mucins in order to lubricate the esophagus, commonly called esophageal glands. Deeper, the esophagus is covered by an inner circular and an outer longitudinal layers of muscle cells, the muscularis propria. The outermost stratum is composed by a layer of loose connective tissue (adventitia or serosa, if located above or below the diaphragm) containing blood and lymphatic vessels, and nerve fibers.

As a result of chronic tissue injury due to GERD, BE develops in the distal esophagus by the metaplastic replacement of the native squamous epithelium by a columnar epithelium with

gastric and intestinal features. [140] Currently, and according to observational studies in human BE samples and animal models as well as molecular data, currently, not only the progression to EA but also the development of IM has been progressively recognized as a multistep process. (Fig. 2)



**Figure 2. Stepwise process in the development of intestinal metaplasia.** Chronic tissue injury of squamous epithelium is followed by the development of a multi-layered epithelium, which further develops into a columnar epithelium, culminating in intestinal metaplasia. (Retrieved from [150])

Preceding the appearance of columnar metaplasia, the injured squamous epithelium is first substituted by an “intermediate” epithelium, commonly named as multilayered epithelium. It is regarded as a hybrid epithelium that exhibits features of both squamous and columnar epithelia. Histologically, it is composed by flattened squamoid cells containing small round or oval nuclei, small centrally located nucleolus and ample eosinophilic cytoplasm in its basal layers and by cells with a cumulative degree of columnar differentiation (with a basal nucleus and clear cytoplasm containing vacuoles of mucus) in its suprabasal and superficial layers. Nuclear pseudostratification is usual and there are no perceptible intercellular bridges.[30, 151] The next step in the BE process is the development of a gastric type columnar epithelium, which undergoes a further differentiation reprogramming, resulting in an intermediate non-goblet columnar epithelium with cryptic intestinal differentiation and finally in IM, recognized by the presence of goblet cells. So, the different entities previously regarded as independent metaplastic phenotypes, namely the junctional/cardiac, the atrophic gastric-fundic/oxyntocardiac type and the specialized columnar/IM are now recognized, according to most recent data, as being interrelated and part of the stepwise process of BE development.[3, 150, 151]

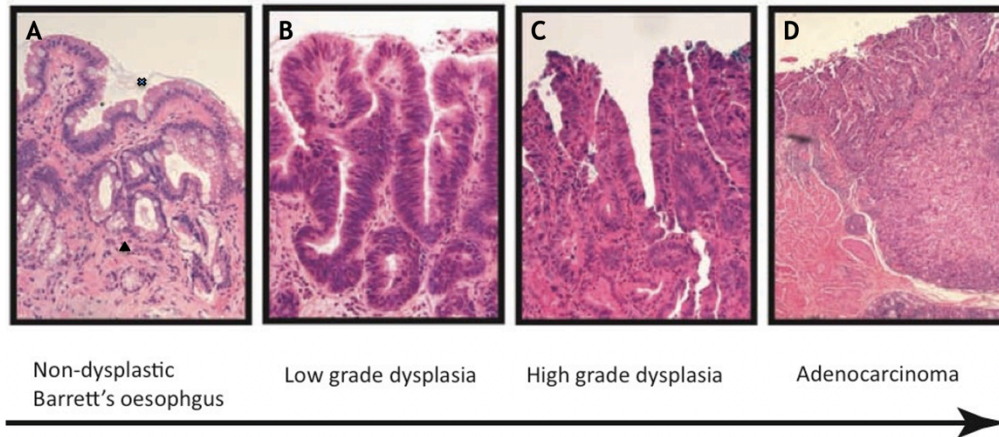
**Barrett’s esophagus (BE)** comprises two epithelial compartments, the surface/crypt epithelium, and the glandular portion underneath (Fig. 3A). The metaplastic epithelium is composed by a mixture of different columnar cells, with mucinous elements resembling gastric foveolar cells, goblets cells (characteristically having a barrel-shaped configuration and a nucleus compressed due to distended cytoplasmic containing acid mucin vacuoles), enterocytic cells and, in a smaller proportion, by Paneth and endocrine cells.[152, 153] Cellular elements with features of different cell types are also present, namely with combined gastric/intestinal or

intestinal/squamous (e.g. multilayered epithelium) mixed phenotypes.[154] The proportion of each cell type in the metaplastic lining depends on patient's age, length and age of the BE segment, biopsies location (proximal vs. distal), and presence or absence of neoplasia. The cellular composition of the glandular compartment also depends on the segment location: whereas in the distal portion there is normally a higher proportion of oxyntic glands, mucous glands are more frequent in the proximal BE mucosa, namely in areas where goblets cells are prominent. Nevertheless, the most common pattern is an assortment of mucous (cardiac) and oxyntocardiac glands along the BE segment.[3] Additionally to epithelial changes, BE also presents mesenchymal and stromal alterations: lamina propria commonly has increased blood and lymphatic vessels, nerve fibers, and displays features associated to chronic inflammation; and muscularis mucosa is rearranged with a thick single layer or, frequently, with a double layer.[155] However, the remaining structural components of the esophagus remain unchanged, namely the submucosal elements. So the recognition of submucosal mucous glands could be crucial as an evidence of esophageal location of the columnar epithelium and the establishment of BE diagnosis.[156]

**BE without dysplastic features** presents surface maturation compared to the underlying basal glands. Indeed, the nuclear:cytoplasmic ratio is lower in the surface epithelial elements than in the deep glands lining. Lamina propria surrounding the glands is prominent. The metaplastic columnar epithelium retains cell polarity with basal nuclei location, regular nuclei with smooth membranes and small nucleoli. Mitotic figures are confined to the basal compartment of the glands.[8] Since BE is a metaplastic epithelium associated to an inflammatory background, some degree of atypia could be present as a result of reactive changes but it is confined to basal glands of the mucosa maintaining surface maturation.[157] Recently, it was suggested that the recognition of the “four lines” in the superficial BE epithelia is indicative of preserved polarity of epithelial cells and could help to reduce equivocal diagnosis of “indefinite for dysplasia, discharging many cases as reactive. The first, or top line, matches to the apical mucin cap and the second line to the base of the cap. The third line corresponds to the aligned eosinophilic cytoplasm and the fourth or the bottom line to the row of nuclei.[158, 159] Along the carcinogenic pathway, BE cells acquire several molecular changes becoming neoplastic. Morphologically, these abnormalities are reflected as an uncontrolled cell growth, and a progressive degree of cytological and architectural atypia, recognized as dysplasia.[23]

**Dysplasia** is a “neoplastic epithelium that is confined to the basement membrane.”[156] There are several types of dysplasia already associated to BE. The first and best characterized is the intestinal type dysplasia even though, more recently, two others types were described, namely gastric (foveolar) and serrated dysplasia.[3] Irrespectively of the type, dysplasia is graded into low-grade and high-grade according to several criteria: degree of cytoarchitectural atypia, nuclear stratification, nuclear:cytoplasmic ratio, nuclear hyperchromasia, cellular and nuclear pleomorphism, number of mitoses and presence of atypical mitoses.[3, 143] **Low-grade dysplasia (LGD)** is characterized by having slight absence of surface maturation (Fig. 3B).

Atypical cells are present not only in the basal compartment but also at the luminal surface. Cytological abnormalities include nuclear enlargement, elongation, hyperchromasia and nuclear pseudo-stratification, although with maintained or minimal loss of nuclear polarity. Minor architectural changes are present with glands appearing crowded but with evident surrounding lamina propria and no complex architectural forms. Mitoses are increased, but typically normal.[8, 23, 156]



**Figure 3. BE multistep pathway of progression.** A) Barrett's esophagus without dysplastic features. The cross indicates the surface/cript compartment and the arrowhead indicates the glandular components of the epithelium. B) Low grade dysplasia. C) High grade dysplasia D) Esophageal adenocarcinoma (Retrieved from [160]).

In **high-grade dysplasia (HGD)**, cytological and architectural changes are more prominent (Fig. 3C). Surface maturation is absent and cytologic atypia involves the entire length of the epithelium. Nuclei enlargement is more striking, displaying marked pleomorphism, hyperchromasia, anisocytosis and irregular membranes. Round vesicular nuclei with conspicuous nucleoli are common features. Nuclear polarity is lost and mitotic figures, including atypical forms, are frequent even at the luminal surface. The epithelium shows striking architectural abnormalities such as villiform surface configuration and glandular distortion with focal budding, cribriform appearance and crowded glands with loss of lamina propria. Dilated glands with luminal necrotic debris could be present. In the setting of a diagnosis of HGD the pathologist should look for evidence of coexisting EA. However, in biopsy the differential diagnosis can be difficult and the exclusion of intramucosal adenocarcinoma may be impossible. [23, 156, 157]

In **esophageal adenocarcinoma (EA)**, the neoplastic cells are no more restrict to the epithelium and infiltrate the lamina propria, the muscularis mucosa and/or submucosa, frequently eliciting a characteristic desmoplastic stromal reaction (Fig. 3D). Among the histological types of EA, the most common is the intestinal pattern but diffuse, signet ring or mixed types, despite less frequent, can also be observed. Invasive neoplasia normally exhibits high-grade cytological and architectural features with crowded and small angulated glands, fused or syncytial growth of tumor cells and single cells infiltrating the lamina propria. Dilated tubules

containing necrotic debris and a pronounced neutrophilic infiltrate in the epithelium may be present. Pagetoid spread of neoplastic cells, when present, is always a feature of invasive neoplasia.[8, 23, 143]

Importantly, the well-known morphologic progression of BE through the sequence of metaplasia, LGD, HGD and adenocarcinoma is the phenotypic expression of a complex progressive biopathogenic process. Dysplasia is a challenging morphological concept. Despite the precise definition and the strict and well-defined criteria, the agreement between pathologists when classifying dysplasia is poor. In fact, graduation of dysplasia remains highly subjective and frequently inaccurate, especially if not performed by experts in gastrointestinal (GI) pathology. Since graduation of dysplasia remains the gold standard for clinical BE management, guidelines recommend that two pathologists should evaluate the diagnosis of any dysplasia and at least one should have expertise in GI pathology.[34, 35, 65]

Furthermore, differential diagnosis between BE negative for dysplasia and LGD could be very difficult and highly variable, particularly in the presence of reactive changes related to inflammation/regeneration. Therefore, the concept of diagnostic uncertainty led to the creation of a provisional diagnosis, **BE “indefinite for dysplasia”**. This category do not constitute a step on the spectrum of BE malignant progression. Oppositely, it means that there are no criteria to discriminate the nature, regenerative vs neoplastic, of the morphological changes observed. In that sense, indefinite for dysplasia represents a holding diagnosis until the treatment reduces inflammation and a new biopsy is performed. [8, 156, 159]

### **1.2.2 Barrett’s esophagus pathogenesis**

Despite extensive research, the cellular origin of BE remains a mystery and a controversial issue. At least five hypotheses are currently under discussion. One proposal is that BE could arise from a trans-differentiation process wherein mature squamous cells transform into columnar cells through an epigenetic effect without requiring proliferation. Another theory proposes that BE originates from a reprogramming or commitment of the pluripotent stem cells responsible for the continued replacement of the esophageal lining that undergo columnar rather squamous differentiation, a process named trans-commitment.[114] These stem cells could be from the basal layer of the native squamous epithelium, the submucosal esophageal glands or from the neck region (ductal lining) of these glands.[161] Another hypothesis suggests that a small population of embryonic columnar cells, maintained at the GEJ until adulthood, is able to migrate and proliferate after chronic injury and erosion of the squamous epithelium, giving rise to BE. It has also been proposed that bone marrow stem cells could be involved, migrating and seeding in the area of epithelial injury and later differentiating into columnar cells.[114] Lastly, some authors argue that BE development may be related to stromal cells modulation, namely by alterations on the regulatory signals that affect the stromal component of the mucosa (e.g. myofibroblasts and inflammatory cells). Stromal cells could either send signals that would influence and shift the differentiation program of epithelial cells, or directly originate columnar

cells through mesenchymal-to-epithelial transition [149] As there is reliable scientific evidence favoring or rejecting each of these proposals under specific contexts, there is no winning theory to this day. More research is crucial to elucidate the molecular mechanisms essential for the BE metaplastic process. Until then, some authors argue that is plausible to consider that more than one BE cellular origin could exist, and that perhaps the source could be different from patient to patient. This could be a possible explanation for the fact that only few BE patients progress to EA. In contrast, if we consider the hypotheses that neoplastic risk would not be dependent on the cell of origin, then the cell type giving rise to BE could dictate different cancerogenesis pathways and result in diverse subtypes of EA, each of which may need particular clinical management. [114, 161, 162]

Whilst the BE progenitor cell remains unknown, current evidence indicates that long-term exposure to acid and bile reflux creates an inflammatory environment that triggers genetic and/or epigenetic changes, and contribute to the activation or inactivation of signaling pathways that are crucial to BE development and eventually progression to EA.[149, 163] In fact, experimental data obtained from *in vitro* and *in vivo* animal models have allowed significant progress regarding the comprehension of the aberrant signaling events involved in the onset of BE and its malignant progression.[164-167] The existing hypothesis implicates the involvement of several signaling pathways that normally participate in the development and maintenance of the gut, and other organs, during embryogenesis: the Hh (Hedgehog) and BMP4 (Bone morphogenic protein 4) pathways, activated to develop and maintain the simple columnar epithelium of the embryonic esophagus and not expressed in the adult esophagus; the RA (Retinoic acid) signaling, crucial for the development of the esophagus and the squamous mucosa; and the Wnt (wingless-related integration site) and Notch pathways, responsible for the development and differentiation of the intestine including regulation of intestinal stem cell homeostasis. [2, 114, 150]

The embryological esophagus develops from the dorsal half of the foregut being initially covered by a columnar lining that, as the embryo matures, is replaced by a squamous epithelium that remains until adulthood. The above signaling pathways regulate this shift in the differentiation program through the expression of different transcription factors: NKX2.1 expression induces the columnar differentiation, whereas SOX2 and p63 are involved in the development and maintenance of the squamous epithelium.[72, 168] With continuous exposure of this epithelium to acid and bile reflux, the ensuing inflammation and tissue injury lead to the expression of different transcription factors that promote a shift towards an intestinal phenotype. First, there is an activation and upregulation of Hh signaling, which acts as an inducer of BMP4 signaling pathway, resulting in a renewed expression of epithelial Shh (Sonic Hedgehog), one of the three ligands of Hh, and stromal BMP4 proteins. These signals lead to increased expression of pSMAD and SOX9, which drive columnar differentiation. Then, the interaction of pSMAD and CDX2 transcription factors, and later, the Notch and Wnt signaling, dictate the further development and homeostasis of intestinal type of BE metaplasia.[150] Of note, the phenotypic

expression of intestinal features by columnar cells precedes the morphologic appearance of goblets cells, suggesting that CDX2 plays an early role in the intestinalization process.[3] Regarding Wnt signaling, which involves stabilization and nuclear re-localization of  $\beta$ -catenin, there are contradictory opinions regarding its role on BE pathogenesis. Since nuclear  $\beta$ -catenin is not expressed in human BE samples, some authors argue that this pathway plays either a minor or no role at all in BE development.[169, 170] Surprisingly, RA signaling, responsible for squamous differentiation, is also activated in BE and appears to have a role in its pathogenesis. This apparently contradictory finding may be related with the fact that the effect of RA on cellular differentiation is dependent on the specific retinoid receptor subtype activated, which may result in different responses to RA signaling.[168] In fact, a study using primary human esophageal keratinocytes cultured *in vivo* demonstrated that RA is able to induce the expression of the intestinal differentiation marker MUC2.[171] Furthermore, another study also showed that an increase in RA activity induces a glandular phenotype in human squamous mucosa *ex vivo* and suppress squamous differentiation.[172] Some of these signaling pathways have also been associated with BE neoplastic progression. Although data from human samples point to a further increase in the Hh signaling along the progression sequence, its role in EA development is not clear.[168] Notch signaling activation is associated with progression from BE to EA [163]and Wnt signaling seems to be an important driver during BE malignant transformation, as revealed by a progressive increase of nuclear  $\beta$ -catenin in the metaplasia-dysplasia-carcinoma sequence [72]. On the other hand, RA signaling appears to have a dual role in BE tumorigenesis. Despite being increased in BE, its signaling decreases in dysplasia and EA. As RA can function as an inhibitor of cell proliferation in several cancer cell lines and triggers apoptosis in a BE cell line, activation of this pathway could have a tumor suppressor effect. [168]

Inflammation is known to play an important role in both BE and EA pathogenesis. GERD triggers an acute and chronic inflammatory process characterized by the recruitment of different immune cells and by the release of inflammatory mediators, such as cytokines, chemokines and growth factors. For example, the transcription factor NF- $\kappa$ B (nuclear factor kappa B), a pivotal mediator in inflammatory response, induces the expression of CDX1 and CDX2, important transcription factors for intestinal differentiation in BE development. Furthermore, immune cells and inflammatory mediators also contribute to tumor development through the secretion of inflammatory factors, by promoting proliferation and angiogenesis, and by creating an immunosuppressive environment that helps tumors evade the host response.[173, 174] Exposure of esophageal tissue and cultured cells to acid and bile salts also generates reactive oxygen species (ROS) and the production of nitric oxide (NOS), both responsible for oxidative stress, DNA damage and double-strand breaks. Bile and acid reflux also change BE cells kinetics allowing cells with DNA damage to escape apoptosis through the activation of NF- $\kappa$ B pathway. DNA damage, in turn, is associated with telomere dysfunction, activation of telomerase and p53 mutation. All these events are not only observed along the BE malignant sequence, but are also thought to contribute to the process of BE carcinogenesis. [91, 122, 175-177]

Bile and acid reflux has also been associated with deregulation of microRNAs (miRNAs), a class of small non-coding RNAs with key roles in regulation of cell growth, differentiation and migration.[91, 178] Given that diverse miRNAs were already found to be deregulated in BE within the context of signaling pathways underlying BE pathogenesis and carcinogenesis as Hh, Notch, Wnt and NF- $\kappa$ B, they could also play a role in BE initiation and carcinogenesis [178]. BE and EA have a different miRNA profile from that of the normal esophagus, with at least 34 differentially expressed miRNAs in BE/EA when compared to native squamous epithelium.[179] Moreover, BE patients who progressed have a miRNA profile distinct from non-progressors, with four miRNA (miR-192, miR-194, miR-196a, and miR-196b) having a higher expression in the first group comparatively to the second group of patients.[180] As miRNAs are stable and identifiable in blood, they could be used in a near future as an important diagnostic tool.[178] Long noncoding RNAs (lncRNAs) are also associated with BE malignant progression. They have key roles as regulators of chromatin dynamics and gene expression, and in the control of cell growth, differentiation and migration.[91, 181] A recent study identified a specific lncRNA, AFAP1-AS1, that is hypomethylated and overexpressed in BE and EA. This work also demonstrated that *in vitro* silencing of this lncRNA inhibited cell migration, invasion capacity and promoted apoptosis, showing that its aberrant overexpression could contribute to tumor development and progression.[182]

### **1.2.3 Molecular changes underlying Barrett's esophagus progression to Esophageal Adenocarcinoma**

The genomic instability that characterizes the process of carcinogenesis in BE fosters the occurrence of molecular alterations affecting tumor suppressors, oncogenes, and cell cycle checkpoints, which in turn contribute to oncogenic behavior and neoplastic progression.[163] Given the availability of BE samples over time from patients in follow up, and the presence of BE and dysplasia adjacent to EA in esophagectomy specimens, this cancer model was soon considered ideal to characterize the molecular defects in the prior steps before advanced cancer, to chronologically order those events along the cancer pathway and to identify those that could be associated with an increased risk of developing cancer.[113] With that in mind, several studies have addressed the relationship between genetic abnormalities and disease stage. Thus far, several types of DNA abnormalities have been described in BE and EA, namely structural genomic changes (amplifications, deletions and translocations), DNA sequence modifications, and epigenetic alterations (DNA methylation and miRNA expression).[183, 184] Currently, the prevailing evidence points to molecular events such as loss of heterozygosity (LOH), aberrant methylation of tumor suppressor genes, specific genetic mutations, clonal diversity, whole-genome doubling and large scale copy number changes, as relevant mechanisms in BE initiation and/or progression to EA.[185]

Recent large-scale sequencing studies revealed that EA is one of the most mutated epithelial cancers, with high somatic mutation rates exceeded only by melanoma and lung cancer.[185] This is not surprising given that EA develops in a highly genotoxic background associated with

continuous injury triggered by GERD, inflammatory environment and sometimes by tobacco smoke, which are all mutagenic factors. [186] Surprisingly however, the mutational burden in non-dysplastic BE, although inferior to that of dysplasia and EA, was found to be higher than some types of invasive tumors such as multiple myeloma, breast and colorectal cancers.[146, 187] In fact, genomic studies have shown that despite being a benign condition, BE is not a simple metaplastic epithelium but rather it already presents several abnormalities, part of which could also be identified in dysplasia and EA. [183]

The starting point of understanding the genomic profile of BE and EA as well as the process of clonal evolution within BE carcinogenesis began many years before the advent of genomics revolution, with the use of techniques like flow cytometry, FISH (fluorescence in situ hybridization), array comparative genomic hybridization and the analysis of the methylation, LOH and mutational status of specific known genes. [188-190] That research revealed that cell cycle and genetic abnormalities are not exclusive of EA but occur early in the premalignant condition and accumulate during malignant progression, thus laying the groundwork in tracing the major molecular events involved in BE malignant progression.[186, 187] Early studies in EA uncovered a high prevalence of cell cycle and genetic abnormalities such as increased G<sub>1</sub>, S phase and 4N fractions, as well as aneuploidy and LOH at multiple chromosomes.[188, 191] BE was found to be hyperproliferative in relation to normal esophageal and gastric epithelium, with a high mitotic index, decreased generation time, and increased proliferation very early in the progression process.[188, 192-194] Prospective studies showed that a minority of BE patients also develops increased 4N (G<sub>2</sub>/tetraploid) cell populations, genetically unstable intermediates with a predisposition for subsequent development of aneuploidy, and that those patients had a higher propensity to progress to dysplasia or EA and could be considered high-risk patients.[188, 195, 196]

Those early studies also revealed that loss of p16/CDKN2A and p53 tumor suppressor genes was highly prevalent, and among the most common somatic genetic abnormalities found in EA.[197] In general, tumor suppressor genes in cancer are inactivated by the conjugation of three different mechanisms: deletion of the chromosomal region where the gene is located (LOH), mutation, and methylation of the promoter region. In EA, p53 and p16 inactivation result from 17p LOH and mutation of the remaining allele, and 9p21 LOH and mutation or promoter methylation of the second allele, respectively [197, 198]. As tumor suppressor genes are normally responsible for controlling cell proliferation and inhibiting tumor expansion, their inactivation allows cells to avoid growth inhibitory signals and to proliferate without restrictions contributing to tumor development. Moreover, since p53 also has an important pro-apoptotic function, its loss can promote cancer progression by suppression of cell death through apoptosis. Retrospective studies in patients that progressed to EA showed that abnormalities in p16 and p53 are early genomic events in BE malignant progression and precede the development of aneuploidy and cancer.[199, 200] p16 lesions were the most common alteration found in BE, even in patients who had not developed dysplasia, being present in more than 85% of patients

with BE at all histological grades (BE; BE+LGD; BE+HGD; BE+LGD+HGD) before EA [201]. These studies also demonstrated that clones with p16 changes were frequently selected, often expanding to the entire BE segment through a selective sweep in the process of clonal evolution.[142, 199] Loss of p53 was found later in the progression, almost exclusively in a genetic background of a prior p16 inactivation, coinciding often with the appearance of LGD. In addition, p53 loss of function was considered to be a decisive mechanism in the BE malignant pathway not only because p53 LOH was strongly associated with the development of 4N cell populations that arise before aneuploidy, but also because patients with p53 LOH had a much higher risk of progression to EA.[122, 142, 184]

Besides p16 and p53, other studies also identified sporadic and less prevalent genetic alterations along BE malignant pathway. Mutations in KRAS, and amplifications of genes as HER-2, EGFR and TGF $\alpha$  were detected in EA and appear to be late events in cancer progression, whereas others were found to be already detectable in BE, such as APC inactivation, and Rb LOH, and cyclin D1, Bcl-2 and Src kinase overexpression. Nevertheless, evidence points that these alterations contribute to BE progression instead of having a direct role on BE pathogenesis.[149, 202]

Together, these studies led the proposal of a general model where loss of p16 is the main initiating event in BE malignant pathway that provides a selective advantage to the mutant clones. Consequently, clonal expansion occurs by a selective sweep through the neoplasm. In parallel, cells with neutral mutations could also arise but since they normally do not disturb cell fitness, they most likely only spread when coupled to a driver mutation. The emergence and expansion of clones with loss of p53 seems to require a previous inactivation of p16. Inactivation of p53 is also associated with genomic instability, which is permissive for the following development of tetraploid and aneuploid clones resulting in neoplastic progression. Cancer progression would most likely follow a branched non-linear evolution, with neoplastic clones diverging, maintaining the same p16 and p53 abnormalities but with different ploidies and additional somatic genetic alterations. [183, 199, 200, 203, 204] Subsequently, new data came out challenging this theory. In a study evaluating p16, p53 and point mutations in squamous surrounding tissue, neo-squamous islands and individualized crypts from BE and dysplasia areas, no fixed founder mutation was found throughout progression. Instead, there was evident clonal heterogeneity, with multiple p16 independent clones.[205] Thus, a much more heterogeneous scenario than what was advocated by the previous theory was found. Based on these findings, a different model was proposed: BE heterogeneity could develop from multiple independent clones that evolve separately, where some clones could go extinct while others maintained. So, genetic abnormalities existing in these clones would not necessarily spread through BE segment, depending on the particular competitive advantage of each clone. The cancer evolution envisaged by this proposal gives rise to a much more heterogeneous BE and subsequent malignant stages. Hypothetically, both theories could coexist in BE malignant pathway but the technology at the time did not allow an extensive analysis of the molecular

profile of BE and EA samples and the information retrieved from a small number of selected genes has made this issue difficult to clarify.[187, 205, 206]

The recent and fast evolution of molecular techniques brought important insight into the complex mutational landscape of BE and EA and the main molecular events involved in BE malignant progression to cancer. [207]. Technologies such as SNP (single nucleotide polymorphism) arrays, WGS (whole genome sequencing), WES (whole exome sequencing), and NGS (next generation sequencing) have a higher sensitivity and allow a deeper coverage of the genome. As a result, they allow the identification of somatic mutations at lower allelic fraction than what was achievable by traditional molecular techniques, and enable the simultaneous detection of mutations and somatic copy number alterations.[208] Notably, however, the fundamental concepts associated to the previous cancer models before their advent, appear to remain unaltered: the heterogeneous nature and the high complexity associated with BE and EA was reinforced; the touchstone that EA evolve from BE holds true, with several sequencing studies demonstrating that many coding mutations in EA are present as early as in BE; and lastly, the concepts of branched evolution and non-linearity associated with BE malignant progression have also not changed.[184, 204, 207]

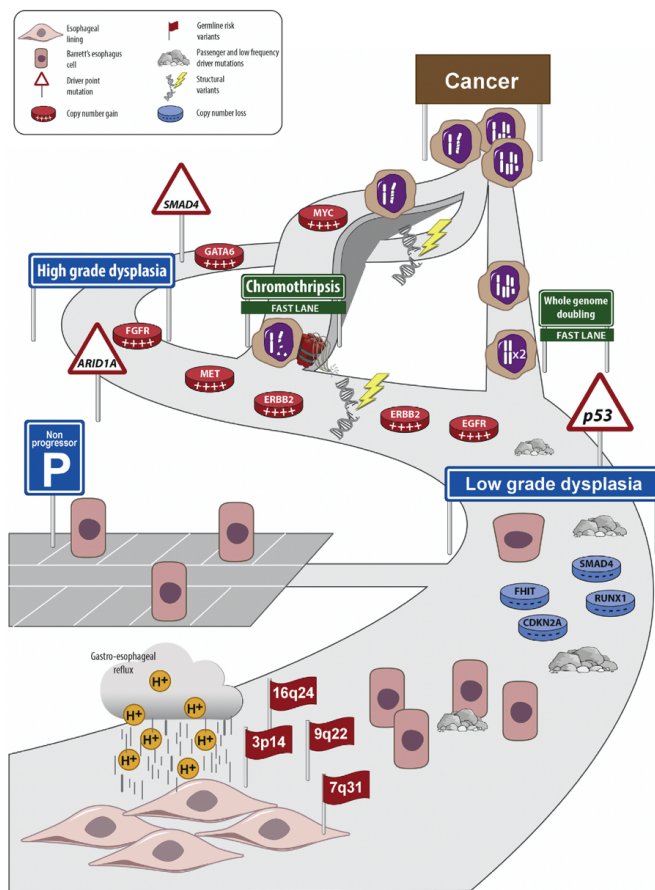
By unraveling the prominent genomic alterations at the invasive cancer stage, these studies showed that EA is highly heterogeneous with only a restricted number of genes recurrently mutated across numerous cases. In agreement with earlier studies, the most prevalent gene mutations were found in p53, followed by p16. In fact, p53 was the only gene frequently mutated in EA, throughout several studies. [184-186] Nevertheless, other genes were also found to be significantly mutated but in a smaller percentage of cases. While some had been previously implicated in EA, such as SMAD4 [209] and PIK3CA [210], new recurrent mutations were identified in chromatin remodeling factors such as TLR4, ELMO1, DOCK2 and SMARCA4, and in novel tumor suppressor genes such as ARID1A.[211-213] Analysis of SNP variations allowed the assessment of mutational patterns or signatures in EA and to infer about the causative mutagens. This revealed a tendency for A to C transversions at AA sites resulting in an enrichment of CTT trinucleotides, which has been proposed to be associated with oxidative DNA damage caused by GERD since in a subsequent study this same pattern was found in BE.[211, 214] In addition to being highly mutated, mostly resulting in widespread loss of function of several tumor suppressors, EA is characterized by having a wide range of copy number alterations in genes with recognized involvement in carcinogenesis. Recent studies found recurrent genomic amplifications in loci of oncogenes (e.g. EGFR, HERBB2, KRAS), cell cycle regulators (e.g. CCND1), and transcription factors (e.g. MYC, GATA4, GATA6) [183, 215], and uncovered novel potential mechanisms underlying those rearranged genomes. Amplification of several oncogenes in this cancer is frequently caused by major chromosome catastrophes such as chromothripsis. This is a process where several genes could be affected resultant from a massive chromosomal shattering due to mitotic chromosomal segregation anomalies, and breakage-fusion-bridge events in which telomeres are lost after breaking, followed by

chromosomal fusion and anomalous separation in anaphase.[185, 216] Moreover, a study measuring the absolute amount of somatic DNA alterations in various types of neoplasias found that whole-genome doubling is a common event in cancer, including EA, that has been associated with CIN and a faster route in the oncogenic process. It also provided additional evidence that tetraploidy, detected in the earlier studies using flow cytometry, and subsequent aneuploidy are cell cycle events involved in BE malignant progression to EA.[186, 217]

Sequencing studies evaluating the genome and epigenome of EA and co-existing BE found that the mutational context at both stages is very similar and that abnormalities in DNA methylation are frequent not only in EA but also in BE.[183] In agreement, another study sequencing the exome of EA and matched BE found that 80% of the mutations present in EA were already detected in paired BE.[218] In a study assessing the mutational spectra in three different groups of patient samples (never-dysplastic BE, BE with HGD and EA), BE from patients with no signs of progression harbored frequent mutations in genes previously identified as drivers in EA, including ARID1 and SMARCA4.[213] Furthermore, the most prevalent mutations in EA were also detected at equivalent mutational rates in BE and HGD samples. The only exceptions were p53 and SMAD4 mutations, which were found to be stage specific and clearly defined the boundaries between BE with no dysplasia to HGD and EA, respectively. In contrast, other studies detected p53 mutations in BE adjacent to EA and in non-dysplastic BE years before progression to HGD or EA.[208, 212, 214] P53 aberrant expression was also observed in non-dysplastic BE samples from a small proportion of patients that were prospectively followed, specifically, in 7% from the group of non-progressors and 18% of progressors.[219] Moreover, despite early studies implicating p16 loss of function in BE malignant pathway to cancer, recent studies showed no significant differences in the frequency of homozygous deletions in fragile sites of some tumor suppressors, including chromosome 9p loss or p16 LOH, in BE samples from patients that developed EA and non-progressors.[186] Thus, the data emerged by these newer sequencing technologies further reinforced the complexity associated with BE disease and the difficulty to integrate all these molecular changes in assays that could be used to predict the risk of cancer progression associated to each particular alteration. These studies clearly demonstrated that despite being a benign epithelium, BE could develop several types of molecular abnormalities in a diversity of genes. Considering that the vast majority of BE patients will not develop cancer, the contribution of each player to BE oncogenesis, from the plethora of molecular events occurring during progression, is unclear. [183, 184]

In order to understand the dynamics of somatic genomic evolution leading to cancer and get further insight into the roots of neoplastic progression in BE, a prospective study addressed the genomic profile over space and time in BE patients with or without later progression. While the genome of non-progressors displayed low levels of copy number anomalies and remained relatively stable with low CIN over time, in BE from progressors, as approaching the time of cancer diagnosis they developed CIN, with a striking increase in gains or losses of whole chromosomes or chromosomes arms, followed by an increase in genetic diversity and selection

of clones over space in BE segments. In a subset of these progressors, catastrophic genome-doubling events with widespread aneuploidy were detected.[220] These findings were concordant with the concept that aneuploidy is a driver of neoplastic progression, but were novel in respect to the demonstration that aneuploidy occurs just before the development of cancer.[183] Furthermore, these results suggest that in some patients there appears to exist a restricted time window of opportunity for early detection of cancer. This was also favored by a recent study reporting that in 25% of BE patients in follow up, the progression to EA is missed by current surveillance programs. Importantly, these data also suggest that acquisition of the sequence alterations is not uniform between all cases that progress to EA and the possibility of existing multiple evolutionary pathways driving the molecular evolution to cancer.[184, 207, 220] Indeed, the findings of two subsequent studies performing WGS and SNP in EA and WES



**Figure 4. Pathways of BE progression to EA.** BE can progress to EA along the traditional pathway following the multistep sequence metaplasia, LGD, HGD and EA, or by faster roots of genome doubling or genome catastrophes after p53 inactivation. (Retrieved from [204])

on paired samples of BE and EA corroborate this novel concept[214, 216], suggesting that BE progression to malignancy can occur by faster routes than the traditional pathway of tumorigenesis, where p53 mutations are followed by genomic catastrophe (chromothripsis) or genome doubling events. EA arising in these contexts are enriched in oncogenic amplification anomalies and presented a decreased frequency of tumor gene inactivation. Based on these

findings, two distinct pathways for cancer progression in BE arose as alternatives to the first established model (Fig. 4). [204]

While the traditional model is characterized by gradual loss of tumor p16 and p53 suppressor genes, followed by oncogene activation and then genomic instability development, in the novel pathways of cancer development, p53 inactivation is an early event and BE can accelerate via whole-genome doubling or genome catastrophes that are followed by genomic instability, aneuploidy and oncogene activation. These faster routes for cancer development might explain the failure of current surveillance and management standards to mitigate the increasing incidence of EA.[146, 204, 221]

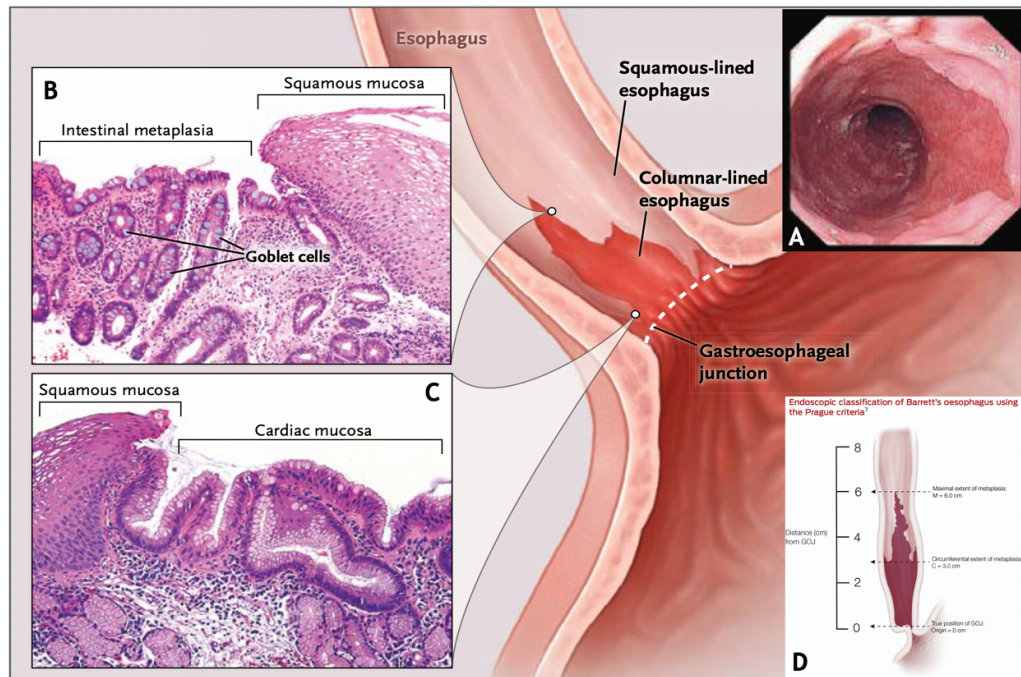
All in all, despite the tremendous advances made towards understanding BE pathogenesis and carcinogenesis, and in particular the recent exciting era of discovery associated with massive scale data accomplished by NGS, many molecular events remain poorly understood. Most significantly, we are still far from being able to translate this knowledge into a molecular profile able to predict cancer risk in BE disease. This is even more important now considering that some patients can progress to malignancy by more rapid pathways, as previously discussed, that shorten the window of opportunity to detect progression to cancer at an early stage. So, future research must take advantage of these new technologies to further clarify the mechanisms associated with BE malignant progression and to identify biomarkers that could predict which BE patients have a higher risk of developing cancer, or in other words, which BEs are “born to be bad”. Hopefully this knowledge will help create the tools that would allow managing BE patients according to their cancer risk, improving surveillance programs’ efficiency and, above all, increasing the chances of treating them before EA development.[3, 91, 163]

### **1.3 Diagnosis and management of Barrett’s esophagus patients**

In the western world, BE diagnosis requires the presence of two criteria: (i) an endoscopically recognized segment of red velvet mucosa of any length extending above the gastro-esophageal junction (GEJ) (Fig. 5A), and (ii) a histological evaluation confirming the presence of IM (Fig. 5B). As discussed above, the identification of goblet cells in the metaplastic epithelium in order to establish a definite BE diagnosis is not required by all gastroenterology societies, such as BSG that only requires the presence of metaplastic columnar epithelium (Fig. 5C).[64, 222] Despite this major disagreement, once BE diagnosis is confirmed, all guidelines recommend the surveillance of these patients aiming to diagnose HGD or EA at an early stage.[9, 91, 223]

The standard of care for endoscopic surveillance is to use high-definition and high-resolution white light endoscopy (WD-WLE) for a detailed and accurate inspection of the surface of the columnar mucosa.[221, 223] The extent of BE segment should be recorded using the Prague C&M criteria [77] (Fig. 5D), a reliable and validated endoscopic reporting system developed to standardize BE endoscopic classification and to reduce inter and intra-observer variability. BE is

traditionally classified as long or short segment according to its length,  $\geq 3$ cm or  $<3$  cm respectively. This is relevant since there is scientific evidence demonstrating that longer BE segments have a higher risk of cancer development.[10, 116] Recent guidelines from the British Society of Gastroenterology (BSG), Cancer Council Australia and French Society of Digestive Endoscopy (SFED) already take this into account when they advocate the interval between endoscopic surveillance for non-dysplastic BE patients. Furthermore, all visible lesions should be described using the Paris classification.[10, 37, 95, 224]



**Figure 5. Diagnostic criteria of Barrett's esophagus.** (A-C) The diagnosis of BE requires the endoscopic evidence of red velvet mucosa extending upwards GEJ (A) and the histological confirmation of the presence of IM in the biopsy specimens (B). Some gastroenterology societies, such as BSG, only require the presence of columnar metaplasia (cardiac mucosa) to establish the diagnosis of BE (C). (D) Prague criteria of BE. (adapted from [77, 81, 140])

An adequate and systematic biopsy sampling is also extremely important in order to maximize the sensitivity for IM, dysplasia and/or adenocarcinoma detection. Biopsies should be collected according to the Seattle protocol: random 4 quadrant biopsies should be obtained, every 2 cm over the entire extension of the columnar mucosa. Targeted biopsies of any visible lesion should be sampled separately. [222, 225, 226]

The histologic report should specify the presence of squamous epithelium, inflammation, columnar lined esophagus (CLE), native esophageal elements, intestinal metaplasia (IM), dysplasia and or EA. Dysplasia should be classified according to the Vienna classification: negative for dysplasia; indefinite for dysplasia; low-grade dysplasia (LGD); high-grade dysplasia (HGD); invasive epithelial neoplasia.[116, 160, 227] There are also studies suggesting that

dysplasia extent correlates with an increased cancer risk, so it is clinically relevant that pathologists describe dysplasia as focal or diffuse.[64]

Dysplasia remains the gold standard criterion for cancer risk stratification in BE patients and the basis to define guidelines for surveillance and management of those patients (Table 1).[160, 221, 224]

**Table 1. Guidelines for Surveillance of Barrett’s esophagus by different gastroenterology societies.** (Retrieved from [81])

Disease stage	British Society of Gastroenterology (2013, 2015) <sup>8</sup>	American College of Gastroenterology (2015) <sup>11</sup>	American Society of Gastrointestinal Endoscopy (2012) <sup>15</sup>	American Gastroenterology Association (2011) <sup>10</sup>
Non-dysplastic Barrett’s oesophagus	<ul style="list-style-type: none"> <li>- Barrett’s oesophagus &lt;3 cm with intestinal metaplasia: surveillance endoscopy every 3-5 years</li> <li>- Barrett’s oesophagus ≥3 cm: surveillance every 2-3 years</li> </ul>	Surveillance endoscopy every 3-5 years	<ul style="list-style-type: none"> <li>- No surveillance can be considered</li> <li>- If surveillance is elected: surveillance endoscopy every 3-5 years with 4-quadrant biopsies every 2 cm</li> </ul>	Surveillance endoscopy every 3-5 years
Barrett’s oesophagus indeterminate for dysplasia	<ul style="list-style-type: none"> <li>- Review by second GI pathologist</li> <li>- p53 immunostain in addition to histopathological assessment</li> <li>- Optimisation of antireflux medication, repeat endoscopy in 6 months.</li> <li>- If no definite dysplasia found, surveillance as for non-dysplastic Barrett’s oesophagus</li> </ul>	<ul style="list-style-type: none"> <li>- Review by second pathologist preferably GI pathologist</li> <li>- Repeat endoscopy after optimisation of acid suppression for 3-6 months</li> <li>- If Barrett’s oesophagus indeterminate for dysplasia is found again, repeat exam-surveillance after 12 months</li> </ul>	<ul style="list-style-type: none"> <li>- Review by second pathologist</li> <li>- Increase antisecretory therapy</li> <li>- Repeat endoscopy and biopsy to clarify dysplasia status</li> <li>- Consider endoscopic ablation in select cases</li> </ul>	—
Low grade dysplasia	<ul style="list-style-type: none"> <li>- p53 immunostain</li> <li>- Repeat endoscopy in 6 months</li> <li>- If low grade dysplasia is found again and confirmed by expert GI pathologist, offer endoscopic therapy</li> <li>- If endoscopy therapy declined, surveillance every 6 months</li> </ul>	<ul style="list-style-type: none"> <li>- Review by second pathologist preferably GI pathologist</li> <li>- Endoscopic therapy preferred or surveillance every 12 months</li> <li>- Follow-up every year until no dysplasia seen on two consecutive endoscopies</li> </ul>	<ul style="list-style-type: none"> <li>- Confirm with expert GI pathologist.</li> <li>- Repeat endoscopy in 6 months to confirm low grade dysplasia</li> <li>- Surveillance endoscopy every year with 4-quadrant biopsies every 1-2 cm</li> <li>- Consider endoscopic resection or ablation</li> </ul>	<ul style="list-style-type: none"> <li>- Confirm with expert pathologist</li> <li>- Surveillance endoscopy every 6-12 months</li> <li>- Consider endoscopic eradication therapy</li> </ul>
High grade dysplasia or intramucosal carcinoma	<ul style="list-style-type: none"> <li>- Endoscopic therapy preferred over oesophagectomy or endoscopic surveillance</li> <li>- Endoscopic mucosal resection recommended as most accurate staging intervention</li> <li>- EMR is therapy of choice if visible mucosal irregularities</li> <li>- If oesophagectomy elected, post-surgery surveillance on a symptomatic basis</li> </ul>	<ul style="list-style-type: none"> <li>- Review by second pathologist preferably GI pathologist</li> <li>- If mucosal irregularity present, do EMR</li> <li>- Endoscopic therapy recommended</li> </ul>	<ul style="list-style-type: none"> <li>- Confirm with expert GI pathologist</li> <li>- Consider endoscopic resection or RFA</li> <li>- EUS for local staging and lymphadenopathy</li> <li>- Consider surgical consultation</li> <li>- Surveillance endoscopy every 3 months in select patients, 4-quadrant biopsies every 1 cm</li> </ul>	<ul style="list-style-type: none"> <li>- Confirm with expert pathologist</li> <li>- If mucosal irregularity present, do EMR</li> <li>- Endoscopic eradication preferred over surveillance or surgery</li> <li>- If treatment not elected, surveillance every 3 months</li> </ul>

GI = gastrointestinal. EMR = endoscopic mucosal resection. RFA = radiofrequency ablation. EUS = endoscopic ultrasound

In the past, the first line of treatment for Barrett’s neoplasia was esophagectomy.[86] In the last decades, endoscopic therapies such as radiofrequency ablation (RFA), endoscopic mucosal or submucosal resection (EMR or ESMR, respectively) were developed to treat superficial neoplastic lesions that are associated with very good oncological outcomes and low morbidity/mortality rates.[9, 223] Esophagectomy is only indicated when endoscopic therapy is considered as non-curative, such as for advanced EA that presents invasion of deeper layers and a significant risk of lymph node metastasis.[226]

### 1.3.1 Current paradigm in screening and surveillance of Barrett’s esophagus and future perspectives

Despite widespread screening and surveillance of BE with an effort to prevent a progression to cancer this practice has been revealed unsuccessful as rates of EA still continue to rise.[87] EA

continue to be a highly deadly cancer. Patients with advanced cancer have a poor prognosis with a low overall 5-year survival rate of less than 15% and for distant staged disease this value decrease to only 2.8%. However, when diagnosed at early stages, namely T1, the survival rate increases to more than 90%. So the best chance to improve survival is to detect EA at an early and potentially curable stage. [9, 91, 228]

The value and efficacy of this practice has been a controversial issue since it has several limitations.[140, 224] The selection of patients for screening is based on the presence of symptomatic GERD. However, there is a significant proportion of BE patients without reflux symptoms, mainly those with shorts segments. In fact, 40% of patients with EA did not describe any chronic manifestations of reflux and more than 90% do not have a prior BE diagnosis. This suggests that GERD is ineffective as a marker to target BE patients in the general population since it misses the cases without symptoms leading to a limited impact of surveillance on EA incidence and survival.[81, 140, 229]

Moreover, endoscopy as a screening tool is an invasive procedure and not without risks.[222] Screening programs with periodic endoscopies and biopsies are also expensive and time consuming for endoscopists and pathologists. The Seattle protocol is so laborious and demanding that there is poor adherence to this extensive biopsy sampling by endoscopists, particularly in long BE segments. This is important since inadequate sampling decreases the sensibility for dysplasia and extensive biopsy is even more important in long BE segments which have a higher risk of progression. Even when the Seattle protocol is strictly followed there is a chance of sampling error considering the small area of abnormal lining collected. In fact, dysplasia is not always associated with nodular areas or mucosal irregularities being sometimes flat, without apparent endoscopic alterations and focally distributed. Therefore, recognition of dysplasia can be difficult and easily missed despite meticulous endoscopic examination. [64, 95, 224] Furthermore, the diagnosis of dysplasia is highly complex mainly in the context of inflammation and regeneration making it difficult for pathologist to agree. Indeed, several studies demonstrated a significant inter- and intra-observer variability on dysplasia graduation even among experts. This is worrisome since surveillance intervals and management decisions are based on the histological assessment of dysplasia.[9, 95, 221]

With recent epidemiologic data showing that risk of cancer in BE patients is much lower than previously calculated and with the absence of randomized trials demonstrating a survival benefit, the cost-effectiveness of the current surveillance programs has been questioned.[77, 95, 230] Nevertheless and despite all these shortcomings, as pointed by Spechler and Souza, “to date, medical societies have taken the position that, in the absence of definitive data, it is better to error by performing unnecessary screening and surveillance than by forgoing the opportunity to identify curable esophageal neoplasms”. [140]

To overcome all these limitations, it is crucial in the near future to focus research on strategies to improve endoscopic surveillance and management of BE patients. The rationale is to develop

less invasive and more cost-effective screening tools as reliable biomarkers that could improve BE diagnosis and stratification. The ideal scenario would be to diagnose BE with no invasive methods and to be able to identify those that will progress stratifying BE population into low- and high-risk groups of malignant progression and defining surveillance intervals and therapy accordingly to cancer risk. As a result, the surveillance programs would be more cost-effective, being possible to (i) either exclude patients or to extend surveillance intervals for low-risk groups, and (ii) to intensify surveillance for high-risk cases or to anticipate treatment.[91, 231]

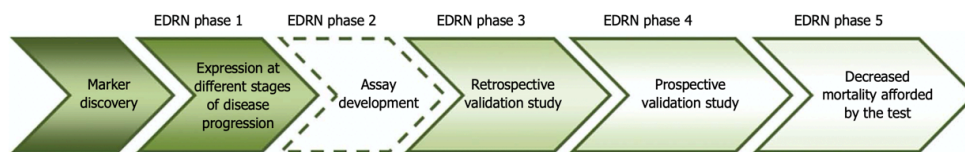
Intense clinical, endoscopic and fundamental research is actively ongoing to reach this goal. As examples, advanced endoscopic imaging systems allowing the endoscopist to distinguish areas of dysplasia/early EA in BE mucosa and new methods of collecting BE samples (Cytosponge) are being explored.[232, 233] In parallel, panels incorporating clinical, demographic and molecular parameters have been proposed to predict cancer progression in BE patients. Unfortunately, up to now, none of these strategies has been validated and reached the clinical setting.[9, 140, 234]

## **1.4 Biomarkers**

By definition, a biomarker is a natural occurring molecule, gene or characteristic, which can be accurately measured or calculated as an indication of physiological processes, pathological conditions or a response to therapeutic intervention. [235, 236] In that sense, they constitute biological variables that should detect a stage already established, predict a future stage or both, correlating with a biological outcome.[237] Biomarkers could be found in tissues, blood or body fluids and its quantitative measure should influence medical decisions by aiding, improving or even changing patient's management.[236, 238] Ultimately, a biomarker should be useful and constitute a benefit for the patient.[239] An ideal biomarker should be as sensitive and specific as possible for the state or episode it purports to identify, easily measurable, consistent or stable over time, reproducible, cost-effective and accurate, which means that it must provide a reliable indication of the burden of the disease. It should also be applicable to the clinical or primary care setting and if possible, its evaluation should involve minimally invasive procedures.[141, 237, 240]

The quest for a reliable biomarker is an arduous, demanding, and overly long process. Not only is it challenging in time, but also involves the organization of large-scale studies and therefore requires substantial scientific, clinical and financial resources.[221, 239] Cancer biomarkers research has been expanding, specially fuelled in the recent years by advances in technology that allowed to set a goal towards a new era of precise medicine in which prevention and treatment decisions would take in consideration individual variability. With this in mind, extensive molecular profiles from several types of cancer have been determined in order to deepen the understanding of oncogenic mechanisms and to find the driving factors in cancer formation and progression. High-throughput “omics” technologies have allowed to measure thousands of different proteins, DNA, RNA, cell metabolites, microbial and host cell products, delivering data

that can be used to discover viable biomarkers. Consequently, a vast array of new biomarker candidates has been described in the literature every year.[221, 241] Nevertheless, despite very promising at the research stage, very few reach the clinical setting. The reasons for this shortcoming include methodological flaws, such as suboptimal biomarker discovery and validation, and poor clinical performance. Even when biomarkers pass with success the validation phase, they must prove their potential and clinical utility and the great majority fail to improve patient care over current clinical standards revealing to be clinically useless. As a result, only a scarce number of cancer biomarkers have been effectively implemented in daily medical practice to this day.[242, 243] In order to narrow the gap between biomarkers discovery and approval for clinical use, a five-phase model was defined to guide biomarker development and validation (Fig.6). In phase 1, or exploratory phase, potential biomarkers are identified. Phase 2 involves the development of an assay in which the sensitivity and specificity of the biomarkers are evaluated in individuals with the disease in relation to the control subjects. Subsequently, biomarkers need to be submitted to a validation process through retrospective and prospective longitudinal studies. In the first, the capacity of the selected biomarkers to detect the disease before its clinical diagnosis is evaluated (phase 3). In the second it is investigated the effective number and characteristics of the cases identified by using the biomarkers (phase 4). Finally, phase 5 consists in developing a large randomized population trial to assess the impact of the biomarker's detection on the reduction of the population disease burden. [240, 244]



**Figure 6. Biomarkers development.** Phases of biomarkers development advocated by the Early Detection Research Network before clinical implementation. (Adapted from [236])

In the context of BE disease, it would be extremely valuable to develop biomarkers to inform clinical practice at multiple stages of the cancer pathway. Diagnostic biomarkers would be useful to detect the presence of BE in the general population, helping to diagnose cases without GERD symptoms.[236, 240] Biomarkers of BE progression will be extremely important to estimate the risk of cancer development and thus distinguish the patients with a higher risk of malignant progression from those who will remain with stable and non-dysplastic BE. This would transform the management of BE patients. Surveillance programs would be optimized and become cost-effective by the adjustment of endoscopic intervals to individual cancer risk: focusing surveillance on high-risk patients or even submit patients to early and preventive endoscopic therapeutic intervention, whereas low-risk patients could benefit from longer intervals between endoscopies or even be discharged from surveillance programs, not being subjected to unnecessary invasive procedures such as periodic endoscopies or endoscopic treatment.[146, 235] Biomarkers aiding the diagnosis of dysplasia and making the differential diagnosis between dysplastic and reactive and regenerative changes would also be of clinical

value.[141] For patients diagnosed at baseline with advanced EA, biomarkers to predict the response to neoadjuvant treatment or to guide the best therapeutic approach, including serving as biomarkers for molecular targeted therapies, could be extremely helpful. Finally, prognostic biomarkers can be useful as an indication of overall survival in EA patients.[236, 238, 240]

Despite the clinical need for all these different types of biomarkers, most research in the field has focused in finding biomarkers able to stratify the risk of progression among BE patients.[141, 245] Along with the known risk factors associated with BE pathogenesis and carcinogenesis, namely demographic, environmental and clinical factors, several molecular biomarkers have been under intensive investigation to evaluate its predictive power for malignant progression in BE patients.[84] It was envisioned that genetic and epigenetic alterations driving the BE progression to EA have the potential to be used as biomarkers able to distinguish in advance progressors from non-progressors.[240] In that sense, several types of molecular markers have been investigated: DNA content abnormalities (aneuploidy/tetraploidy), chromosomal instability (CIN), tumor suppressor anomalies either by mutations, LOH or promoter methylation, epigenetic changes, altered gene expression, proliferation and cell cycle abnormalities, among others.[3, 246] In 2000, one of such seminal studies in a longitudinal cohort showed that patients with baseline biopsies with tetraploid or aneuploid cell fractions have an increased risk of progression to cancer, compared to patients with diploid biopsies.[3, 247, 248] Several other studies have followed demonstrating combinations of different molecular markers to be associated with a higher risk of developing malignancy. For example, one study showed that inactivation through methylation of p16, RUNX3 and HPP1 occurs early in the BE neoplastic sequence and predicts the risk of malignant progression.[249] Another study using a risk-prediction model of 29 different somatic chromosomal alterations, representative of CIN, demonstrated a better performance in predicting EA than p53 mutations, histopathology or flow cytometry DNA content.[250] In fact, over the years, it became evident that panels with combination of different molecular markers, or even in addition with clinical factors would be more sensitive and specific for progression than using one biomarker alone or only assess cancer risk based on the presence of risk factors.[251, 252] Furthermore, evolution of the “omics” techniques have provided novel insights about the underlying molecular mechanisms involved in BE malignant progression and in parallel revealed new potential biomarkers such as clonal diversity and mutational load [141, 185] Importantly, the increased sensibility of these novel techniques opened the field to novel avenues as the search for serum, cytology and breath-based biomarkers.[146]

Nevertheless, despite the tremendous efforts in finding a reliable biomarker or a panel of biomarkers for BE, this goal has not yet been achieved.[141] In fact, to date, the diagnosis of dysplasia continues to be the gold standard to assess the risk of EA development. Currently, North American guidelines continue not to recommend the use of biomarkers in clinical decisions regarding BE management.[146, 253] In contrast, BSG guidelines argue that evaluation of nuclear p53 expression by immunohistochemistry (IHC) already reach the level of

evidence necessary to be used in clinical practice to aid the histological evaluation of dysplasia.[10] Given that p53 was one of the first and most extensively studied biomarkers, there is already a vast amount of studies demonstrating that abnormal p53 IHC is a good predictor of progression and improves dysplasia diagnosis reproducibility.[235, 254] The validation and implementation of biomarkers to the clinical setting has been hindered by the conjugation of several factors.

Low rates of progression among BE patients limits the number of progressors to a few individuals in the studied cohorts and reinforces the need for large prospective population studies in the process of biomarkers validation.[251] Other causes related with methodological flaws have also been reported including absence of good follow-up, poor reproducibility of results between studies and problems with the development of accurate assays. Also, most biomarkers lacked sufficient sensitivity and specificity when tested in larger population trials. Finally, analysis and evaluation of some biomarkers need specialized equipment and appropriate laboratory expertise.[141, 240, 246] One way to overcome part of these limitations would be to organize multicenter collaborations in order to achieve larger samples sizes. Furthermore, now that high-throughput technology reached the accuracy and sensitivity needed to study the complex BE cancerogenesis process, this is the prime time to look for novel potential biomarkers. A solution to accomplish this challenging goal would be to gather a multidisciplinary group from the basic to clinical science that would propose innovative ways of unlocking some of the remaining mysteries associated to the pathways underlying BE malignant progression and then translate these findings into useful tools to be used in the clinical setting.[141] The increasing awareness that not all BE patients have the same risk of progression and that the majority of BE patients will never develop cancer [245, 254], together with recent data suggesting that some BE patients may develop rapidly progressing cancer in which the “window of opportunity” for endoscopic treatment is short [141], makes the discovery of these molecular markers even more important now than ever before.[245] Unfortunately, a missed progressive case continues to have profound consequences because there are no efficient therapeutic options for patients with advanced disease. However, much success have been achieved by advancements in endoscopic therapies in which curable treatment, without the need of major surgery or chemotherapy, is offered to patients with early cancer.[252, 254] It is therefore imperative to develop risk stratification tools to turn BE surveillance more effective. Finding a marker able to stratify BE patients according to cancer risk would be the “holy grail” of biomarkers because it would allow focusing surveillance to those high-risk patients that most likely will require early therapeutic intervention.[245, 255]

## **1.5 The centrosome in health and cancer**

Looking for hallmarks in cancer could provide the unique opportunity to translate this knowledge into benefits to clinical practice, namely by developing tools that would help diagnosis, prognosis and guide cancer treatment. Considering that number and structure of centrosomes are tightly controlled in normal cells but are frequently found to be altered in

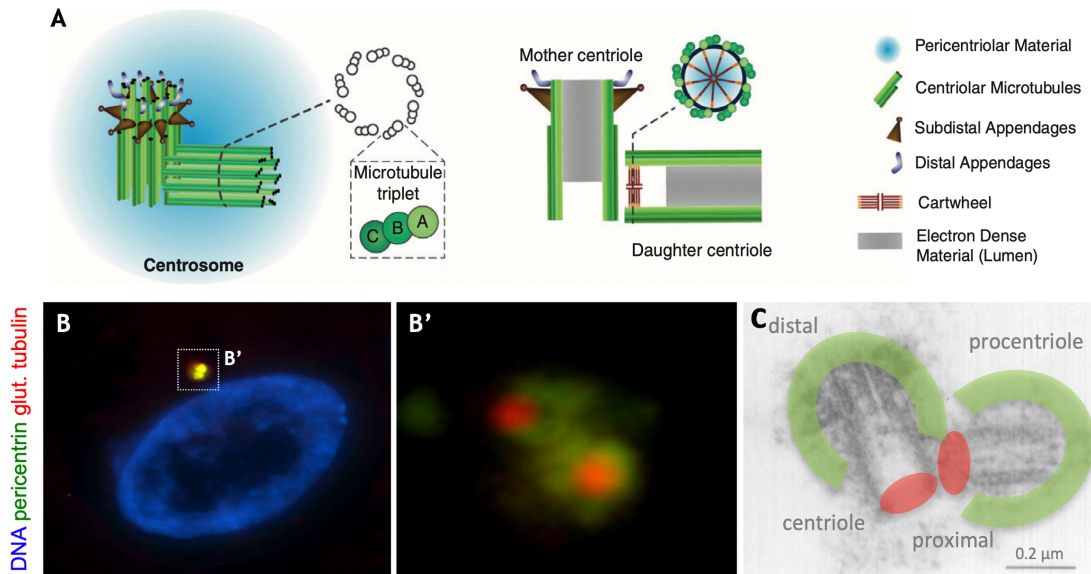
cancer cells, centrosomes abnormalities are then appealing features for the development of new strategies to apply in cancer medicine.

The centrosome is a small organelle with an important responsibility in cell homeostasis. It is a central player in cell organization and division [256], being increasingly acknowledged as the main center for microtubule organization, having also an important role in signal transduction paths and proteolytic activities[257]. The centrosome has therefore a preponderant role in several cellular processes known to be deregulated in cancer, namely cell division, cell differentiation, cell polarity, genomic composition and signaling pathways.[258-260] It is therefore conceivable that centrosome deregulation could contribute to cancer and in fact, centrosome amplification is currently recognized as a hallmark of cancer cells [261] and an attractive target for cancer therapies [262].

A growing body of evidence has been demonstrated that centrosome defects are pervasive in all major classes of human cancer and suggested they could be more than merely bystanders and play a role in tumorigenesis [263]. Furthermore, several molecular mechanisms linking centrosome alterations with cancer phenotypes have been established in animal and *in vitro* models bringing some understanding to the nature of this relation [264-266]. However, and despite the increasing knowledge in the field, the origin and impact of centrosome abnormalities in human cancer remain elusive and we are still far from getting the complete picture of this relationship [266]. One of the critical questions that remains unanswered is: are centrosome abnormalities simple passengers resulting from deregulation of other cellular processes in human cancer, or can they initiate cancer and promote tumorigenesis giving selective advantages to cancer cells? [267, 268] Further investigation will be crucial to give insight into the importance of centrosome abnormalities in cancer development and to exploit this knowledge to provide new tools to support cancer diagnosis, prognosis and therapeutics [263, 268].

### **1.5.1 The centrosome structure and function**

The centrosome is a small cytoplasmic organelle well known as the major microtubule-organizing center (MTOC) in animal cells. The centrosome is comprised by a pair of orthogonally oriented centrioles embedded in an organized matrix of proteins, designated as pericentriolar material (PCM) (Fig. 7) [269, 270]. Centrioles are small cylindrical structures, with approximately 500 nm in length and 250 nm in diameter (in human somatic culture cells). Each centriole is made of nine sets of microtubules (MTs) organized in a radially symmetrical manner and a proximal-distal polarity. Centriolar MTs are highly acetylated and glutamylated and such post-translational modifications are thought to contribute to centriole stability [271, 272]. Within a centrosome the two centrioles differ in that the older mother centriole has subdistal and distal appendages, whereas the daughter centriole does not (Fig. 7). The subdistal appendages provide the place for cytoplasmic microtubule (MT) anchoring at the centrosome and the distal appendages are necessary for cilia/flagella formation [271, 273].



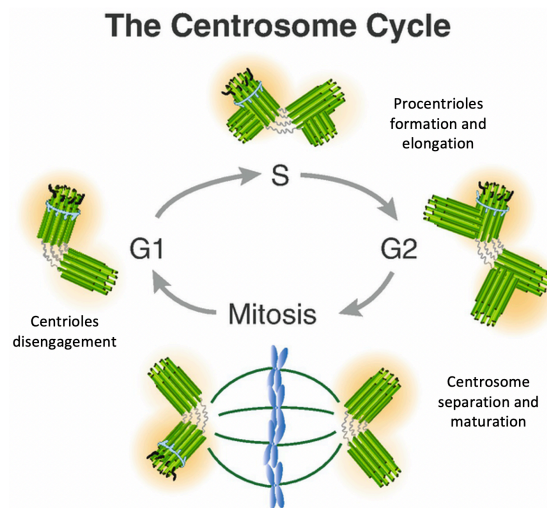
**Figure 7. The Centrosome.** **A)** Schematic representation of the centrosome showing the structural components of mother and daughter centrioles (retrieved from [274]). **B)** Esophageal squamous cell stained for PCM (pericentrin), centrioles (GT335–glutamylated tubulin) and DNA. **B')** Enlargement of centrosome shown in B. **C)** Electron micrograph of a longitudinal section through the centriole and pro-centriole overlaid with the approximate position of the PCM marker pericentrin (green) and the centriole marker GT335 (red). (A was retrieved from [274] and C was adapted [275]).

The PCM assembles around the centrioles and plays a role in cytoplasmic MT anchoring and nucleation [276]. The PCM size and composition changes throughout the cell cycle and in cell differentiation, with a rapidly turnover of some of the proteins through trafficking on microtubules [269, 277]. So, the PCM is a dynamic structure composed of a lattice of permanent and transient proteins that assemble around the centrioles in an ordered fashion [278]. Over 200 different proteins have been identified in PCM and while the function of some of these is still unknown, several have been found to play different roles including in MT nucleation, spindle organization and centrosome biogenesis [276, 277].

As a MTOC, the centrosome controls several interphase and mitotic MT related processes in the cell. In interphase, centrosome regulates the MT network required for intracellular traffic and positioning of several molecules and organelles; is involved in the stability of cell junctions and adhesions, contributing to the definition and maintenance of cell shape and cell polarity, important features for cell organization and for the development and maintenance of tissue architecture [278, 279] [258, 278]; and it also mediates cellular locomotion, and the organization of immune synapses [278]. Nevertheless, it is in mitosis that centrosome have its most notorious role ensuring the fidelity of cell division. During mitosis two centrosomes organize the MT array that forms the bipolar spindle, crucial for the accurate segregation of chromosomes to each daughter cell. They also determine the cell division plane, by controlling the positioning and orientation of the mitotic spindle in the cell through the interaction of the astral MTs with the cellular cortex. The centrosome also has several non-MT related roles being the most relevant its cell cycle regulatory activity. [278, 279]

### 1.5.2 Centrosome regulation

The number of centrosomes is tightly regulated in a healthy cycling cell. In fact, the centrosome duplication cycle is coordinated with cell cycle progression through parallel regulatory mechanisms, being strictly coupled with DNA replication. Like DNA replication, centriole duplication occurs in a semi-conservative manner, where “one and only one” new centriole forms orthogonally to an already existing centriole. Hence, at mitotic onset, the cell presents the correct number of two centrosomes (4 centrioles) that organize a bipolar spindle allowing the accurate segregation of chromosomes during cell division. Upon mitosis each daughter cell inherits the accurate complement of DNA ( $2n$ ) and one centrosome (2 centrioles).[269, 270, 273] Centrosome duplication has been extensively studied and has been divided in four steps: centriole disengagement, procentriole formation, procentriole elongation, and centrosome separation (Fig. 8).



**Figure 8. Schematic representation of the canonical centrosome cycle.** During mitosis there are two centrosomes, one at each pole of the mitotic spindle, both composed of mother and daughter centrioles. Centrioles disengagement occurs in late mitosis to early G1 phase and orthogonal configuration is lost. During this stage the daughter centriole acquires its own PCM becoming the new mother centriole able to duplicate. During phase S, the procentrioles form on each mother centriole and elongate. By late G2 the new daughter centrioles reach their full length and from G2 to mitosis the two centrosomes separate and migrate to opposite poles of the cell to form the mitotic spindle. (Adapted from [280])

Centriole disengagement occurs in late mitosis to early G1 phase, wherein the mother and daughter centriole within a centrosome disengage, losing their orthogonal configuration but remaining connected through their proximal ends by a proteinaceous linker. This process is mediated by separase and PLK1. Centriole disengagement is considered an important licensing factor for centriole biogenesis. [258, 271, 281] During G1, the daughter centriole gains its own PCM becoming able to duplicate. Towards the G1/S transition, procentriole formation begins. PLK4, the master regulator of centriole duplication is recruited to each parental centriole with the assistance of CEP63, CEP152 and CEP192 and together they are distributed in rings around the centriolar wall. At this stage PLK4 accumulates at one specific location from the side at the proximal end of the parental centrioles. PLK4 then binds to and phosphorylates STIL, which

facilitates its association with SAS-6 and triggers its recruitment. SAS-6 in conjunction with CEP135 is needed to form the cartwheel, the structure that will dictate the nine-fold symmetry of the procentriole and holding it engaged to the parental centriole.[279, 282] CPAP stabilizes the cartwheel and is crucial for the recruitment of cytoplasmic MTs that connect to each cartwheel spoke and then the procentriole starts to assemble and begins to grow orthogonally from the parental centrioles. During S and G2 the procentrioles elongate and by late G2, the procentrioles reach their full length. This process is controlled by the capping proteins CP110 and CEP97, which associate to the distal ends of the centrioles to stop further growth and thus determining the final length of the newly formed centrioles. [258, 264, 283] Research over the past years has revealed several other proteins playing important roles in these processes. From G2 to mitosis, the flexible link that maintained the two parental centrioles connected is disrupted and the two centrosomes separate and migrate to opposite poles of the cell to form a bipolar spindle [271]. During this transition, centrosomes undergo a process known as centrosome maturation characterized by the increase recruitment and accumulation of PCM components, and in which the kinases Aurora-A, PLK1 and CDK1 play an important role [284]. Several proteins were already identified as being involved in PCM recruitment, anchoring and organization. An historical example is the role of pericentrin, which is directly connected with the periphery of the centrioles, and is responsible for the recruitment and organization of other PCM proteins, such as, gamma-tubulin [285]. During mitosis the daughter centriole loses the cartwheel, which is targeted for degradation. By the end of mitosis, each daughter cell inherits exactly one centrosome with a pair of centrioles, and by the beginning of G1 the daughter centriole fully matures into a mother centriole by acquiring both distal and subdistal appendages. At this point cells can reenter a new cell cycle, or either enter in Go or become terminally differentiated. In these stages the mother centriole could be recruited for ciliogenesis or the centrosome may be inactivated and no longer function as the main MTOC of the cell. [284]

### **1.5.3 Centrosome deregulation**

The link between centrosome aberrations and cancer was postulated long ago and impressively, several decades before the identification of tumor suppressor genes and oncogenes. The first descriptions recognizing that aberrant mitotic figures are common in cancer cells date back to the end of 19th century and were made by two pathologists, Gino Galeotti and David von Hansemann resulting from the observation of histological tumor tissues [264]. But it was only in 1914, in a landmark publication, that the biologist Theodor Boveri proposed for the first time that centrosome amplification could cause cancer [286]. By observing that sea urchin embryos with multiple centrosomes undergo abnormal mitosis and generate highly aneuploid daughter cells, he conceived a theory where extra centrosomes would lead to multipolar spindles and incorrect chromosome segregation during mitosis, hence promoting aneuploidy and tumorigenesis. [258, 264, 287] Nevertheless, his postulate implicating centrosome aberrations in the etiology of cancer was left unnoticed for almost 100 years. It was only by the end of 20th century, with the increasing knowledge about centrosome biology and their key roles in cellular

homeostasis together with the observation that loss of the tumor suppressor p53 in mouse fibroblasts leads to centrosome amplification, that centrosomes returned to the focus of research associated with a variety of human diseases, including cancer.[264, 288, 289]

Several studies have already shown that centrosome aberrations are present in a broad spectrum of human malignancies [263]. These studies identified several types of alterations, including the presence of extra centrioles/centrosomes, longer and aberrant centriole structures, and changes in PCM composition, shape and size. However, the mechanistic insights linking centrosomes abnormalities with human tumors are still poorly understood. Decoding the underlying mechanisms originating the broad range of these centrosomal aberrations in cancer as well as their physiological consequences in tumor formation and progression has been challenging.[278, 290] Nevertheless, numerous studies in cultured cells and model organisms have begun to elucidate the underlying mechanisms regarding the origin and impact of centrosome abnormalities in cancer [272, 291].

### **1.5.3.1 Types of centrosome abnormalities**

Centrosome anomalies in cancer have been largely subdivided into two main categories: numerical and structural aberrations. Despite conceptually different, they often occur together in tumors [258, 277].

Numerical defects correspond to an abnormal centrosome copy number. While centrosome loss has not been documented in human tumors, the presence of extra centrioles, also known as centrosome amplification, has been widely described and is probably the best characterized centrosome abnormality phenotype in cancer cells. Structural aberrations comprehend anomalies on centriole structure and/or on the amount, composition, or even phosphorylation status of PCM components [264, 267, 270, 277]. Contrary to numerical defects, structural aberrations have been much less explored in human cancer, mainly due to technical limitations. An accurate evaluation of structural anomalies implies the use of electron microscopy and so far the vast majority of studies only used immunostaining techniques labeling centrosomes with one PCM marker, which gave only an indication of alterations in volume and shape of that particular PCM component [272, 292-297]. Moreover, using solely a single PCM marker is insufficient to distinguish from an increased amount of PCM or an increased number of centrosomes that could be localized close to each other reflecting instead a numerical aberration. Notwithstanding these technical restraints, currently, there are no doubts that centrosome abnormalities are a prominent feature in human neoplasias and are thus considered a hallmark of cancer [264, 287].

### **1.5.3.2 Centrosome abnormalities in human cancer**

A growing body of evidence has established that most malignancies display centrosome aberrations and these are currently acknowledged as a hallmark of cancer [287]. Centrosomes have been evaluated in a broad range of different types of human cancer: not only in tumors

from diverse organs (brain, head and neck, breast, lung, stomach, pancreas, liver, gallbladder, colon, prostate, uterus) but also in tumors derived from different cell types, such as epithelial, mesenchymal and blood cell lineages. This extensive analysis has demonstrated that centrosome aberrations, and particularly centrosome amplification, are a prevalent finding in nearly all solid and hematological malignancies surveyed [263, 272, 298].

Remarkably, centrosome abnormalities have been observed in the earliest pre-invasive stages of cancer progression supporting a role in cancer initiation. In a study characterizing centrosome changes along the adenoma-carcinoma sequence of colorectal carcinoma, namely in low-grade intraepithelial neoplasia (LGIN), high-grade intraepithelial neoplasia (HGIN) and invasive carcinoma, numerical and structural centrosome defects were detected as early as in LGIN of the cancer pathway [299]. In accordance, previous work had also demonstrated that intraepithelial neoplasias of prostate and the uterine cervix and female breast in situ carcinomas already present centrosome defects [300, 301]. Likewise, in organotypic cultures and animal models, centrosomes defects are an early event in the progression of malignant phenotypes.[266]

In addition, centrosome abnormalities have been shown to increase along the carcinogenic pathway, being more pronounced in late stage disease suggesting they may also be involved in cancer progression [257, 263]. In cervical cancer numerical centrosome aberrations positively correlate with progression from cervical intraepithelial neoplasia CIN I, CIN II, CIN III and, ultimately, invasive carcinoma [301]. Furthermore, other studies in invasive cancers have shown that the frequency of centrosome abnormalities increases with tumor stage (from stage I to IV), namely in head and neck squamous cell carcinoma, in ovarian cancer, and in biliary tract malignancies including gallbladder cancers, intrahepatic collangiocellular carcinoma and bile duct carcinomas [302-304]. In contrast, in non-small cell lung cancer and hepatocellular carcinoma there was no significant relation between centrosome aberrations and tumor stage [292, 293, 305]. Concerning the degree of differentiation, in the vast majority of human cancers, centrosome aberrations tended to be more pronounced in high-grade neoplasias, which are poorly differentiated tumors that normally have a worst prognostic than low-grade neoplasias, which are well differentiated and less aggressive tumors. This trend was shown in diversified types of cancers, including oral squamous cell carcinomas, gliomas, breast, ovarian, prostate and bladder neoplasias, among others [294, 303, 306-310]. Nevertheless, just as it was found for tumor stage, there are some cases where centrosome aberrations were not found to be associated with tumor grade, namely in breast and lung cancer [305, 311-313].

Centrosome defects have also been correlated with several other clinical criteria for aggressive disease and consequently poor prognosis, such as, lymph node and/or distant metastasis, early tumor recurrence and poor survival. For example, studies on breast cancer showed a highly significant correlation between centrosome aberrations and lymph node metastasis [311, 314]. Likewise, centrosome amplification in head and neck squamous cell carcinomas represent a

phenotypic marker of cancer aggressiveness, being frequently associated with tumor recurrence, and are significantly correlated with the presence of distant metastasis, poorer disease free survival and worse overall survival [304, 315]. In ovarian cancer, patients with a higher incidence of extra centrosomes have a significant poor survival outcome [316]. In giant cell tumor of bone, a benign tumor but with a potential aggressive outcome, centrosome amplification was significantly increased in recurrent and malignant tumors when compared to non-recurrent cases [317]. In gallbladder cancer, patients with centrosome amplification developed tumor recurrence whereas patients without extra centrosomes did not, and centrosome amplification proved to be an independent prognostic factor for tumor recurrence [306]. Notably, in squamous cell carcinoma of the larynx, centrosome amplification was not only a better predictor of tumor recurrence than tumor stage but it was also able to predict recurrence even in tumors without lymph node metastasis [318].

Similarly to solid tumors, several studies have demonstrated a correlation between centrosome aberrations and clinical aggressiveness in many hematological neoplasias such as myeloid malignancies, chronic lymphocytic leukemias and in several types of lymphomas. More aggressive types of lymphomas, such as mantle cell lymphoma, Burkitt's lymphoma and diffuse large B-cell lymphoma, display more centrosome abnormalities than more indolent types such as follicular and marginal B-cell lymphomas [263, 319]. Furthermore, regardless of lymphoma subtype, centrosome amplification positively correlates with the mitotic index, and particularly in follicular lymphomas the population of cells with supernumerary centrosomes significantly increases with tumor grading [320]. Notably, in a study on multiple myeloma where the authors generated a gene-expression-derived index strictly related to centrosome amplification, which they called centrosome index (CI), they found that CI is a powerful and independent prognostic factor meaning that a high CI discriminates the patients with poor prognosis irrespective of disease phase or treatment option [321].

Several molecular alterations have also been associated with centrosome aberrations depending on the type of cancer studied. In hepatocellular carcinoma the population of cells with centrosome aberrations tends to be significantly higher in tumors with p53 loss (a frequent genetic event associated with advanced stage disease and poorly differentiated tumors), than those with wild-type p53 [292]. In contrast, studies in non-small lung cancer showed that centrosome aberrations were significantly correlated with loss of pRb, p16 and cyclin E overexpression, but not with p53 mutation and expression [293, 305]. In ovarian and squamous head and neck carcinomas, centrosome anomalies were positively associated with overexpression of Aurora-A, a serine-threonine kinase that is crucial for regular centrosome function [316, 322]. On the other hand, in breast cancer, centrosome amplification significantly correlated with loss of expression of the tumor suppressor BRCA1, but not with Aurora-A or p53 expression [313]. In cervical cancer, high-risk HPV infection was suggested to be associated with the progressive numerical centrosome defects observed during cancer progression [301].

Numerous studies have also found a correlation between centrosome abnormalities and chromosomal instability (CIN) and aneuploidy, two recognized hallmarks of cancer, in several types of solid and hematological malignancies [278], including hepatocellular and urothelial carcinomas, osteosarcomas, chronic myeloid leukemia and non-Hodgkin's lymphomas [292, 297, 320, 323, 324]. For example, centrosome aberrations were found to co-occur with mitotic spindle abnormalities, CIN and aneuploidy in pre-invasive stages of cervix, prostate and breast cancers [300, 301]. Remarkably, lesions with centrosome defects lacking CIN were more common than lesions presenting CIN without centrosome aberrations, suggesting that, at least in these models, centrosome abnormalities precede CIN and may have a functional impact in the malignant progression of these pre-invasive lesions [300]. In invasive cancers, like breast and prostate cancer, centrosome defects showed a significant positive correlation with CIN, aneuploidy, and worst malignant features such as loss of tissue differentiation, metastasis and poor prognosis, suggesting their potential involvement in malignant progression as well [266, 294, 307, 309]. Furthermore, a study where numerical and structural centrosome defects were detected in tumor cell lines from Hodgkin lymphomas, colorectal, prostate and breast carcinomas, it was confirmed that these aberrations contributed to the formation of aberrant mitotic spindles and chromosome missegregation. In fact, these cell lines showed high variability in chromosome number and centrosome defects strongly correlated with CIN reinforcing their potential role in genetic instability in human cancer [295].

### **1.5.3.3 Causes of centrosome abnormalities**

Several pathways by which cells could acquire supernumerary centrosomes have already been described. One major mechanism generating extra centrosomes is centriole overduplication. This can be driven either by deregulation of the cell cycle, culminating in consecutive rounds of duplication during the same S-phase, or by deregulation of centrosome biogenesis by alterations on the levels, timing and localization of proteins involved in the centriole duplication process.[291, 325] For example, overexpression of key centriole biogenesis molecules such as PLK4, STIL or SAS6 promotes the formation of several procentrioles around each mother centriole in cultured cells [326]. Centriole overduplication can also be triggered by overexpression of PCM proteins, such as pericentrin [327], or even as a consequence of mutations in tumor suppressor genes or oncogenes [328]. For example, BRCA1 tumor suppressor loss of function leads to an increase of gamma-tubulin levels, promoting centrosome amplification [329]. Premature centriole disengagement as a result of mitotic delay could also result in supernumerary centrosomes, by licensing an anticipated procentriole formation.[330] Furthermore if premature centriole disengagement is followed by complete separation of the paired centrioles, and each one continues to be surrounded by PCM they could function as individual centrosomes since maintain capacity to recruit microtubules, which could result in multipolar spindle formation [331]. Despite *de novo* centriole assembly could be a normal occurring event in specific contexts[332], *de novo* assembly could also result from deregulation of centrosome biogenesis, wherein extra centrioles arise dispersed in the cytoplasm not

connected to the pre-existent centrioles during S-phase. For instance, abnormal increased levels of pericentrin could result in de novo centriole formation [287, 327].

Extra centrosomes could also accumulate due to polyploidization events, namely through cell fusion, mitotic slippage and cytokinesis failure, which generate tetraploid cells with the double of DNA content and number of centrosomes [264]. Cell fusion could be induced by virus [333]. The latter two mechanisms could result either from alterations affecting the molecules responsible for the regulation of mitotic progression or cytokinesis phase. It is known, for example, that malfunctions of spindle assembly checkpoint (SAC) allow cells to progress to a new G1 phase without mitosis or cytokinesis completion [278, 287]. These mechanisms of centrosome amplification, occurring in parallel with the doubling of the genome, could provide a benefit against detrimental mutations and errors on chromosome segregation on the cancerogenesis pathway and furthermore have the potential to create tetraploid cells with a genomic combination that provides a growth advantage. In line with a pro-tumorigenic role of tetraploid cells, an increasing amount of data has been providing evidence that an intermediate stage of tetraploidization is a common event in malignant pathways of several tumors, including in BE cancerogenesis [334], which normally precedes aneuploidy [277, 298].

Structural centrosome defects have been far less studied than numerical alterations. To date, the prevailing thinking is that they probably arise from gene expression alterations or altered posttranslational modifications that drive changes in the levels and or activity of centrosome proteins, affecting the structure of the centrioles and/or inducing abnormal PCM amounts [264, 277, 290]. In accordance, several studies have shown that CPAP controls centriole length [335] and its overexpression leads to overly long centrioles in different human cancer and non-cancer cell lines [335-337]. Importantly, it was demonstrated that centriole over-elongation could generate centriole amplification by ectopic procentriole assembly and centriole fragmentation with the potential detrimental effects previously described [337]. Moreover, studies in cell lines reported that overexpression of some PCM proteins (e.g. pericentrin, CEP135) also gives rise to structural abnormalities [298]. Excess PCM proteins could accumulate in the centrosome originating enlarged centrosomes or additionally could dissociate from the centrosome forming acentriolar bodies by a process called PCM fragmentation [290], which could have the capacity to nucleate microtubules and give rise to multipolar spindles during mitosis [331].

Determining if centrosome abnormalities result from intrinsic dysfunctions in centrosome biogenesis process, or if instead they arise secondary to deregulation of other cellular processes, has been challenging. Moreover, given that structural abnormalities could lead to numerical changes and that both numerical and structural centrosome aberrations can co-occur in most cancer types, it is difficult to determine which driving mechanisms are more prominent in cancer and what is the relevance of each one in the development of individual human tumors. It is possible that a particular mechanism may be exclusive of specific types of cancer but it is also conceivable that more than one mechanism could cooperate in a particular cancer pathway. For

example, in cervical cancer it was demonstrated that human papilloma virus (HPV)-16 oncoproteins E6 e E7 promote centrosome amplification by different mechanisms: through cytokinesis failure resulting in increased ploidy and centrosome number, and through abnormal centrosome duplication, respectively [338]. In the future, it will be important to develop new methods that would allow a better characterization of centrosome aberrations in human cancer and to disentangle the broad spectrum of these alterations among different neoplasias.

#### **1.5.3.4 Consequences of centrosome abnormalities**

Concerning the impact of centrosome amplification in tumorigenesis, a causal link between an increased number of centrosomes and the formation of aberrant multipolar mitotic spindles during cell division driving chromosomal instability (CIN) and aneuploidy, was proposed long ago by Theodor Boveri [270, 278]. As the centrosome plays an important role in the organization of a bipolar mitotic spindle that ensures the equal division of genomic material to the daughter cells, centrosome amplification could lead to aberrant mitotic spindles and chromosome missegregation, promoting CIN and aneuploidy, two recognized hallmarks of cancer [278, 298]. In accordance, several clinical studies in a broad range of solid and hematological tumors showed that centrosome aberrations have a positive correlation with multipolar mitoses, CIN and aneuploidy supporting its clinical relevance in human cancer.[263, 339] However, multipolar cell division is intrinsically inefficient, most frequently culminating in cell death, mitotic catastrophe or cellular senescence, which would lead to tumor growth impairment [278]. Indeed, live imaging of cancer cells has demonstrated that multipolar spindles mostly originate unviable highly aneuploid daughter cells, due to massive loss of genetic material, resulting in death of cell progeny [325, 340, 341]. So this constitutes an apparent paradox since multipolar cell divisions resulting from extra centrosomes can be detrimental for cell survival and act as tumor suppressors instead of promoting tumorigenesis.[278]. In the attempt to solve this mystery, several studies performed long-term live cell imaging and found that many cancer cell lines from different origins have developed survival mechanisms to cope with centrosome amplification during mitosis, either by inactivation of their supernumerary centrosomes through detachment from the spindle structure, and/or by clustering them into two dominant spindle poles forming a pseudo-bipolar spindle array that originates two viable daughter cells [270, 342-345]. Nevertheless, before the centrosome clustering process is complete, these cancer cells pass through a transient multipolar spindle in which the occurrence of incorrect merotelic attachments and lagging chromosomes drives low levels of chromosome missegregation and resulting in progeny with low levels of aneuploidy that is compatible with cell survival [267, 277, 340, 341]. So, these studies provide a mechanistic link by which centrosome amplification could promote CIN and aneuploidy in cancer, and a possible explanation for the strong correlation between them in human tumors [270, 291]. Furthermore, structural abnormalities could also have profound impact on fidelity of chromosome segregation, by also promoting CIN and aneuploidy [265]. Some alterations such as premature centriole disengagement or PCM fragmentation, could give rise to extra MTOC, despite resulting mostly in structurally compromised centrosomes, causing

loss of spindle pole integrity and generating multipolar spindles. In fact, some studies already demonstrated that depletion of ninein as well as other centriolar satellite proteins drives PCM fragmentation resulting in multipolar spindle formations [331]. Additionally, it was shown that overly long centrioles nucleate more PCM and consequently have an increased MT nucleation capability, promoting errors in chromosome segregation and consequently enhancing CIN [337]. Importantly, a recent study addressing the fundamental question of centrosome amplification being sufficient to drive tumorigenesis, by using PLK4 overexpression to generate prevalent supernumerary centrosomes in mice, was able to demonstrate that continuous increased centrosome numbers are sufficient to initiate spontaneous tumors in several tissues, establishing a causal link between them [346].

Extra centrosomes could also play a role in tumorigenesis by interfering with asymmetric division of stem cells. Studies in *Drosophila* have shown that transplantation of neuroblasts (neural stem cells) with supernumerary centrosomes into the abdomen of adult flies generated highly proliferative and lethal tumors. Intriguingly, these tumors were only slightly aneuploid, suggesting a different mechanism may be driving the development of this aggressive phenotype. Amplified centrosomes in neuroblasts generate abnormal spindle orientation, resulting in an increase of symmetric over asymmetric cell division and consequently in an expansion of the neuroblast population which could promote overproliferation and a tumor initiation event. Hypothetically, this mechanism could also be present in human tumors, particularly in those cancers derived from stem cells that undergo asymmetric cell division. [264, 277] However, it is important to note that supernumerary centrosomes in developing mouse brains do not induce spindle alignment defects during division of neuronal stem cells. In contrast, these cells, through inefficient centrosome clustering, originate highly aneuploid progeny that undergo apoptosis leading to tissue degeneration and culminating in microcephaly.[347] These findings suggest that the consequences of centrosome amplification in the context of asymmetric cell division seem to vary depending on cell type and host organism.[270]

As the centrosome plays a crucial role on the organization and maintenance of MT network in interphase cells, centrosome abnormalities could also promote changes in cell shape, adhesion, polarity, and motility with impact on tissues architecture.[291] So, potentially these structural defects could influence cancer cell properties, namely, enhancing their propensity to invade and metastasize.[290, 291] In fact, supernumerary centrosomes in interphase cells normally cluster and recruit more PCM, thus increasing their MT nucleation activity. [264] Through increased MT nucleation, extra centrosomes can affect focal adhesion between cancer cells and led to the formation of protrusions, promoting cell migration and invasion of the surrounding extracellular matrix in 3D culture models of a non-tumorigenic breast cell line. [348] Consonantly, recent studies also using 3D spheroid cultures of a normal mammary epithelial cell line have shown that overexpressing ninein-like protein, to the levels found in human tumors, gave rise to the formation of aggregates, which they called centrosome related bodies (CRBs), that cause reorganization of the MT cytoskeleton, disrupting cell polarity, cell-cell

adhesion and epithelial architecture and by an increased response to growth factors, they also boost overproliferation [349]. In consequence, those epithelial cells acquire an invasive phenotype, namely through three different mechanisms: invadopodia formation, non-cell-autonomous budding of mitotic cells and basal extrusion.[265, 350] Indeed, another study using 3D breast organoids but also a zebrafish model demonstrated that supernumerary centrosomes trigger a secretory response of pro-invasive factors that leads to the induction of an invasive phenotype by a non-cell autonomous mechanism, namely through a paracrine effect on surrounding cancer cells with no amplified centrosomes [351]. So, centrosome abnormalities could be crucial in human tumors, not only in the promotion of CIN and aneuploidy but also in actively contributing to tumor invasion and metastatic spreading [258, 265].

An important but much less investigated matter is the association of ciliogenesis defects and cancer. Since centrioles are also required for cilia formation, alterations in centriole numbers may affect ciliary signaling pathways [290] which were already found deregulated in tumors. In accordance, ciliogenesis is disrupted in different cancers, as breast [352], pancreatic [353] and renal cell carcinomas [354]. Notably, ciliogenesis defects have been associated with inhibition or enhancement of tumor growth depending on the perturbed signaling pathway.[355, 356] Nevertheless, this relation remains elusive and future research on this area will be important to clarify how ciliogenesis deregulation could contribute to cancer [357].

Despite the tempting perspective that accurate characterization of centrosome abnormalities in human cancer has potential to impact diagnosis, prognosis and cancer treatment, further work is still needed before the exciting data obtained in model systems can be extrapolated to the clinical setting.[265] Evidences so far are very promising, and considering that centrosome amplification is an appealing feature for targeted therapies, several drugs are being developed and tested. For example, PLK4 inhibitors were developed considering their crucial role in centriole duplication and the promising results obtained with these inhibitors in different tumors cell lines and patient-derived xenograft models has already resulted in one of them (CFI-400945) entering in phase I and II clinical trials (reviewed in [358]). Also, since it was already shown that inhibition of centrosome clustering selectively promotes cells death in cancer cells having supernumerary centrosomes [343, 359], inhibitors against proteins involved in this process, such as HSET are being developed [360]. Nevertheless, the success of using these drugs alone or as combined therapies depends how patients respond to these treatments and if they are able to increase overall survival. So, in the near future it is crucial to understand if centrosome anomalies are truly prevalent and relevant for human cancer. Definite proof of the underlying mechanisms of origin and impact of centrosome abnormalities in human tumors needs to be further investigated. Studying centrosome abnormalities along the cancer pathways and combine model systems with patient samples will probably increase the odds of success of accomplishing this demanding task.

## **1.6 Framework of the thesis: research problem, aims, objectives and approaches**

The major concern in Barrett's esophagus disease relies on the fact that is the precursor lesion of EA.[141] Actually, BE patients have an increased and persistent risk of developing this neoplasia over time.[361] Despite the low rate of BE neoplastic progression the risk is not neglectable and, importantly, the incidence of both disorders has been climbing in parallel. [91, 237] Furthermore, EA is a cancer with high morbidity and mortality unless diagnosed at early stages.[9, 91] These evidences constitute the rationale for gastrointestinal (GI) societies worldwide recommending endoscopic screening and surveillance for BE patients with the goal to detect an aggressive and lethal tumor at a curable stage and therefore improve EA survival rates.[253, 254] Up to now, pathological assessment of dysplasia is the basilar stone for clinical decision making, regarding BE management. Evaluation of p53 through immunohistochemistry was proposed by BSG to aid the diagnosis of dysplasia but the poor reproducibility of this technique, associated with methodological flaws and inter-observer variation, has been a major hurdle against its widespread clinical use and in fact the other GI societies do not recommend the use of any biomarkers for evaluation of cancer risk besides dysplasia.[9, 10, 34, 35]

Nevertheless, the success of this practice has been hampered by several limitations: a significant proportion of BE patients remain undiscovered due to lack of reflux symptoms, and therefore they are not under surveillance[140]; most of EA cases do not have a previous diagnosis of BE[103]; endoscopic surveillance with biopsies is costly, time-consuming and too invasive for being applied to the overall population [91, 222]; there are poor adherence to guidelines regarding surveillance intervals, use of the Seattle protocol to collect biopsies and a confirmatory opinion for dysplasia diagnosis by a second pathologist [224]; the endoscopic recognition of dysplasia can be very difficult and easily missed despite careful evaluation, which leads to sampling error [224]; the grading of dysplasia is challenging, subjective, and not reproducible [221]. Above all, current clinical strategies cannot anticipate cancer development. Until now, none of the existing clinical and histological criteria allow to stratify BE patients according to cancer risk, this is, to discriminate the ones that will remain with stable BE from those with a higher risk of malignant progression [362]. Consequently, all BE patients have to be submitted to periodic invasive procedures despite the great majority will never progress to cancer.[160] Considering the low progression rates of malignant progression, surveillance implies a labor- intensive practice and is not cost-effective for most of BE patients.[363]

All in all, despite all the efforts made thus far, conventional surveillance strategies are increasingly recognized as being unsuccessful, not only because EA incidence rates still continue to increase but also because they have failed to reduce mortality from this malignancy.[228, 253] By shedding light into the fragilities of current practice, this scenario provided several opportunities for improvement, highlighting the urgent need for the development of better strategies to improve BE screening, surveillance and management.[251] Indeed, despite all the

progress made in the understanding of BE disease, the pathways underlying BE malignant progression remain ill-defined and, until now, none of this knowledge has been translated in tools to be used in the clinical setting. Thus, it is imperative to find more targeted strategies, namely, to identify predictors of disease behavior that could aid patient management.[91] Moreover, it is crucial to find biomarkers able to trace a risk profile of BE patients so that surveillance intervals and therapy could be defined according to cancer risk. These clinical tools would be of great value since the efficient prediction of cancer progression would allow improvement of the cost-effectiveness of surveillance programs by focusing surveillance on high-risk patients, but even more important by the improvement of patient care. So, while in high-risk cases the intensification of surveillance would be advised or eventually prophylactic treatment could be pondered to prevent malignant progression, in low-risk cases the intervals between endoscopies could be extended or patients could even be excluded from surveillance.[231, 364] The enduring hope is that molecular markers could be integrated in the clinical setting and the joint use of these markers with clinical, endoscopic and histologic factors would allow a transition from a curative to a preventive cancer model where a risk profile for each BE patient could be traced, founding the base for subsequent clinical decisions and allowing to intervene at the BE stage, this is, before the appearance of dysplasia.

The present work was designed to tackle this important clinical oncologic problem and so the global aim of this thesis was to better understand the pathways underlying BE malignant progression and thereby identify reliable biomarkers relevant for the diagnosis, prognosis and management of BE patients, thus ultimately contributing to an improved understanding of BE biology and an optimized support for clinical decisions.

To ensure the success of this project and being part of a multidisciplinary team with expertise in molecular genetics, cell biology, computational biology, and patient-oriented translational research, we took a multifaceted approach to accomplish our aim using both (i) an unbiased approach, exploring transcriptome datasets from clinical samples to define a gene set associated with cancer development and, thus, identify early molecular biomarkers predictive of BE progression to malignancy, and (ii) an hypothesis-driven approach, exploring when and how centrosome abnormalities arise in BE, from the early premalignant stages to metastatic disease.

Through the unbiased approach we aimed to answer the following questions:

Objective 1 – Is there a gene expression profile associated with BE malignant transformation?

Objective 2 – Are there molecular biomarkers of BE able to predict progression to malignancy?

Objective 3 – Could these molecular biomarkers of BE to be evaluated by techniques readily available in all pathology laboratories?

Objective 4 – What is the functional context of the candidate markers in BE malignant progression?

This approach was developed based on the premise that multiple molecular abnormalities, including genetic, epigenetic and proteomic changes, are drivers of BE cancer progression, operating together to influence the process of cancerigenesis along the BE malignant pathway.[236] Since BE evolves to EA through a sequence of metaplasia, dysplasia (low/high grade) and finally invasive carcinoma, that is characterized by progressive accumulation of genetic changes related to processes of clonal evolution, it is envisioned that these molecular changes could be used as markers to predict cancer progression.[3, 362] Furthermore, it was recently demonstrated that even BE without dysplasia already presents several genetic abnormalities, which could be involved in the initial steps of cancer progression.[213] Since these changes occur before the appearance of histologic features of dysplasia, this raises an important possibility of using these events as potential and valuable biomarkers to identify BE patients with higher risk of progression.[363] The implementation of markers uncovered by previous studies has been hampered by diverse limitations: their assessment involves technical expertise and the use of complex and expensive technology that is not broadly available in the clinical setting; most of them also require the collection of fresh material that is not a standard practice outside of research centers; and the use of biomarkers panels, despite its advantages, is even more expensive to be used in daily practice. The reliability of these markers has been questioned by several drawbacks and convincing evidence that its use is beneficial in relation to standard of care in order to change this clinical practice is still lacking. Given the low rates of cancer development the big challenge will be to distinguish the molecular events that are drivers of cancer progression from the ones involved in BE pathogenesis or from the process of injury and regeneration triggered by GERD and consequently are present even in those BE patients that have not progressed to cancer.[213] Under this context, it is difficult to find reliable biomarkers of cancer prediction and this has been a real challenge for BE researchers.

With all these limitations in mind we devised a strategy combining a bioinformatics analysis pipeline for biomarkers discovery and a validation set of FFPE samples from BE patients to verify and validate the results of the candidate genes. Bioinformatics constitute a versatile approach to overcome the problem of small sample sizes because allows to maximize the discovery of novel predictive biomarkers of progression by using and combining publicly available data into larger meta-cohorts reaching to more meaningful results. It also provides the possibility to compare accurately and efficiently the exponential amounts of biological data obtained in each study, otherwise very hard, or even impossible, to analyze by manual means. So, we used an innovative bioinformatics framework applied to 3 publicly available microarray datasets on BE transcriptomes (objectives 1 and 2). Considering that we aimed to develop inexpensive and practical biomarkers in order to be suited for clinical implementation, we envisioned that the ideal scenario would be to find biomarkers able to be evaluated by a method already available in all pathology labs (objective 3).

The final phase of this part of the project consisted in understanding the functional context our two candidate biomarkers in BE carcinogenesis (objective 4).

Following a hypothesis-driven approach we wanted to know:

Objective 5 - Are there centrosome/centriole number abnormalities along the BE-dysplasia-adenocarcinoma sequence?

Objective 6 – When do arise these centrosome/centriole abnormalities along the BE-dysplasia-adenocarcinoma sequence?

Objective 7 – How do the centrosome abnormalities observed correlate with the characterized genetic lesions and ploidy changes occurring in BE malignant progression?

The rationale beyond this approach was based on the fact that centrosome defects, in particular supernumerary centrosomes are widespread in human tumors and are therefore recognized as a hallmark of cancer.[263, 270] Studies have already demonstrated that centrosome anomalies can occur as early as pre-invasive stages of tumor development [299, 300], favoring the possibility that centrosome dysfunction could have a role in the initiation of the cancerigenesis process rather than being a byproduct of oncogenic deregulation. [264, 278] Furthermore, in a broad range of different cancer types, the presence of extra centrosomes correlated with advanced stage disease and clinical aggressiveness features such as tumor recurrence, metastasis and resistance to therapy. [263, 264, 272] These findings highlight the possibility of using it together with other clinical parameters as a prognostic factor or as a potential advanced disease biomarker meaning that could be useful to predict clinical outcome and survival in oncological disease. [263, 270] The that extra centrosomes are a specific phenotype of cancer cells that is prevalent in human cancer, makes them appealing targets in cancer therapy.[269] However, despite the exciting prospects of using centrosome abnormalities as a valid tool for clinical assistance, they have not reached the clinical setting. For that, first it is vital to understand the overall picture concerning the relation of centrosomes with cancer and focus research on fundamental questions that remain intangible. Indeed, the timing, mechanisms and contribution of centrosome dysfunction in human tumors must be clarified. [264] Moreover, it is not known how the centrosome amplification incidence varies along cancer progression. These caveats could be partly explained by the complexity that it is to study human cancer considering that there is a plethora of different cancer types, with distinct cellular origins, affected by different micro and macro-environmental factors, and so it is conceivable that incidence of centrosome defects and its causes and consequences could be cancer specific and context dependent.[289] Also several methodological issues have been restraining data interpretation and generalization of the results. Most studies in which centrosome profile was assessed in human neoplasias did not do a single-cell analysis trough tumorigenesis and only use score PCM components, which may not contain centrioles, and thus not constitute bona-fide centrosomes.[263]

Taking into consideration all these evidences and being BE carcinogenesis characterized by deregulation in cellular processes partly controlled by the centrosome, including polarity and cell division, we decided to explore these features anticipating that centrosome number defects could also be present along BE malignant pathway. Although several studies have described centrosome dysfunction in association with cancer initiation and progression, its contribution to BE tumorigenesis remains unknown. Ultimately, he envisioned that the findings of this study could be extended to other tumor models and would help to decipher the role of centrosome amplification in human cancer. In fact, BE tumorigenesis constitutes an excellent human cancer model to study centrosome abnormalities as: (i) it has a clinically well-established, and genetically well-defined, multistep pathway of progression, (ii) it allows the sampling of all stages of disease within the same patient, (iii) its malignant transformation is accompanied by a progressive accumulation of well-characterized genetic lesions that are observed in many other solid tumors [63, 142], and (iv) it is the only cancer model that has representative cell lines from all the steps of progression, that contain the genomic alterations found *in vivo*, and that can be manipulated to further test mechanistic hypothesis. Furthermore, considering that the first stage of BE malignant pathway is the pre-malignant condition, it is possible to study the centrosome profile in the stage preceding noninvasive precursor lesions, before the onset of the neoplastic transformation, which is fundamental to elucidate and provide evidence about the potential involvement of centrosome abnormalities in the beginning of the tumorigenic process in BE cancerigenesis, and extrapolate to other human cancers. Regardless of the fact that only a small percentage of patients with BE will progress to cancer, implicating that samples from all stages of the pathway are rare, and cohorts with these characteristics are always small without cooperation of other international centers to gather more samples, the presence of different stages of disease in neoplasia resections allows the unique study of its sequential pathway of progression in each individual patient, and thus overcoming in part the need to have a large sample size normally imposed to reduce the effects of inter-patient variability.

So, considering our goals and in order to overcome the limitations pointed to previous studies, we established a method to identify and score bona fide centrosomes on a cell-by-cell basis in paraffin-embedded patient tissue samples by immunofluorescence microscopy. To harness the advantages of this model of human cancerigenesis, we selected three cohorts of patients that allowed us to examine all stages of BE malignant progression, this is, along metaplasia-dysplasia-adenocarcinoma-metastasis sequence (objectives 5 and 6). We also validated a panel of cell lines that represent all these stages of disease as a model to test the origin of centriole amplification and to understand if there is a mechanistic link between centrosome amplification dynamics and the well-known genetic and ploidy alterations along BE tumorigenesis (objective 7). By investigating centrosome abnormalities in BE tumorigenesis we aimed to improved our understanding of BE biology and that this knowledge could be used as a tool to improve its diagnosis, prognosis and treatment in the future.

## **CHAPTER 2:**

# **CYR61 and TAZ Upregulation and Focal Epithelial to Mesenchymal Transition May Be Early Predictors of Barrett's Esophagus Malignant Progression**



RESEARCH ARTICLE

# CYR61 and TAZ Upregulation and Focal Epithelial to Mesenchymal Transition May Be Early Predictors of Barrett's Esophagus Malignant Progression

Joana Cardoso<sup>1,2\*</sup>, Marta Mesquita<sup>3,4</sup>, António Dias Pereira<sup>4,5</sup>, Mónica Bettencourt-Dias<sup>1</sup>, Paula Chaves<sup>3,4</sup>, José B. Pereira-Leal<sup>1,2</sup>

1 Instituto Gulbenkian de Ciência, Oeiras, Portugal, 2 Ophiomics—Precision Medicine, Lisboa, Portugal, 3 Serviço de Anatomia Patológica, Instituto Português de Oncologia de Lisboa Francisco Gentil, E.P.E., Lisboa, Portugal, 4 Faculdade de Ciências da Saúde—Universidade da Beira Interior, Covilhã, Portugal, 5 Serviço de Gastrenterologia, Instituto Português de Oncologia de Lisboa Francisco Gentil, E.P.E., Lisboa, Portugal

\* [jvaz@ophiomics.com](mailto:jvaz@ophiomics.com)



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## Abstract

Barrett's esophagus is the major risk factor for esophageal adenocarcinoma. It has a low but non-neglectable risk, high surveillance costs and no reliable risk stratification markers. We sought to identify early biomarkers, predictive of Barrett's malignant progression, using a meta-analysis approach on gene expression data. This *in silico* strategy was followed by experimental validation in a cohort of patients with extended follow up from the Instituto Português de Oncologia de Lisboa de Francisco Gentil EPE (Portugal). Bioinformatics and systems biology approaches singled out two candidate predictive markers for Barrett's progression, *CYR61* and *TAZ*. Although previously implicated in other malignancies and in epithelial-to-mesenchymal transition phenotypes, our experimental validation shows for the first time that *CYR61* and *TAZ* have the potential to be predictive biomarkers for cancer progression. Experimental validation by reverse transcriptase quantitative PCR and immunohistochemistry confirmed the up-regulation of both genes in Barrett's samples associated with high-grade dysplasia/adenocarcinoma. In our cohort *CYR61* and *TAZ* up-regulation ranged from one to ten years prior to progression to adenocarcinoma in Barrett's esophagus index samples. Finally, we found that *CYR61* and *TAZ* over-expression is correlated with early focal signs of epithelial to mesenchymal transition. Our results highlight both *CYR61* and *TAZ* genes as potential predictive biomarkers for stratification of the risk for development of adenocarcinoma and suggest a potential mechanistic route for Barrett's esophagus neoplastic progression.

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## Introduction

Barrett's esophagus (BE) is a premalignant metaplastic condition originated by the replacement of the normal squamous epithelium (NE) of the esophagus with a specialized columnar epithelial type that displays mixed gastric and intestinal characteristics [1]. BE is the major risk factor for the development of esophageal adenocarcinoma (EA) [2] and may progress to EA, through a low-grade to high-grade dysplasia (HGD) sequence. EA is the cancer with the fastest rising incidence in high-income countries [3] and has poor prognosis, with a high-related mortality and morbidity. Based on an estimated annual cancer risk of 0.5%, international guidelines universally recommend periodic endoscopic surveillance with a systematized biopsy protocol [4]. However, data reviewed on recent international guidelines estimates that BE risk of progression is very low (0.12%-0.33% patients/year [5, 6]). This fueled a running controversy on the costs/benefits of routine surveillance [7]. Apart from this debate, biopsy-based identification and grading of dysplasia in BE specimens is still the gold standard method to identify BE patients at risk of neoplastic progression [4], despite all the problems associated with such practice: costly, invasive, subjective dysplasia grading, biopsy sampling errors, unnecessary biopsying of low risk BE patients. Thus, a major current need in BE clinical management is of better methods and predictive biomarkers to stratify patients with an increased risk of disease progression [8], ideally early and/or biopsy-independent.

Recent high-throughput molecular studies have been instrumental for the enhanced understanding of many molecular events driving the BE "metaplasia-dysplasia-carcinoma" sequence [9, 10]. Despite all the resulting knowledge prompting the evaluation of >200 novel candidate biomarkers as predictors of progression (reviewed in [11]), none has yet reached routine clinical practice [12]. Molecular biomarkers of BE that predict progression to malignancy are still needed because their usage, alone or in combination with other biomarkers can facilitate more cost-effective surveillance. However due to the low progression rate of non-dysplastic BE few patients are available per discovery study. High-throughput molecular studies using robust sample sizes are scarce and thus published biomarker studies typically include very small patient cohorts. To maximize the discovery of new progression biomarkers, publicly available data needs to be used and combined into larger meta-cohorts. In particular the mining and re-analysis of existent gene expression data can be of great value, even if merging of distinct datasets may produce noisy predictions because such predictions can then be validated in patient cohorts.

In the present study, we set to define early molecular biomarkers predictive of BE progression to malignancy, through the usage of an innovative bioinformatics framework applied to publicly available global transcriptome data associated with BE to EA progression. *In-silico* generated prediction were validated in a cohort of patients under surveillance for more than ten years. We shown that *CYR61* and *TAZ* are up-regulated in BE index biopsies (negative for dysplasia) from patients that progress to cancer (P-BE), years before the development of EA as compared to index biopsies from BE patients that did not progress (non P-BE). To our knowledge, this is the first study to show that molecular changes associated with features of the epithelial to mesenchymal transition (EMT) invasive phenotype, usually detectable in late EA progression, can occur remarkably early in at risk BE mucosa. These changes are observable also at the protein level and show promise of clinical utility.

## Materials and Methods

### Public data collection, pre-processing and graphical display

We mined Gene Expression Omnibus (GEO) repository (<http://www.ncbi.nlm.nih.gov/geo>) [13, 14] or directly asked the authors for public microarray datasets on BE transcriptomes

according to the criteria: 1) existence of clinical information on EA presence/absence at BE sample collection and 2) microarray experiments performed in the Affymetrix® Human Genome U133A microarray platform (HGU133a). Three datasets on HGU133a were retrieved: Kimchi *et al.* [15], Stairs *et al.* [16] and Watts *et al.* [17]. Kimchi *et al.* [15] study contained 8 BE samples adjacent to EA and thus these were classified as progressed BE (P-BE) plus 8 paired EA samples. Both Stairs *et al.* [16] and Watts *et al.* [17] series contained BE samples ( $n = 7$  and  $n = 18$ , respectively) that were negative for dysplasia/EA at the time of collection and thus were classified as non-progressed (nonP-BE). In addition, the Watts *et al.* [17] dataset also contained EA samples but from distinct individuals of the nonP-BE samples.

Data analysis was performed with R Statistical Computing software [14] complemented with Bioconductor [18] packages. Heatmaps and Venn-diagrams were plotted using *gplots* (<http://CRAN.R-project.org/package=gplots>) and *VennDiagram* (<http://CRAN.R-project.org/package=VennDiagram>) packages, respectively. *Affy* [19] and *frma* [20] packages were respectively used for raw data uploading and pre-processing and for frozen robust multi-array (fRMA) normalization. The R script used is available upon request.

### Differential expression analysis

We have used a Bayesian differential expression analysis (DEA) approach implemented in the R package *limma* [21] to define differentially expressed genes. Threshold for selection of differentially expressed probe sets was set to a B-statistic parameter *Lods* (already adjusted for multiple testing)  $\geq 5$  and a  $\log_2$  ratio  $\geq +0.58$  or  $\leq -0.58$ . The very conservative *Lods* $>5$  was based on DEA results between EA samples from Kimchi *et al.* [15] and Watts *et al.* [17] datasets, where no significant DE probe sets are expected, to control for inter-dataset variability noise.

### Barcode analysis

Probe set barcode values were calculated with the *frma* [20] and *frma*-associated *hgu133abarcodevec*s package, using the method described by McCall *et al.* [22, 23] (<http://rafalab.jhsph.edu/barcode/>). A probe set was defined as expressed (= 1) or non-expressed (= 0) in a given sample according to fRMA cutoffs. BE barcodes were filtered per dataset using very stringent criteria. A probe set was integrated in the dataset barcode if expressed in 100% or  $\geq 75\%$  in P-BE or nonP-BE samples, respectively. Group-specific barcodes were calculated by intersecting probe set IDs expressed in each dataset. EA-specific dataset barcodes were estimated as nonP-BE i.e. probe sets were expressed in  $\geq 75\%$  samples to be integrated in the EA barcode.

### Gene set enrichment analysis

To find over-represented gene ontology biological processes (GO-BP) among specific sets of genes we used the gene set enrichment analysis (GSEA) tool from InnateDB (<http://www.innatedb.ca/>) using Entrez ID as gene identifier.

### GeneMANIA network analysis

The guilt-by-association GeneMANIA Cytoscape plugin algorithm [24] (<http://genemania.org/>) was used to identify genes functionally-related to our query genes, with gene symbols as identifiers.

### Samples and clinical data

For validation we used 19 formalin fixed paraffin-embedded (FFPE) BE samples from P-BE and nonP-BE (clinical data in [S1 Table](#)) of a cohort of 331 non-dysplastic Barrett's esophagus

enrolled in an endoscopic surveillance program (mean surveillance of 6.2 years ranging from 1 to 25) at the Instituto Português de Oncologia de Lisboa Francisco Gentil (IPOLFG), with an observed incidence of high-grade dysplasia or adenocarcinoma of 3,4/1000 patient-years during about the 30 years of existence of the surveillance program. All cases, at diagnosis, were analysed as per normal routine by two experienced GI pathologists. Patients select for this study were part of a cohort of patients diagnosed with Barrett's Esophagus under surveillance at the IPO. This included a group of nine patients that progressed to high grade dysplasia or adenocarcinoma during surveillance (Progressed, P-BE), being the diagnostic confirmed by two independent pathologists, as standard practice and international recommendations. It included another group, as control, of 10 patients that did not display any dysplasia or carcinoma at any time during surveillance (termed non-Progressed, nonP-BE). In our cohort, progressor patients were defined as those with no dysplastic Barrett's esophagus in the index endoscopy who progress during follow up to HGD or ADC. Non-progressors were defined as patients with no dysplastic Barrett's esophagus in the index endoscopy who remain free of dysplasia or ADC during a mean follow-up similar to that of progressors. The non-Progressed patients were randomly selected from our database. In the P-BE patients we analyzed samples from two time points, before and after malignant progression, named as t0 and t1. In the first time point (t0) we studied the initial biopsy diagnosed BE negative for dysplasia. In the second time point (t1) we examined two areas, the BE and the adjacent HGD/EA on mucosectomies or surgical pieces from these same patients. In the control group of nonP-BE patients we also studied two time points: t0 and t1 for the index and for most recent follow-up biopsies, respectively. In this set of patients all samples from t0, t1 or in any other follow-up archived sample (between t0 and t1) displayed any signs of malignancy. We chose to use a balanced number of non-progressors to avoid artificially inflating p-values in the comparisons. Histopathological characterization and area selection was carried out on hematoxylin- and eosin-stained sections under the supervision of an experienced pathologist. The study was approved by the institutional review board and a waiver of consent was obtained prior to initiating this retrospective study (project GIC/721 IPOLFG, EPE).

### RNA extraction and cDNA synthesis

Archived BE FFPE tissue sections (5  $\mu\text{m}$ ) were deparaffinized and counterstained with Mayer's hematoxylin and eosin. BE-enriched areas were needle microdissected under the pathologist guidance. Total RNA was extracted with the RNeasy FFPE kit (Qiagen), according to manufacturer's instructions with a slight modification: proteinase K cell-lysis at 56°C was performed overnight. The RNase-Free DNase Set (Qiagen) "on column" DNA digestion procedure was included. Each extracted RNA was reverse-transcribed with the First-Strand cDNA Synthesis kit (GE Healthcare), using a 1:1 mixture of random primers (pd(N)<sub>6</sub>) and oligo-dT primers (NotI-d(T)<sub>18</sub>). High quality total RNA (3  $\mu\text{g}$ ) from two control cell lines (HCT116 and a primary skin fibroblasts) was used to synthesize cDNA to be used as dilution standards in qRT-PCR.

### Quantitative real-time PCR

RNA concentration and integrity could not be assessed using standard methods due to known FFPE degradation issues and to the small amounts of extracted samples. Thus, to indirectly check the amount of each isolated total RNA FFPE sample and its quantitative real-time PCR (qRT-PCR) downstream performance, we prepared two standards dilution series using cDNA from the two control cell lines, corresponding to 100, 10, 1, 0.1, 0.01, 0.001 and 0.0001 ng of the original total RNA. These series were subsequently used to calculate a qRT-PCR standard

curve for the non-differentially expressed gene *MAPKAPK2* (Lods = -2.7). Primer sets were designed with the NCBI Primer-BLAST tool [25], to work at 59°C and with an amplicon length of 70–100bp (S2 Table). Duplicates of each BE sample were analyzed by qRT-PCR using SsoFast™ EvaGreen® Supermix (Bio-Rad, Hercules CA, USA) reagent in 10μL of reaction mixture containing template (2μL, ~200pg/μL) and primers (0.5μM each). Samples were processed in a CFX96 Touch™ Real-Time PCR Detection System (Bio-Rad, Hercules CA, USA) according to the cycling program: 95°C for 60 s, 50 cycles of 95°C for 10s and 59°C for 15s. Fluorescence data collection occurred at 59°C. Relative differential expression analysis of target genes by qRT-PCR was based on the  $2^{-\Delta\Delta C_t}$  methodology from Livak *et al.* [26] using mean quantification cycle of duplicates as cycle threshold (Ct) compared to the Ct of the calibrator gene GAPDH.

### Immunohistochemistry

Immunohistochemistry (IHC) of BE samples (3 μm thick tissue sections) was performed according to standard protocols. Primary antibodies were diluted in Bond Primary Antibody Diluent (Leica Microsystems) plus background-reducing components at the dilutions: *CYR61* (1:600, mouse monoclonal [3H3], Abcam, ab80112), *TAZ* (1:300, mouse monoclonal, Abcam, ab118373), *E-Cadherin* (1:80, mouse monoclonal 4A2C7, Invitrogen, 33-4000). Antigen retrieval consisted of pressure-cooking for 6 minutes in pH6 sodium citrate 0.01M buffered solution for *CYR61*, of 20 minutes of microwave exposure at 750W in pH6 sodium citrate 0.01M buffer and of 25 minutes in Epitope Retrieval Solution 2 (ER2) Leica Bond III system for *E-Cadherin*. Signal detection of *CYR61* and *TAZ* was obtained using the Rabbit/Mouse Peroxidase/DAB+ Dako REAL Envision Detection System while *E-Cadherin* visualization was performed in the Leica Bond III system with the detection system Bond Polymer Refine Detection plus Bond DAB Enhancer. Nuclei were counterstained with Mayer's hematoxylin. Images were acquired on a Leica DM5500 microscope.

IHC staining specificity was evaluated with a three level score. IHC scores for *CYR61* antibody (ab80112) were defined as “Low” when a weakly positive diffuse protein staining was observed (+), “Intermediate” when scored areas included few areas of weakly positive and most areas with positive diffuse staining (++) and “High” when no negative areas were observed and the majority of evaluated areas presented a strongly positive diffuse staining (+++). IHC scores for *TAZ* antibody (ab118373) were defined as “Low” when protein staining was negative to weakly positive cytoplasmatic diffuse staining in the majority of visualized areas (-), “Intermediate” when weakly positive cytoplasmatic and low to strong nuclear staining was observed in some areas (+) and “High” when low to strong cytoplasmatic staining and very strong nuclear staining was observed in the majority of evaluated areas (++)

### Western-blotting

The western-blotting procedure was performed according to standard protocols. Total protein extracts (20μg) from the two breast cancer cell lines MDA231 and MCF7 were resolved by SDS-PAGE on a 12% acrylamide gel (BIO-RAD) and transferred to a PVDF membrane (GE Healthcare) on a Mini-Protean system (BIO-RAD). The molecular weight marker used for electrophoresis was the Kaleidoscope (BIO-RAD) and transfer conditions were 250 mA, 100 min. *CYR61* (ab80112) and *TAZ* (ab118373) antibodies were both diluted 1:200 in 0.2% fish skin gelatin, 1x TBST and the loading control β-Actin antibody (Sigma) was diluted 1:2000 in 1% milk, 1x PBS. All primary antibodies were incubated overnight at 4°C. Detection for all antibodies was performed by incubation with mouse Horseradish Peroxidase antibody (Jackson Immunoresearch) at 1:10.000 dilution and the western-blot signal developed with and ECL system (BIO-RAD) and detected on an x-ray Amersham Hyperfilm ECL (GE Healthcare).

### Statistical analysis

Data analysis was performed with R language for Statistical Computing [14]. Expression differences between P-BE and nonP-BE microarray data was determined with a Bayesian T-test implemented in the R package limma [21]. We used hypergeometric testing to assess gene set enrichment. Statistical significance of qRT-PCR data was calculated with Wilcoxon Rank Sum test (confidence level = 0.95). IHC categorical data was analyzed with Pearson's Chi-squared test.

## Results

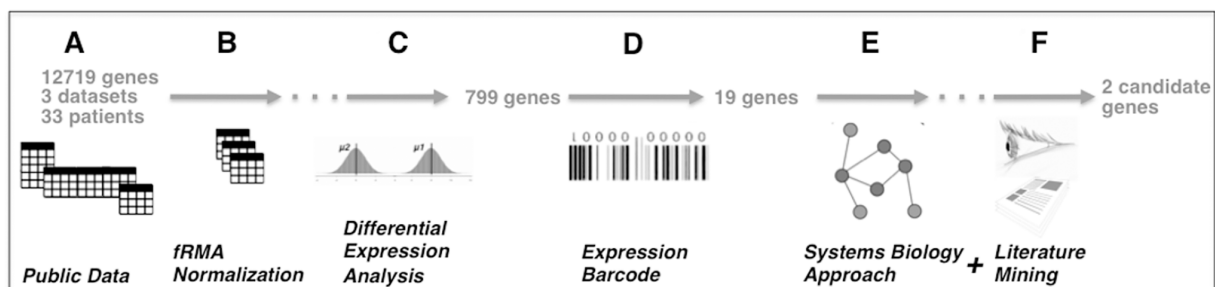
### Hypotheses generation: mining public gene transcriptomics data

We implemented a bioinformatics pipeline for data mining that takes as input the small number of expression profiling data sets available for nonP-BE, P-BE and EA (Fig 1A), insures that data is comparable using fRMA normalization (Fig 1B) and identifies genes differentially expressed between P-BE and nonP-BE (Fig 1C). Subsequently cross checks these against a database of human gene expression patterns to binarize the genes with bimodal gene expression (Fig 1D) and implements a network analysis to cross check the selected list of candidate genes against other data types (such as protein interactions, gene co-expression, etc) for plausibility (Fig 1E). Finally, the output of this pipeline is submitted to one additional filtering step, based on manual literature curation of selected genes (Fig 1F, Table 1). From a list of 12749 unique starting genes, our approach predicts the two genes *CYR61* and *WWTR1* (alias *TAZ*) that *in silico* can distinguish P-BE from nonP-BE samples. Details of the methods are given in methods section, and a detailed step-by-step description of each step and resulting lists of genes is given as supplementary material (S1 Fig and S1 Results).

### mRNA levels of *CYR61* and *TAZ* distinguish nonP-BE from P-BE in paraffin-embedded samples

Given the existing variability associated with microarray technology results (lab-, user- platform-associated, etc) and the technology limitations (probe sensitivity and specificity) it is essential to use an independent mean to verify and reproduce the results of candidate genes.

We evaluated *CYR61* and *TAZ* as early biomarkers of BE progression in a validation set of FFPE samples from 19 BE patients (detailed characteristics of the patients used in the



**Fig 1. Bioinformatics analysis workflow of BE datasets for biomarker discovery.** A. Three publicly available microarray datasets of BE data containing 33 BE samples with progression information were used to interrogate the expression levels of 12719 unique genes. B. After data normalization with frozen robust multi-array (fRMA) we first performed C. differential gene expression analysis, which allowed the identification of 799 differentially expressed genes. Normalized fRMA data was subsequently submitted to D. gene expression barcode which further restricted the number of selected candidates to 19. The combined usage of a E. systems biology approach plus F. manual literature curation selected the two most promising candidates.

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validation set of the present study is available in [S1 Table](#)). In total, 9 P-BE patients (t0, n = 9 and t1, n = 9 samples) and 10 nonP-BE patients (t0, n = 10 and t1, n = 10 samples) were included (see [Materials and Methods](#))

Using qRT-PCR we compared *CYR61* and *TAZ* mRNA levels from t1 P-BE tissue co-occurring with HGD/EA with nonP-BE samples without any histological signs of malignancy. The analysis revealed that the transcriptional levels of both genes were significantly increased ( $P$  value < 0.005) in P-BE samples ([Fig 2A](#)) as predicted *in silico*. We have also detected a significant up-regulation (average fold change > 2,  $P$  value < 0.01) in the index samples (t0) of P-BE patients, years before the development of HGD/EA as compared to nonP-BE index samples (t0) from patients that never developed HGD/EA ([Fig 2A](#), [Table 2](#)). This early up-regulation could be detected as early as 13 years (average: 4.6 years; range: 1-13 years) in the P-BE group. In the nonP-BE group, the maximum follow-up interval was of 17 years (average: 9.4 years; range: 3-17 years). In addition, using the microarray and qRT-PCR data we verified that *CYR61* and *TAZ* expression levels are not correlated and thus P-BE and nonP-BE samples could be better segregated when using independent information from both markers ([S4 Fig](#)). Their combined usage may enhance sensitivity for the early detection of patients at risk of BE malignant progression in BE index samples.

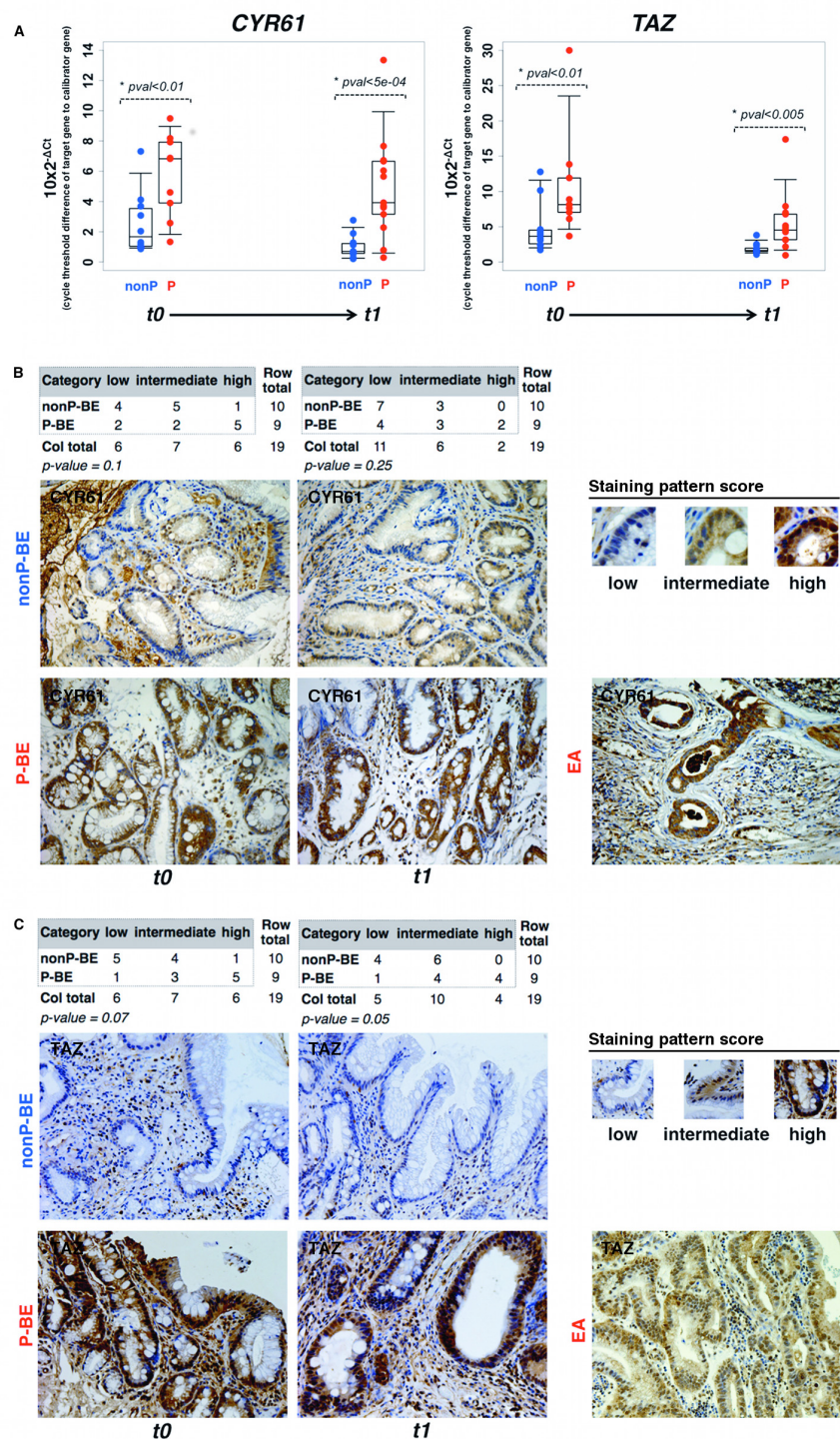
### Protein levels of *CYR61* and *TAZ* distinguish P-BE from nonP-BE in paraffin embedded samples

Validation of the *in silico* predictions by qRT-PCR is encouraging, but clinical use could be simpler if routine techniques such as immunohistochemistry were to be used. We have thus implemented an IHC assay. We have started by evaluating the specificity of both antibodies by Western-blot analysis ([S5A Fig](#)). IHC results of *CYR61* and *TAZ* proteins were categorized into three different groups according to staining intensities ([Fig 2B](#), [Table 2](#)): low, intermediate and high. *CYR61* antibody presented a diffuse cytoplasmatic and/or nuclear staining as shown in the positive control ([S5B Fig](#)) and *TAZ* antibody mostly stained nuclei although it is also

**Table 1. Cancers where *CYR61* and *TAZ* over-expression has been previously correlated with poor outcome.**

Cancer Type	<i>CYR61</i> (references)	<i>TAZ</i> (references)
Breast	[27]	[28, 29]
Prostate	[30–32]	---
Colorectal	[33]	[34]
Gastric	[35, 36]	---
Esophageal Squamous Cell	[37, 38]	---
Esophageal Adenocarcinoma	[39]	---
Pancreas	[40, 41]	---
Hepatocellular	[42]	---
Non-Small Cell Lung	[43]--	[43],[44]
Thyroid Carcinoma	[45]	[46] <sup>a</sup>
Renal cell carcinoma	[47]	---
Ovary	[48]	---
Glioma	[49]	[50]
Osteosarcoma	[51]	---
Epithelioid Hemangioendothelioma	---	[52]
Oral (squamous cell)	[53, 54]	---

<sup>a</sup>Papillary



**Fig 2. CYR61 and TAZ mRNA and protein levels are significantly increased in early and late at risk BE biopsies.** A. Timeline analysis of CYR61 (left panel) and TAZ (right panel) expression levels by qRT-PCR of P-BE associated with EA (t1) and in the patient-matched BE index biopsies, free of dysplasia/EA (t0). Index BE biopsies were collected at t0 while, after several years of follow-up, EA-associated BE biopsies in the

P-BE group and EA-free BE biopsies in the nonP-BE group were designated as collected at t1. The average years of follow-up between t0 and t1 was 4.6 and 9.4 years for P-BE and nonP-BE samples. **B.** and **C.** panels display respectively representative samples of *CYR61* and *TAZ* protein levels in BE (t0 and t1) and in EA, evaluated by immunohistochemistry. Staining patterns used to score the protein levels (low, intermediate and high) are represented on the top right of each panel. The counts and statistical test (Pearson's Chi-squared test) results are represented in the top left of the panels. (Magnification x200).

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presented a diffuse pattern in the cytoplasm (S5C Fig). Blinded analysis showed that despite the somewhat heterogeneous cytoplasmic staining of *CYR61* protein, its levels were mainly intermediate to high in the P-BE group and mostly varied from low to intermediate in the non-P-BE group (Fig 2B). *CYR61* protein over-expression differences were more pronounced in the early time point t0. Interestingly, samples displaying the highest amounts of *CYR61* often exhibited strong nuclear accumulation. As for *CYR61*, despite some heterogeneity of *TAZ* IHC pattern (Fig 2C, Table 2), *TAZ* protein levels were increased in the P-BE as compared to non-P-BE group, with P-BE samples from t0 displaying a more distinct *TAZ* over-expression. Overall, protein levels validated the *in silico* transcriptional changes and correlated with qRT-PCR results (Table 2). Further, they highlighted once more the very early (at t0) differences of *CYR61* and *TAZ* expression between progressors and non-progressors.

### *CYR61* and *TAZ* up-regulation is correlated to an epithelial-to-mesenchymal transition phenotype

In our network analysis for prioritizing genes (Fig 1E), we found that EMT and stemness-related genes are significantly over-represented in the *in silico* P-BE samples ( $p = 5.5 \times 10^{-8}$ ).

**Table 2. Per patient quantitative assessment of *CYR61* and *TAZ* expression levels by qRT-PCR and IHC.**

Group	ID	Age at (biopsy order)		YearsFU <sub>p</sub>	t0				t1			
		1 <sup>st</sup>	last		qRT-PCR		IHC		qRT-PCR		IHC	
					CYR61	TAZ	CYR61	TAZ	CYR61	TAZ	CYR61	TAZ
nonP-BE	11	64	81	17	Low	Low	++	+	Low	Low	+	+
nonP-BE	13	62	65	3	Low	Low	++	+	Low	Low	+	+
nonP-BE	14	65	75	10	Low	Low	++	++	Low	Low	+	+
nonP-BE	21	66	77	11	Low	Low	+	-	Low	Low	++	-
nonP-BE	22	67	74	7	Low	Low	+	+	Low	Low	+	+
nonP-BE	25	32	42	10	High	High	++	-	Low	Low	+	-
nonP-BE	26	64	76	12	Low	High	+	-	Low	Low	++	+
nonP-BE	27	42	52	10	Low	Low	++	-	Low	Low	++	+
nonP-BE	28	52	63	11	Low	Low	+++	-	Low	Low	+	-
nonP-BE	29	51	54	3	Low	Low	+	+	Low	Low	+	-
P-BE	2	71	72	1	Low	High	+++	+	Low	High	+++	+
P-BE	3	46	59	13	High	High	++	++	Low	High	+	++
P-BE	4	50	54	4	Low	High	+++	+	Low	Low	++	+
P-BE	5	51	53	2	Low	High	++	++	Low	Low	+	++
P-BE	6	45	48	3	High	High	+++	+	High	High	++	-
P-BE	17	62	67	5	High	High	+++	++	High	High	+	+
P-BE	18	48	54	6	High	High	+	-	High	High	+++	+
P-BE	19	68	69	1	Low	Low	+++	++	High	Low	+	++
P-BE	20	51	57	6	High	High	+	++	Low	Low	++	++

Degree of immunostaining is indicated by the "+" and "-" signs: "+++" = very strong staining; "++" = strong staining; "+" = weak staining; "-" = absence of positive staining. YearsFU<sub>p</sub> = Years of follow-up; qRT-PCR = quantitative real time PCR; IHC = immunohistochemistry.

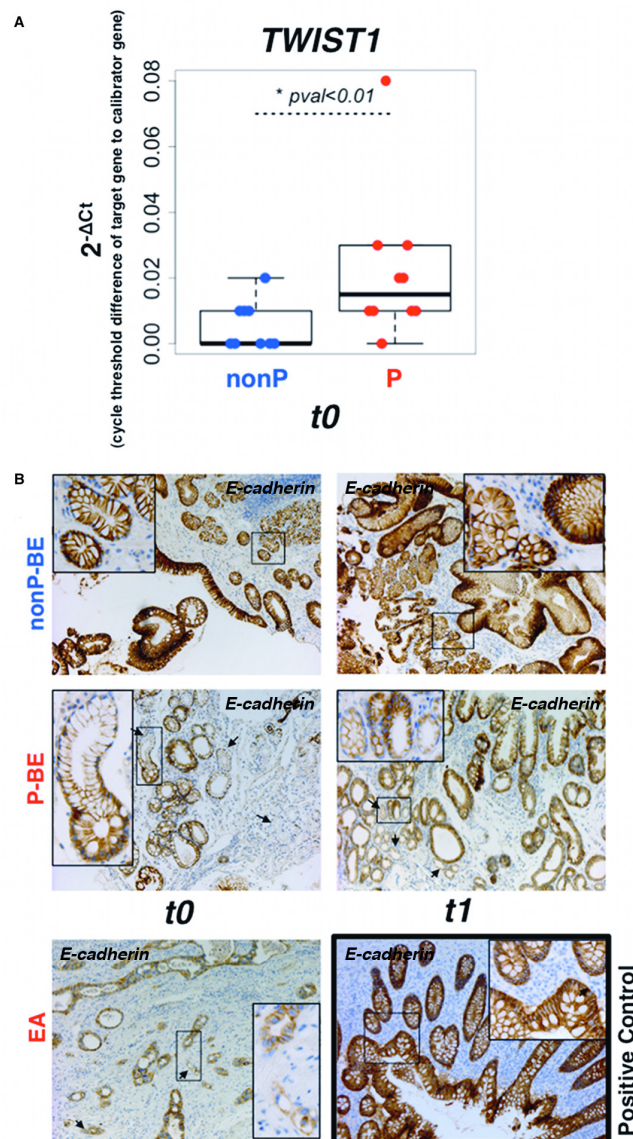
doi:10.1371/journal.pone.0161967.t002

Out of the 19 barcoded genes, 52% (*SPARC*, *CYR61*, *JUN*, *ACTN1*, *COL4A1*, *PPAP2B*, *DUSP1*, *CTSB* and *TAZ*) have been previously detected in molecular signatures of EMT/stemness phenotypes [55–57]. Such phenotypes are clearly associated with an aggressive clinical behavior, poor outcome and resistance to treatment (reviewed in [58]). Given the involvement of *CYR61*, *TAZ* and other P-BE up-regulated genes in stemness/EMT-related cellular functions (e.g. cell adhesion/motility, inflammation, differentiation/wounding, extracellular matrix) (reviewed in [58]) we checked if core EMT markers such as *TWIST1*, *ZEB1*, *SNAI1*, *SNAI2* and *CDH1* (alias *E-cadherin*) (reviewed by [59]) were also differentially expressed. *TWIST1* was the only significantly over-expressed gene (Lods = 5.84, fold change >2) in P-BE samples. As shown in Fig 3A, we validated *TWIST1* up-regulation by qRT-PCR analysis in early P-BE samples (t0) before the emergence of any microscopic signs of malignancy. Furthermore, using routine pathology IHC for *E-cadherin* we also detected foci of lower *E-cadherin* expression in P-BE samples both in early (t0) and late (t1) P-BE samples (Fig 3B), an observation usually associated with invasive EA cells. The appearance of such foci is indicative of very early P-BE cellular adhesion and/or extracellular matrix changes absent in nonP-BE samples. This observation suggests that an aggressive mechanism, typical of advanced metastatic lesions, is active in non-malignant BE cells of at risk patients. These features of neoplastic progression occur in P-BE in a time point far earlier than we anticipated. The presence in P-BE samples of alterations typical of aggressive behavior in the context of cancer, suggest that at very early stages in BE there is already a proneness for later development of dysplasia and EA.

## Discussion

In the present work, we aimed at maximizing the identification of potentially translatable biomarkers of early BE progression to EA using an original bioinformatics pipeline applied to public BE expression profiling data. This discovery framework allowed the straightforward comparison of BE samples from distinct datasets and the trimming of promising over-expressed biomarkers to *CYR61* and *TAZ* genes. Validation with qRT-PCR and IHC emphasized *CYR61* and *TAZ* over-expression as early markers of at risk BE index samples, years before HGD/EA emergence. The access to Barrett's patients that progressed during the surveillance program allowed the unique opportunity to validate biomarkers in Barrett's samples from the same group of patients before and after malignant progression. This allowed us to overcome the limitations derived from inter-patient variability in studies where different sets of patients were used in each step of Barrett's malignant progression. To our knowledge, this is the first time that risk stratification biomarkers were validated in BE samples coming from the same set of patients. Finally, changes in EMT biomarkers were detected in index samples of at risk BE. This observation fits into *CYR61* and *TAZ* functional context and further suggests that in at risk BE, proteins associated with EMT can be operational from very early, before any visible signs of malignancy.

*CYR61* and *TAZ* emerged from our pipeline as the most promising biomarkers of at risk BE and we experimentally validated their up-regulation in a different cohort. Several studies have implicated *CYR61* and *TAZ* in the biology of major cancers (Table 1). BE is a metaplastic response of the esophageal surface to chronic injury caused by gastric reflux, possibly amplified by an inflammatory response [60]. BE progression to EA could plausibly be mediated by the known functions of these two genes in extracellular matrix, cell migration, angiogenesis and stemness/EMT. *CYR61* is an important factor in acid-induced esophageal epithelial transformation [61] and its up-regulation is an early response of esophageal cells exposed to low pH [62]. In a non-esophageal context, *CYR61* plays a role in inflammation, it is notably expressed at wounded tissues [63] and also up regulated upon mechanical stress (reviewed in [64]).



**Fig 3. Changes in epithelial-to-mesenchymal biomarkers are visible in early and late BE backgrounds.** **A.** qRT-PCR validation of *TWIST1* transcription factor in the patient-matched BE index biopsies, free of dysplasia/EA (t0). **B.** *E-cadherin* protein levels were evaluated by immunohistochemistry staining in P-BE associated with EA (t1) and in the patient-matched BE index biopsies, free of dysplasia/EA (t0). Arrows denote foci of lower *E-cadherin* expression. Normal appendix was used as *E-cadherin* immunostaining positive control. (Magnification: picture  $\times 100$ , detail  $\times 200$ ).

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*CYR61* has also an independent prognostic value in esophageal squamous cell carcinoma [37, 38] and is a negative predictor in early onset sporadic colorectal [65, 66] and ovarian [48] cancers. Functionally, *CYR61* is a ligand for several integrins which in turn can trigger cancer cells motility (reviewed in [67]) as it was recently demonstrated in pancreatic cancer [41]. *TAZ* is a key mediator of mechanotransduction, also implicated in human tumorigenesis: *TAZ*

transducer activities are required to sustain self-renewal and tumor-initiation capacities [29], cell proliferation and EMT in breast cancer stem cells [28, 68] and to regulate mesenchymal differentiation in malignant gliomas [50].

Many putative biomarkers of BE malignant progression resulted from previous studies (reviewed in [11]) but no biomarker has been used in routine clinical practice [12]. Typically, most biomarkers were discovered in a context of a detectable high-grade dysplasia/EA, a time point where the neoplasia is already established and therefore where markers of tumor development are of little use and only cancer progression is at stake. This type of cancer-associated molecular alterations in non-cancer tissues (e.g. BE and NE) but adjacent to a tumor are often referred to as a cancer field effect and have already been described in BE [69]. We analyzed *CYR61* and *TAZ* levels in non-dysplastic/EA-free BE index biopsies of P-BE and nonP-BE patients by qRT-PCR to distinguish whether *CYR61* and *TAZ* up-regulation were a cancer field effect or an early property of P-BE samples. We found that, in fact, the up-regulation of these genes in BE years before the appearance of dysplasia (t0), reveals the establishment of a signaling pathway prone for progression to dysplasia/EA at very early stages through an intrinsic alteration of cell properties that directly, or by interaction with stromal tissue will facilitate tumor initiating features. Interestingly, we observed that *CYR61* and to a lesser degree also *TAZ* expression levels, slightly decreased when progressing from index (t0) to advanced (t1) BE. Differences between P-BE and nonP-BE are thus more significant at t0. This phenomenon of increased expression on localized benign disease and a decreased expression upon progression to metastasis is known to occur in several contexts such as for *CYR61* in prostate cancer (reviewed in [70]). While no mechanistic explanation justifies yet this observation in BE, it is possible that, as in prostate, *CYR61* and *TAZ* are more important in the neoplastic initiation than progression.

Although *CYR61* up-regulation was previously described in BE samples where dysplasia/EA is already present [39], our work is the first to describe that such up-regulation is in fact a very early event in Barrett's tumorigenic process, being an indicator for a later establishment of dysplasia/EA, since it is detected in BE index biopsies. *CYR61* belongs to the CCN family of six structurally related proteins, a multi-tasking group of secreted proteins which primarily function in adhesion, migration, proliferation, ECM synthesis, inflammation and mechanical stress regulation (reviewed in [67]). Furthermore, *CYR61* has an already established role in cancer malignant progression and prognosis in major and diverse tumors (Table 1) and is a downstream target of *TAZ* [71]. *TAZ* is a major downstream effector and is regulated by the Hippo tumor suppressor pathway, a pathway relevant in organ size control, tissue regeneration, stem cell self-renewal (reviewed by [72]), cell polarity and cancer (reviewed by [73]). *TAZ* has also been implicated in the malignant phenotype of several tumors (Table 1) but differently from *CYR61*, *TAZ* over-expression has never been under scrutiny in human BE or EA. We anticipate that the biological functions of both genes, *TAZ* as a major regulator of the hippo pathway and its downstream effector *CYR61*, may contribute to BE progression to EA and we demonstrate for the first time that they have predictive value.

The functional context of our validated targets and of other genes detected in our analysis suggested the early occurrence of mechanisms known to operate in EMT. As additional examples of such, we detected early *TWIST1* up-regulation and lower *E-cadherin* expression foci very early in BE (i.e. in BE index samples) from patients that progressed later on to cancer. These are classical biomarkers associated to aggressive features of malignant progression such as EMT. The early occurrence of *in vivo* EMT in the absence of any histological signs of cancer was recently demonstrated in pancreatic cancer and can be partially facilitated by inflammation [74]. EMT occurs both in wound healing and tumors (reviewed in [75]) a scenario that fits into *CYR61* and *TAZ* functional context. How EMT could contribute to early stages of BE

malignant progression and/or if only some EMT-related pathways are activated is currently unknown. However, EMT occurrence was described in EA [76] and in an immortalized normal epithelial cell line. In the latter *CYR61* up-regulation was critical and exacerbated acid-induced EMT phenotypes such as triggering *E-cadherin* loss [61]. Moreover, it was recently reported that *TAZ* and *CYR61* were implicated in lung cancer progression and EMT via angiotenin [43].

Our observations indicate that in particular, being *CYR61* an extracellular matrix secreted protein it harbors the potential to become a serum biomarker to stratify the risk of progression to malignancy in BE [32, 36] allowing for less invasive follow-up exams. This could supply an extra tool to define the risk of malignant progression and the possibility of reducing the number of biopsies needed, in particular for low risk patients.

Despite the very low BE progression frequency, we had access to a small, yet precious and very rare, cohort of FFPE follow-up samples for validation and more importantly to implement *CYR61* and *TAZ* detection by IHC, a method directly translatable to all pathology labs. Although FFPE-based qRT-PCR *CYR61* and *TAZ* measurements are a valid profiling option, already validated in oncologic diagnosis (reviewed in [77, 78]), assaying mRNA in the clinical routine may not be the most desirable because of technical and cost constraints. Since IHC is a method not limited by the quantity of material and can assess protein presence at single cell level, we tested commercially available antibodies against our two gene candidates and found two that, after optimization, the expected immunostains were obtained and the results could be easily translated to a routine diagnostic lab. Though the qRT-PCR and IHC data showed independently a significant difference between P-BE and nonP-BE samples in both timepoints, we have not observed clear correlation between the results of both methodologies within the same patient. The discrepant results observed in Table 2 may be justified do to inherent differences between qPCR and IHC, two techniques that are very different in nature. qPCR is quantitative, whether IHC is qualitative; furthermore, for the qPCR analysis we enriched the sample by microdissection, whereas no equivalent procedure was possible for IHC. In addition, IHC is prone to variation-dependent biases while qPCR is not observer dependent.

Given the very low BE progression frequency we will always be limited by the number of available archived collections of P-BE index samples (t0) and its follow-up samples until histological signs of malignancy are displayed (t1), which spans periods of many years. Additionally, our country has lower BE incidence rates when compared to other developed countries and we do not have a national BE register. Despite all this, our small cohort of patients that progressed during surveillance reproduces the actual expected risk progression in Barrett's patients. Indeed, compared with the several international cohorts reviewed by the British Society of Gastroenterology guidelines [79] our cohort is quite representative. We are aware that larger numbers are needed in future tests with these two markers, which will certainly implicate several international multi-institutional collaborations.

## Conclusions

Given the running debate on the costs/benefits of BE surveillance programs [80–82] and despite the diminished risk of progression [83] biomarkers to better stratify the patients who have real increased risk of neoplastic progression are required. Furthermore, it is important to stress that the risk may be low but still, BE is the precursor lesion of one of the fastest growing cancer types in developed countries over the past decades. Our results support the use of *CYR61* and *TAZ* as early biomarkers to discriminate which BE patients have an increased risk to progress to dysplasia and cancer and further suggest that proteins/genes involved in EMT are critical to trigger the BE lesions that evolve to more aggressive lesions. Our findings also

highlighted that these and other yet unknown markers should be supervised right from the non-dysplastic BE index biopsy. Such procedure has the potential to greatly improve BE management by sparing low risk patients from unnecessary invasive exams and to impact the overall costs (ethical and economical) of surveillance programs.

## Supporting Information

**S1 Fig. An original bioinformatics prioritization framework allowed the identification of at risk BE biomarkers.**

(PDF)

**S2 Fig. Microarray data of BE samples from distinct datasets is highly correlated.**

(PDF)

**S3 Fig. Differential expression analysis of P-BE and nonP-BE microarray data highlighted more than 700 genes potentially involved in BE malignant progression.**

(PDF)

**S4 Fig. CYR61 and TAZ expression levels are not correlated.**

(PDF)

**S5 Fig. Validation of CYR61 and TAZ antibodies specificity.**

(PDF)

**S6 Fig. GeneMania network of the 19 selected candidate biomarkers, network neighbors and associated function showed an enrichment of genes related with cell adhesion, motility and response to stimuli.**

(PDF)

**S7 Fig. CYR61 and TAZ are biological linked and share important cellular functions.**

(PDF)

**S1 Results. Systems biology approach for biomarker prioritization.**

(PDF)

**S1 Table. Clinical data of patients used for the validation set.**

(XLSX)

**S2 Table. Primer sequences for target and reference genes.**

(XLSX)

**S3 Table. Differentially expression analysis filtered genes (Lods > 5).**

(XLSX)

**S4 Table. Barcode genes exclusively associated with P-BE.**

(XLSX)

**S5 Table. GSEA results for GO-BP significant categories (corrected p-value<0.05) obtained with the 19 selected genes and 100 GeneMania network neighbors.**

(XLSX)

**S6 Table. GSEA results for GO-BP categories (corrected p-value<0.05) obtained with CYR61, TAZ and 100 GeneMania network neighbors.**

(XLSX)

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## Author Contributions

**Conceived and designed the experiments:** JC.

**Performed the experiments:** JC MM.

**Analyzed the data:** JC MM PC.

**Contributed reagents/materials/analysis tools:** JC MM ADP PC MBD JPL.

**Wrote the paper:** JC MM ADP PC MBD JPL.

Conceived and designed the study, performed all data analysis, experiments and wrote the paper: JC. Performed the immunohistochemical experiments: MM. Contributed to patient selection and clinical data: ADP. The pathologist of the study: PC. Provided funding and contributed to paper editing and review: MBD. Study supervisor, provided funding, contributed to paper editing and review: JPL.

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## **CHAPTER 3:**

# **Centrosome amplification arises before neoplasia and increases upon p53 loss in tumorigenesis**



REPORT

# Centrosome amplification arises before neoplasia and increases upon p53 loss in tumorigenesis

Carla A.M. Lopes<sup>1,2\*</sup>, Marta Mesquita<sup>1,3\*</sup>, Ana Isabel Cunha<sup>1</sup>, Joana Cardoso<sup>4</sup>, Sara Carapeta<sup>4</sup>, Cátia Laranjeira<sup>1</sup>, António E. Pinto<sup>1</sup>, José B. Pereira-Leal<sup>4</sup>, António Dias-Pereira<sup>1,3</sup>, Mónica Bettencourt-Dias<sup>2\*\*</sup>, and Paula Chaves<sup>1,3\*\*</sup>

**Centrosome abnormalities are a typical hallmark of human cancers. However, the origin and dynamics of such abnormalities in human cancer are not known. In this study, we examined centrosomes in Barrett's esophagus tumorigenesis, a well-characterized multistep pathway of progression, from the premalignant condition to the metastatic disease. This human cancer model allows the study of sequential steps of progression within the same patient and has representative cell lines from all stages of disease. Remarkably, centrosome amplification was detected as early as the premalignant condition and was significantly expanded in dysplasia. It was then present throughout malignant transformation both in adenocarcinoma and metastasis. The early expansion of centrosome amplification correlated with and was dependent on loss of function of the tumor suppressor p53 both through loss of wild-type expression and hotspot mutations. Our work shows that centrosome amplification in human tumorigenesis can occur before transformation, being repressed by p53. These findings suggest centrosome amplification in humans can contribute to tumor initiation and progression.**

## Introduction

The centrosome has key roles in microtubule organization, signaling, polarity, and cell division—all processes deregulated in tumorigenesis. Each centrosome, composed of two centrioles and a pericentriolar protein matrix (PCM), duplicates once per cell cycle to ensure bipolar spindle assembly during cell division (Bornens, 2012; Godinho and Pellman, 2014). Centrosome number amplification can lead to aberrant mitotic spindles and associated cell death (Holland et al., 2012; Marthiens et al., 2013). However, cancer cells with centrosome amplification can often survive cell division while generating genomic instability (Ganem et al., 2009; Silkworth et al., 2009). Moreover, centrosome amplification can promote aneuploidy and invasiveness in cultured cells as well as promote and enhance tumorigenesis in mice (Godinho et al., 2014; Coelho et al., 2015; Serçin et al., 2016; Levine et al., 2017). As centrosome amplification is found in human tumors (Chan, 2011) but not in normal cells, it is an appealing feature to explore for diagnosis, prognosis, and therapy.

Despite being a cancer hallmark, the timing, mechanisms, and impact of centrosome deregulation in human cancer are poorly understood (Godinho and Pellman, 2014). Moreover, whether the incidence of centrosome amplification changes through progression is not known. This partly stems from lack

of studies surveying centrosomes at the single-cell level through tumorigenesis. Moreover, most studies score only PCM components, which may not harbor centrioles and thus not represent bona-fide centrosomes (Chan, 2011; Godinho and Pellman, 2014). Understanding the dynamics of centrosome amplification is essential to decipher its role in cancer.

It is critical to examine centrosomes along cancer progression. Barrett's esophagus (BE) is a premalignant condition in which the normal esophageal epithelium is replaced by a stomach/intestine-like metaplastic lining as a result of chronic reflux (Spechler et al., 2011). Its malignant transformation is a multistep process from metaplasia (pre-malignant condition) to dysplasia (intraepithelial neoplasia), adenocarcinoma (invasive neoplasia), and metastasis (Fig. 1 A; Haggitt, 1994). Given the risk of developing cancer, BE patients are included in a surveillance program (Spechler et al., 2011; Fitzgerald et al., 2014), which allows the study of the intermediate step between normal tissue and tumor initiation. Despite the increasing incidence of esophageal adenocarcinoma, only some BE patients will progress (0.1–0.3%/yr; Hvid-Jensen et al., 2011; Schouten et al., 2011). However, neoplasia resections allow the unique study of sequential stages of progression in each individual patient and thus the more specific

<sup>1</sup>Instituto Português de Oncologia de Lisboa Francisco Gentil, Lisbon, Portugal; <sup>2</sup>Instituto Gulbenkian de Ciência, Oeiras, Portugal; <sup>3</sup>Faculdade de Ciências da Saúde, Universidade da Beira Interior, Covilhã, Portugal; <sup>4</sup>Ophiomics-Precision Medicine, Lisbon, Portugal.

\*C.A.M. Lopes and M. Mesquita contributed equally to this paper; \*\*M. Bettencourt-Dias and P. Chaves contributed equally to this paper; Correspondence to Carla A.M. Lopes: [lopes.carla.am@gmail.com](mailto:lopes.carla.am@gmail.com); Paula Chaves: [pchaves@ipolisboa.min-saude.pt](mailto:pchaves@ipolisboa.min-saude.pt); Mónica Bettencourt-Dias: [mdias@igc.gulbenkian.pt](mailto:mdias@igc.gulbenkian.pt); C. Laranjeira's present address is Foundation for National Scientific Computing, Fundação para a Ciência e Tecnologia, Lisbon, Portugal.

detection of consistent differences through progression (Ross-Innes et al., 2015; Stachler et al., 2015).

In this study, we used BE to uncover when and how centrosome amplification arises. We established a method to identify centrosomes at the single-cell level in clinical samples and found that centriole number abnormalities arise early in BE progression both in clinical samples and cell lines. Moreover, we found an increase in abnormalities in dysplasia, which were dependent on p53 loss of function. Our findings suggest centrosome amplification can arise early in human tumorigenesis, being normally repressed by p53.

## Results and discussion

### Centrosome amplification arises as early as the premalignant condition and increases in dysplasia

To determine when centrosome number abnormalities arise, we selected cohorts of patients that allowed us to examine all stages of disease. We therefore included metaplasia samples from biopsies of patients that did not progress (cohort 1) as well as samples from patients subjected to resection upon progression to dysplasia (cohort 2) or adenocarcinoma (cohort 3; Fig. 1 A and Table S1). In these, we analyzed in each patient areas of metaplasia, dysplasia, and adenocarcinoma (cohort 2) along with areas of metaplasia, adenocarcinoma, and lymph node metastasis (cohort 3). As comparison standards for normal epithelial tissue, we examined samples of native esophagus (normal lining; Fig. 1 A) and ileum (Fig. S1 B).

We established a method to identify centrosomes at the single-cell level in tissue samples by immunofluorescence (IF). To ensure centrosome scoring, we labeled its structural components: the centrioles (with glutamylated tubulin) and the PCM (with pericentrin; Fig. 1 B). Thus, only centrioles surrounded by the PCM were scored. Moreover, the background of glutamylated tubulin staining was sufficient to define cell boundaries (Fig. S1 A), thus allowing centriole number scoring cell by cell.

Centriole amplification was never observed in the normal lining of the esophagus (Fig. 1, B and C) or the ileum (Fig. S1, C and D). Although centriole amplification was also not detected in metaplasia from biopsies that had not progressed, cells with supernumerary centrioles were detected early in metaplasia adjacent to dysplasia or adenocarcinoma as well as in all subsequent steps of progression (Fig. 1, B and C; and Fig. S1, C–E). Moreover, the number of centrioles found per cell increased upon progression (Fig. S1 D). Centriole amplification increased significantly from metaplasia to dysplasia (Figs. 1 C and S1 C). Our data also indicate a decrease in adenocarcinoma followed by an increase in metastasis (Figs. 1 C and S1 C). This change in incidence along progression suggests that the percentage of cells with centrosome amplification is dynamic. Our observations suggest that the impact of these abnormalities is likely context dependent, being differently tolerated and having different consequences along progression.

### Loss of p53 function correlates with the increase in centrosome amplification

Mutations in p53, the most mutated gene in human cancers (Petitjean et al., 2007), define the boundary from metaplasia

to dysplasia in BE progression (Weaver et al., 2014). As p53 loss is associated with centrosome amplification in many human tumors (Chan, 2011; Godinho and Pellman, 2014), we hypothesized that p53 inactivation is responsible for the increased centrosome amplification observed in dysplasia.

To test this, we sequenced p53 in metaplasia and dysplasia samples from the same patient (cohort 2). In agreement with previous studies (Hamelin et al., 1994; Gleeson et al., 1995, 1998; Del Portillo et al., 2015), we found that p53 was mutated in dysplasia: all samples contained multiple mutations in high frequency, with some individual mutations being detected in 97% of the reads, whereas metaplasia samples either retained WT p53 or had fewer mutations in lower frequency (Fig. 2 and Table S2). In the BE clinical setting, p53 status is assessed by immunohistochemistry (IHC), a reliable method recommended to aid the dysplasia diagnosis as it detects mutational and nonmutational changes leading to p53 inactivation (Bian et al., 2001; Kaye et al., 2010; Fitzgerald et al., 2014). Using this approach, we confirmed that all dysplasia samples had abnormal p53 expression, indicative of p53 mutations or loss, whereas most metaplasia samples retained WT p53 expression (Fig. S2 and Table S2). Collectively, these results confirm that p53 is first altered in dysplasia and suggest that this change underlies the increased penetrance of centrosome amplification detected at this stage.

### Profile of centrosome amplification in cell lines is similar to patient samples

To test the consequences of p53 loss in centrosome amplification, we took advantage of a well-characterized cell line panel established from all stages of BE progression and containing genomic alterations found in vivo: metaplasia cells are diploid and have WT p53, whereas dysplasia cells are aneuploid and have distinct p53 mutations (Fig. S3 A and Table S3; Palanca-Wessels et al., 2003; Jaiswal et al., 2007). We therefore first asked whether this panel showed a similar trend in centriole amplification along progression to that observed in patient samples. As comparison standards for normal cells, we used native epithelia-derived cells (Table S3; Harada et al., 2003). To assess centrioles, we used two markers (glutamylated tubulin and centrin) in mitotic cells, which normally have four centrioles.

As in tissue samples, centriole amplification was not found in normal lining cells, but it was detected in metaplasia cells and in all cell lines from the subsequent stages (Fig. 3). Moreover, the number of centrioles found per cell increased upon progression (Fig. S3 B). Importantly, the incidence of centriole amplification increased from metaplasia to dysplasia (Fig. 3). This was validated with an additional centriolar marker and confirmed in interphase cells (Fig. S3, C and D). The higher percentage of cells with amplification observed in cell lines compared with tissue samples was likely caused by undercounting in tissue samples, which resulted from technical limitations (see Materials and methods). Interestingly, we had in our collection both an adenocarcinoma cell line (ESO51) and the tumor it was derived from (case 8 in cohort 3), and both had a lower degree of amplification (10% cell line and 2.5% tissue) as compared with the other lines and tumors (up to 31.8% cell lines and 6.5% tissues).

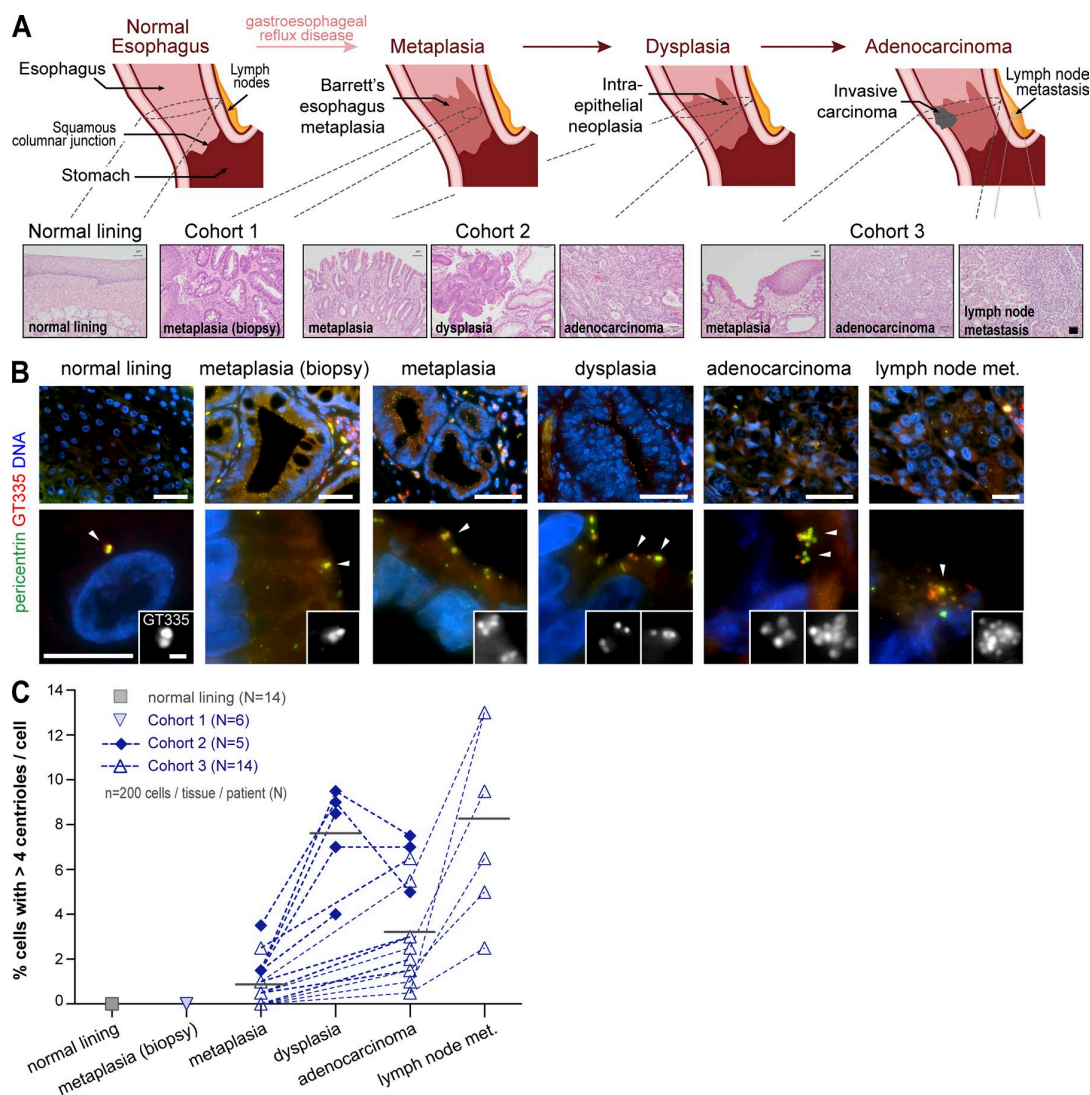


Figure 1. **Centriole amplification arises early and is associated with tumor initiation in patient samples.** (A) BE multistep pathway of progression. Tissue samples' origins are highlighted. Normal lining: native esophageal epithelium. Cohort 1: metaplasia from biopsies of patients that have not progressed. Cohort 2: dysplasia and adjacent metaplasia as well as foci of adenocarcinoma when present in each patient. Cohort 3: adenocarcinoma and adjacent metaplasia as well as lymph node metastasis (met.) when present in each patient. Representative histopathologic features (H&E) of the samples are shown. Bar, 50  $\mu$ m. (B and C) Samples were stained for PCM (pericentrin), centrioles (GT335), and DNA. (B) Representative images with enlargements of cells and centrioles in a single cell (arrowheads). Bars: (top) 50  $\mu$ m; (bottom, main images) 10  $\mu$ m; (bottom, insets) 1  $\mu$ m. (C) Quantification of cells with centriole amplification for the tissue samples present in each case analyzed.  $n = 200$ /tissue/patient. N, number of cases analyzed. Gray lines indicate means of all samples analyzed for each tissue of origin.

Collectively, these observations suggest cell lines keep the centrosome characteristics of their tissue of origin and are thus a good model to test the molecular changes underlying centrosome amplification.

#### WT p53 controls centriole amplification in metaplasia

Previous work showed that p53 loss alone in normal human cells does not lead to centrosome number defects. However, loss of p53 is required for the survival of cells experimentally perturbed to gain or lose centrosomes (Cuomo et al., 2008; Holland et al., 2012; Lambrus et al., 2015; Wong et al., 2015). Given the small population of cells with supernumerary centrioles in metaplasia, we

hypothesized that there is underlying centrosome amplification in metaplasia that is normally suppressed by p53. Cellular stress normally induces p53, leading to its nuclear accumulation and activation of downstream effectors to prevent the expansion of those cells (Rivlin et al., 2011). We found that all interphase metaplasia cells with centriole amplification showed p53 nuclear accumulation, whereas the majority (70%) of cells with normal centriole number had undetectable p53 (Fig. 4 A). To test whether p53 was preventing the expansion of cells with amplification, we depleted p53 by siRNA (Fig. S3 E). Indeed, p53 depletion in metaplasia resulted in an increase in centriole amplification to similar levels detected in dysplasia (Fig. 4, B–D). This result was

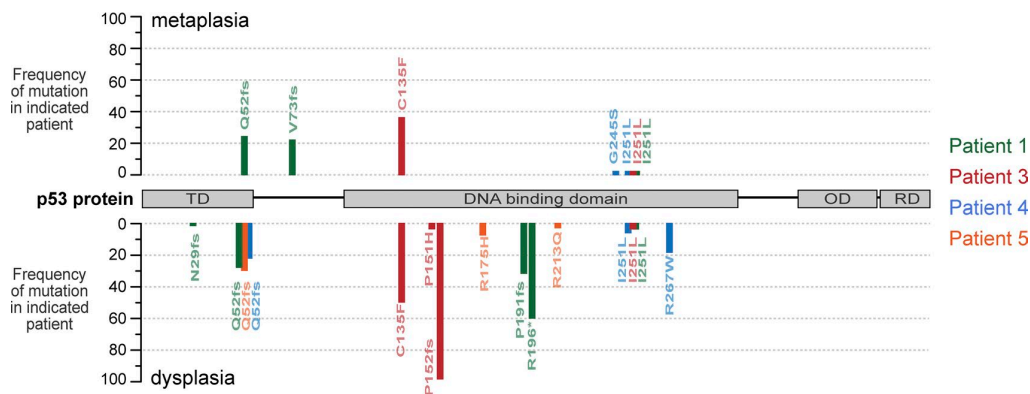


Figure 2. **p53 is deregulated in dysplasia patient samples.** The mutational status of p53 in dysplasia and adjacent metaplasia samples (cohort 2) was determined by NGS. The positions and frequency of the mutations identified in each patient in metaplasia and dysplasia areas are shown above and below the protein schematic, respectively. fs, frameshift mutation; OD, oligomerization domain; RD, regulatory domain; TD, transactivation domain. The asterisk indicates a nonsense mutation.

confirmed using different p53 siRNAs or shRNA (Fig. S3, F-I). Significantly, p53 depletion alone was not sufficient to generate centriole amplification in normal lining cells (Fig. S3, J and K). It is therefore likely that yet-unidentified molecular changes occurring in metaplasia (Weaver et al., 2014) promote centriole amplification at this stage.

Importantly, supernumerary centrioles in metaplasia both before and after p53 loss were active, as they were able to recruit  $\gamma$ -tubulin and nucleate microtubules (Figs. 4 C and S3, L and M), thus potentially contributing to genomic instability (Ganem et al., 2009; Silkworth et al., 2009). Future studies are needed to elucidate the fate of metaplasia cells dividing with supernumerary centrioles. In the absence of p53, an increase in centrosome amplification may play a role in tumor initiation by conferring the genomic instability required for the acquisition of malignant properties. In agreement with this, chromosomal instability was detected in metaplasia adjacent to neoplasia and was progressively more frequent in dysplasia and adenocarcinoma (Chaves et al., 2007; Paulson et al., 2009).

Centrosome number deregulation can occur by several mechanisms including centrosome biogenesis deregulation and cytokinesis failure (Godinho and Pellman, 2014). In the latter, centrosome numbers increase in concert with ploidy (Davoli and Lange, 2011). Ploidy is known to be deregulated in BE tumorigenesis: tetraploidy was detected in BE and predicts progression to aneuploidy, which is preceded by p53 changes (Reid et al., 2010). Moreover, ploidy deregulation is likely also surveyed by p53 (Thompson and Compton, 2010; Ganem et al., 2014). To test the association between deregulation of ploidy and centriole numbers, we investigated both features in metaplasia cells with or without p53. We detected ploidy deregulation in mitotic metaplasia cells (Fig. 4 E) and binucleated cells in metaplasia that elicited a p53 response (Fig. S3 N). Ploidy deregulation was aggravated upon p53 silencing (Fig. S3, O-Q). Moreover, both centriole number and ploidy increased upon p53 loss (Fig. 4 E), suggesting a common origin such as cell division failure. If centriole amplification detected upon p53 loss in metaplasia results exclusively from cell division failure, then blocking metaplasia cells in S phase and thus

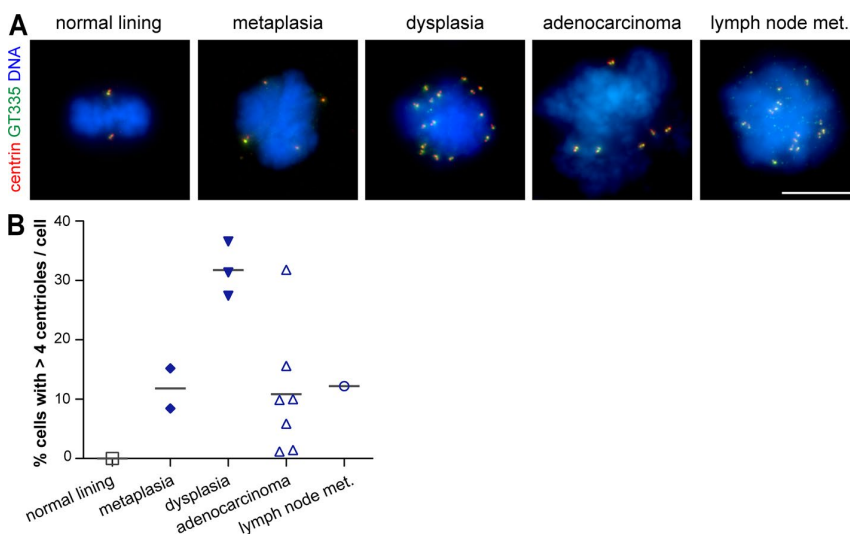
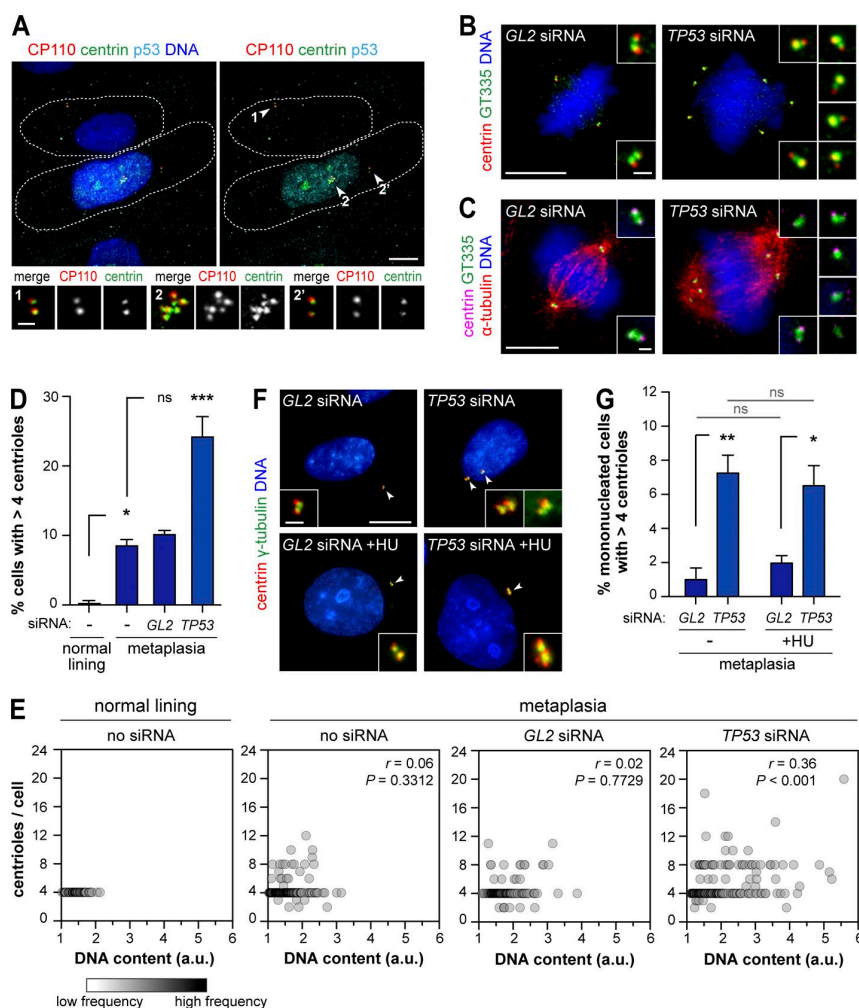


Figure 3. **Profile of centriole amplification in representative cell lines is similar to that in patient samples.** (A and B) Cells derived from the normal lining and from all stages of BE progression were stained for centrioles (centrin and GT335) and DNA. (A) Representative images. Bar, 10  $\mu$ m. (B) Quantification of mitotic cells with centriole amplification in each cell line ( $n \geq 60$ /cell line) of the indicated tissue of origin. Gray lines indicate means of all cell lines for each tissue of origin. Met., metastasis.



**Figure 4. p53 represses centriole amplification in metaplasia.** (A) Metaplasia cells were stained for p53, centrioles (centrin and CP110), and DNA. Dashed lines denote individual cell outlines given by the CP110/centrin background signal. Insets show centrioles (arrowheads) in p53-negative (1) and p53-positive (2 and 2') cells. (B–E) Metaplasia cells transfected with control (GL2) or p53 (TP53) siRNA were stained for centrioles (centrin and GT335) and DNA (B) or centrioles, microtubules (α-tubulin), and DNA (C). Untreated metaplasia and normal lining cells were also analyzed. (B and C) Representative images with enlargements of centrioles. Bars: (main images) 10 μm; (insets) 1 μm. (D) Quantification of mitotic cells with centriole amplification.  $n \geq 100$ /condition/experiment. (E) Correlation between centriole number and DNA content in each mitotic cell (individual circles). Data are from two independent experiments.  $n \geq 100$ /condition/experiment; Spearman test. (F and G) Asynchronous (-) or S phase-arrested (hydroxyurea [+HU]) metaplasia cells transfected with control (GL2) or p53 (TP53) siRNA were stained for centrioles (centrin) and γ-tubulin. (F) Representative images with enlargements of centrioles (arrowheads). Bars: (main images) 10 μm; (insets) 1 μm. (G) Quantification of cells with centriole amplification.  $n \geq 60$ /condition/experiment. Error bars show means  $\pm$  SEM of three independent experiments. \*,  $P < 0.05$ ; \*\*,  $P < 0.01$ ; \*\*\*,  $P < 0.001$  (ANOVA).

not allowing them to divide should abrogate the increase in amplification. We found that p53 loss was still able to promote centriole amplification in S phase-arrested metaplasia cells (hydroxyurea treatment; Fig. 4, F and G; and Fig. S3, R and S), suggesting that at least part of the amplification observed does not result from failed cell division. Previous work showed that S phase arrest was sufficient to generate centrosome amplification in p16-deficient human mammary cells (McDermott et al., 2006). However, this was not the case in control metaplasia cells (Fig. 4, F and G), which also lack the tumor suppressor p16, one of the earliest changes in BE (Table S3; Reid et al., 2010). The contribution of this and other early events to centrosome amplification deserves further study. Collectively, these results suggest centriole amplification can arise independently of cell division failure in BE metaplasia and demonstrate a key role for p53 in preventing the expansion of those cells.

### p53 hotspot mutations R175H and R248W deregulate centriole number control

As most tumor suppressors, p53 inactivation can be caused by nonsense or frameshift mutations that lead to a truncated nonfunctional protein. In most cases, however, including BE tumorigenesis, p53 contains a missense mutation resulting in

the expression of a full-length protein that loses the WT function and may gain oncogenic function (Fig. 2; Rivlin et al., 2011; Weaver et al., 2014). Hence, it is relevant to study the effect of p53 missense mutations on centrosome number as it could be different from loss of WT function. Notably, all three dysplasia cell lines, which have either a frameshift mutation or the missense mutations R175H or R248W, exhibited similar levels of centriole amplification (Fig. 3 B and Table S3). R175H and R248W are known hotspot mutations in BE neoplasia and other tumors (Fig. 2; Petitjean et al., 2007; Weaver et al., 2014). Expression of these mutants in p53<sup>-/-</sup> MEFs and in a lung metastasis cell line led to centrosome amplification (Tarapore et al., 2001; Noll et al., 2012). In this study, we tested whether expression of R175H or R248W mutants prevents the amplification elicited by p53 loss in metaplasia (Fig. 5 A). In contrast with expression of WT p53, neither mutant prevented the accumulation of cells with amplification (Fig. 5, B–D). Moreover, amplified centrioles were active as they nucleated microtubules (Fig. 5 C). These results show both residues are essential for p53 to control centriole number in metaplasia and that loss of WT p53 function leads to increase in centriole amplification upon progression from metaplasia to dysplasia. Moreover, previous findings that R175H and R248W

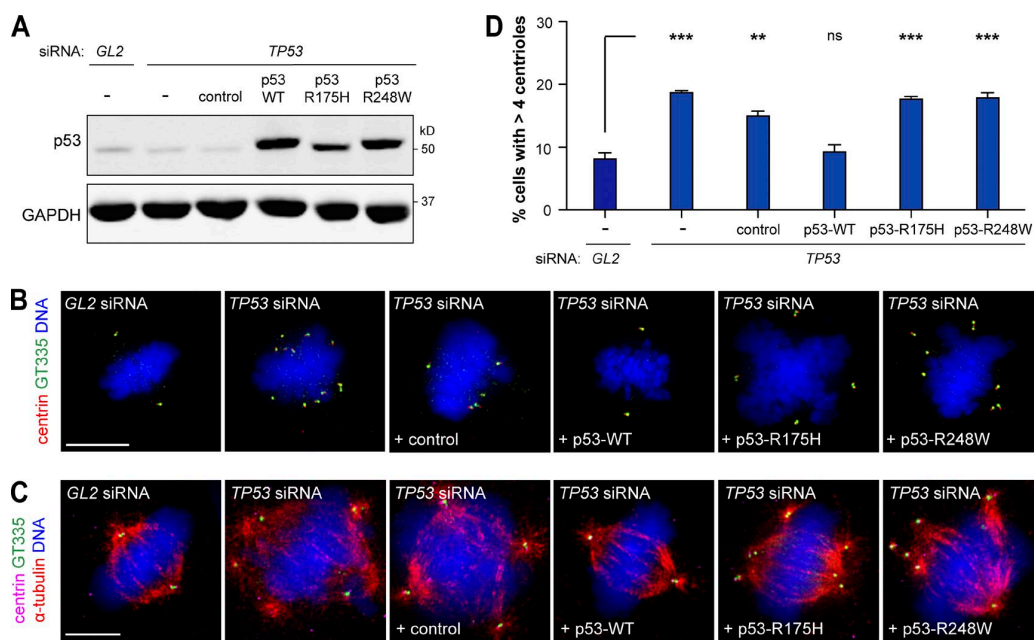


Figure 5. **The p53 hotspot mutations R175H and R248W deregulate centriole numbers in metaplasia.** (A–D) Metaplasia cells depleted of endogenous p53 (*TP53*) were transfected with WT p53, p53-R175H, p53-R248W, or the empty plasmid (control). Metaplasia cells transfected with control siRNA (*GL2*) or siRNA against endogenous p53 (*TP53*) alone were also analyzed. (A) Protein levels were assessed by WB. GAPDH was used as a loading control. (B–D) Cells were stained for centrioles (centrin and GT335) and DNA (B) or centrioles, microtubules ( $\alpha$ -tubulin), and DNA (C). (B and C) Representative images are shown. Bars, 10  $\mu$ m. (D) Quantification of mitotic cells with centriole amplification.  $n \geq 100$ /condition/experiment. Error bars show means  $\pm$  SEM of two independent experiments. \*\*,  $P < 0.01$ ; \*\*\*,  $P < 0.001$  (ANOVA).

mutations can promote genomic instability and invasion (Rivlin et al., 2011; Muller and Vousden, 2014) further support a role for centrosome amplification in those processes. Further studies are needed to determine how distinct p53 mutations affect tumorigenesis and whether that is related to centrosome amplification.

In summary, we showed that centrosome amplification (A) is never observed in native epithelia, suggesting centriole number control is robust in the normal population; (B) it arises as early as the premalignant condition and is present in all stages in all patients; (C) its incidence is dynamic during progression; (D) it significantly increases from metaplasia to dysplasia; and (E) this increase correlates with and is dependent on loss of p53 function. These findings have important implications in our understanding of centrosome amplification in cancer progression.

An association between p53 loss and centrosome amplification is found in several cancers (Chan, 2011). Our findings clarify this relationship in human cancer: centrosome amplification, though low in incidence, arises in the context of functional WT p53 that plays a crucial role in preventing widespread centrosome amplification. Our study thus supports the existence of a p53-dependent pathway preventing proliferation upon centrosome number deregulation (Ganem et al., 2014; Lambrus et al., 2015; Fava et al., 2017). Future work will be important to elucidate the mechanisms activating p53 upon centrosome amplification.

Our analysis at the single-cell level also revealed that despite the dynamic clonal evolution in BE progression (Reid et al., 2010; Weaver et al., 2014), centrosome amplification is never eliminated nor close to 100%. As centrosome amplification leads to genomic instability (Ganem et al., 2009; Silkworth et al., 2009),

ability to invade (Godinho et al., 2014; Kushner et al., 2014), and non-cell-autonomous effects (Marusyk et al., 2014; Ganier et al., 2018), it does not have to be present in a high fraction of cells to impact tumor progression. This suggests cells with centrosome deregulation may be advantageous at the population level by promoting the fitness of the other cells.

Given widespread occurrence of p53 mutations and centrosome amplification in human tumors, our findings on the timing and ordering of these events and aneuploidy in BE tumorigenesis are likely to be extended to other cancers. Moreover, the clarification of the relationship between centrosome amplification and loss of p53 function suggests that this can be part of a wanting gene signature that predicts significant centrosome amplification in tumor samples. This could be useful to identify patients that will respond to centrosome-related inhibitors currently in clinical trials (Godinho and Pellman, 2014; Mason et al., 2014). Finally, the cell lines used in this study will be an excellent tool to get further insight into how supernumerary centrosomes arise and how they contribute to tumor progression, invasiveness, and metastasis.

## Materials and methods

### Patient selection and clinical samples

For the purpose of this study, three cohorts of patients were selected from the Pathology Department database of Instituto Português de Oncologia de Lisboa Francisco Gentil (IPOLFG). Cohort 1: biopsies from six BE patients included in the surveillance program, with metaplasia negative for dysplasia until the

moment of this study (in a followup from 1998–2012). An additional set of similar biopsies from another 22 BE patients was evaluated separately (Fig. S1 E). Cohort 2: five patients included in the surveillance program that were submitted to endoscopic resection or esophagectomy upon progression to high-grade dysplasia or adenocarcinoma. Cohort 3: 14 patients that when first examined already had adenocarcinoma and were submitted to esophagectomy (without neoadjuvant therapy). All formalin-fixed paraffin-embedded (FFPE) samples were selected not compromising future diagnostic studies. Areas of metaplasia, dysplasia, adenocarcinoma, and/or lymph node metastasis were selected. All cases were anonymized after a clinical record review for demographic data. Staging and grading were performed according to the American Joint Committee on Cancer staging system and the World Health Organization criteria, respectively (Amin et al., 2010; Bosman et al., 2010). As standards of comparison for normal squamous- and columnar-lined mucosa, respectively, the squamous-lined mucosa from the proximal margin of 14 total gastrectomies for gastric adenocarcinoma and the ileal mucosa from the proximal margin of 14 right-hemicolecotomies for intestinal adenocarcinoma were used. Material from BE patients was obtained in the context of IPOLFG surveillance program and was used without compromising future patient management. All samples were routinely anonymized upon collection for the archival file, thus guaranteeing the privacy, confidentiality, and protection of patients and their personal data. This study was approved by the IPOLFG Research Council and Ethics committee.

### Cell culture

Human telomerase-immortalized (hTERT) BAR-T and BAR-T10 cell lines derived from biopsies of patients with nondysplastic BE as well as BAR-T cell lines expressing the pSUPER-p53RNAi or the control empty vector pSUPER-retro.neo (all from R. Souza, Baylor University Medical Center, Dallas, TX; Jaiswal et al., 2007; Zhang et al., 2010) were cocultured with a fibroblast feeder layer (Swiss 3T3 cells [85022108; European Collection of Authenticated Cell Cultures] treated with 10  $\mu\text{g}/\text{ml}$  mitomycin C [Sigma-Aldrich] for 2 h) and maintained in KBM2 medium (Lonza) supplemented with 5% FBS, 0.1 nM cholera toxin (Sigma-Aldrich), 70  $\mu\text{g}/\text{ml}$  bovine pituitary extract (BPE; Sigma-Aldrich), 400 ng/ml hydrocortisone (Sigma-Aldrich), 20 ng/ml EGF, 20  $\mu\text{g}/\text{ml}$  adenine (Sigma-Aldrich), 5  $\mu\text{g}/\text{ml}$  insulin (Sigma-Aldrich), 5  $\mu\text{g}/\text{ml}$  transferrin (Gibco), and 100 U/ml penicillin-streptomycin (Gibco). Cells were seeded in wells precoated with collagen IV (1  $\mu\text{g}/\text{cm}^2$ ; Sigma-Aldrich) for individual experiments. hTERT CP-B, CP-C, and CP-D cell lines derived from biopsies of patients with high-grade dysplasia (from P. Rabinovitch, University of Washington, Seattle, WA; Palanca-Wessels et al., 2003) were maintained in MCDB 153 medium (Sigma-Aldrich) supplemented with 5% FBS, 0.4  $\mu\text{g}/\text{ml}$  hydrocortisone, 20 ng/ml EGF, 1 nM cholera toxin, 140  $\mu\text{g}/\text{ml}$  BPE, 20  $\mu\text{g}/\text{ml}$  adenine, 4 mM glutamine (Gibco), 0.1% insulin-transferrin-sodium selenite (Sigma-Aldrich), and 100 U/ml penicillin-streptomycin. Adenocarcinoma-derived cell lines ESO26, ESO51 (both established previously; Boonstra et al., 2010), OE19, OE33, FLO-1, SK-GT-4, OACP4, KYAE-1, and lymph node metastasis-derived cell line OACM5.1 (from W. Dinjens, Erasmus

Medical Center Cancer Institute, Rotterdam, Netherlands) were grown in RPMI 1640 or in RPMI 1640–Ham's F12 (Kyae-1 cell line) supplemented with 10% FBS and 100 U/ml penicillin-streptomycin. The ESO51 cell line was derived from the tumor in case 8 from cohort 3 (Table S1). All cell lines have been recently validated (Boonstra et al., 2010). As standards of comparison for normal cells, we used hTERT normal esophageal epithelial cells (EPC2; from S. Godinho, Barts Cancer Institute, London, England, UK) as well as a common experimentally used nontransformed hTERT cell line derived from normal human RPE1. hTERT-ECP2 was grown in keratinocyte-serum-free medium with glutamine supplemented with EGF, BPE (Gibco), and 100 U/ml penicillin-streptomycin (Harada et al., 2003), and hTERT-RPE1 cells were grown in DMEM-F12 (Gibco) supplemented with sodium bicarbonate, 10% FBS, and 100 U/ml penicillin-streptomycin. All cells were grown at 37°C in a 5% CO<sub>2</sub> atmosphere and tested for the presence of mycoplasma.

### IF microscopy

#### Tissue samples

From each FFPE block, 3- $\mu\text{m}$ -thick tissue sections were transferred to positively charged glass slides and oven dried (70°C) for at least 1 h. Sections were then deparaffinized in xylene, placed in 100% ethanol, treated with 2% hydrogen peroxide in methanol solution for 10 min to block the endogenous peroxidase, and then washed in distilled water. Antigen retrieval was done in a pressure cooker in a 0.01-M sodium citrate-buffered solution, pH 6, for 6 min followed by incubation with a blocking buffer (TBS with 5% BSA) for 10 min at RT. Slides were then incubated with primary antibodies diluted in Bond primary antibody diluent (Leica Microsystems) with background-reducing components for 1 h at RT followed by washes in TBS before incubation with secondary antibodies for 30 min at 37°C. Slides were then washed extensively with TBS, dehydrated through gradient alcohols, and mounted in Vectashield with DAPI for DNA staining (Vector Laboratories).

#### Cell lines

Cells were grown on coverslips and were fixed with ice-cold methanol at –20°C for 10 min. Standard IF procedures involved blocking (30 min) and antibody incubations (overnight at 4°C for 1 h at RT) in PBS with 10% FBS, and washes were performed in PBS. Coverslips were mounted on glass slides in Vectashield with DAPI (Vector Laboratories). For DNA content analysis by IF, coverslips were incubated for 10 min in PBS with 1  $\mu\text{g}/\text{ml}$  Hoechst 33342 (Invitrogen) before being mounted in Vectashield (Vector Laboratories).

#### Image acquisition

Images were obtained at RT using a Ti-E inverted microscope (Nikon) with a Plan Apochromat VC 100 $\times$  1.40 NA oil objective, an ORCA ER2 charge-coupled device camera (Hamamatsu Photonics), and Nikon software or with an Eclipse Ti-E (Nikon) microscope with a Plan Apochromat 100 $\times$  1.49 NA oil objective, an Evolve electron-multiplying charge-coupled device camera (Photometrics), and MetaMorph software (Molecular Devices). Images were acquired as a z series (0.2- $\mu\text{m}$  z interval) and are

presented as maximum-intensity projections. Images were prepared using Photoshop (Adobe) and ImageJ (National Institutes of Health).

### Antibodies

Primary antibodies used were against glutamylated tubulin (1:800 [tissue sections] and 1:500 [cell lines]; mouse; GT335; AdipoGen), pericentrin (1:250; rabbit; ab4448; Abcam), centrin (1:500; rabbit; N-17; Santa Cruz Biotechnology, Inc.), centrin (1:500; mouse; 20H5; EMD Millipore), A647-conjugated centrin (1:500; mouse; 20H5; EMD Millipore),  $\gamma$ -tubulin (1:500; mouse; GTU88; Sigma-Aldrich),  $\alpha$ -tubulin (1:50; rat; YL1/2; AbD Serotec), p53 (1:100; mouse; DO-1; EMD Millipore), E-cadherin (1:30; rabbit; Cell Signaling Technology), and CP110 (1:250; rabbit; Jiang et al., 2012). The secondary antibodies FITC, Cy5, and rhodamine red (1:50 [tissue sections] and 1:200 [cell lines]; Jackson ImmunoResearch Laboratories, Inc.) as well as Alexa Fluor 488 and 647 (1:500 [cell lines]; Thermo Fisher Scientific) were also used.

### Centrosome/centriole number and DNA content analysis by IF Tissue samples

We used two markers that have robust staining in paraffin-embedded samples and that label the two structural components of the centrosome: the centrioles (marked by glutamylated tubulin [GT335]) and the PCM (marked by pericentrin). Centriole number was assessed by GT335 when it colocalized with pericentrin, thus identifying centrosomes. To achieve good staining and resolution at the cellular level, we used thin tissue samples (3  $\mu$ m thick, as normally used in the clinic). Immunostaining of centrosomes was judged satisfactory when it was detected in the adjacent epithelium. The analysis was done taking into consideration the limitations derived from the specificities of working in FFPE samples: cellular truncation and cell overlapping. We first tested our accuracy of counting centrioles using GT335 marker with or without a costaining with a membrane marker (E-cadherin) and found that the background of GT335 staining was sufficient to distinguish cell limits and that the results obtained were similar. The counts were performed by going through all the z series acquired (see IF microscopy section) covering the whole depth of the section to assess the transversal and sagittal plans of each cell, thus identifying the transition to adjacent cells. Cells whose limits could not be clearly distinguished as well as cells overlapping with neighboring cells were not considered. To test for the occurrence of undercounting and overcounting related to the usage of histological sections, we did an extensive analysis in our standards of comparison for normal cells (14 ileum and 14 squamous) that were cut at the same thickness as all the other samples. Given that this analysis was performed in typically well-differentiated areas (i.e., not proliferative), the number of centrosomes expected per cell was one (with two centrioles). Whereas we detected an expected undercounting (cells with 0 centrioles), we never detected an overcounting (cells with more than two centrioles), suggesting that the method used to distinguish cell limits was robust. In each case, at least 200 countable cells with centrosomes were examined. Depending on the cell cycle stage, a cell either has one centrosome with two centrioles (G1) or two centrosomes with two centrioles each (S, G2, and M;

Bettencourt-Dias et al., 2011). Because we did not use a cell cycle stage marker, only cells with more than four centrioles were considered to contain an abnormal centriole number content (centriole amplification).

### Cell lines

Centrioles were considered when paired signals of two centriole markers (GT335, centrin, or CP110) were observed or when a centriole marker (centrin) colocalized with a PCM marker ( $\gamma$ -tubulin). For cell-by-cell centriole number and DNA content analysis in mitotic cells, sum projections of DNA staining (Hoechst) were used to determine total intensity of signal as measured by ImageJ software (National Institutes of Health). Total intensity was corrected according to the background intensity signal: corrected total cell fluorescence = integrated density - (area of selected cell  $\times$  mean fluorescence of background readings). The number of cells and samples analyzed, number of experiments performed, and statistical analyses are detailed in the figure legends.

### DNA extraction and p53 next-generation sequencing (NGS)

FFPE tissue sections (5  $\mu$ m) were deparaffinized and counterstained with H&E. Metaplasia- and dysplasia-enriched areas were microdissected with a needle under pathologist's guidance. Total DNA was extracted with GeneRead DNA FFPE kit (QIAGEN) according to the manufacturer's instructions with a slight modification: proteinase K cell lysis at 56°C was performed overnight. DNA was eluted in 20  $\mu$ l of elution buffer. To evaluate DNA concentration and integrity, DNA isolated from each sample was quantified in TapeStation 2200 using the Genomic DNA ScreenTape (Agilent Technologies). Because of the small amounts of extracted DNA from each sample area, DNA was precipitated according to the sodium acetate precipitation of small nuclei acids protocol (Thermo Fisher Scientific). Genomic DNA libraries were prepared using the Ion Ampliseq Library kit (2.0) as well as the community panel Ion Ampliseq TP53 and quantified by quantitative PCR with the Ion Library Quantification kit (Thermo Fisher Scientific). The emulsion PCR of amplified libraries was performed using Ion Chef (Thermo Fisher Scientific). Sequencing runs were performed with Ion personal machine using 316 Chips (Thermo Fisher Scientific) aiming for a mean sequencing depth coverage of 500 $\times$ . With the exception of one sample where the amount of DNA was too low for robust analysis, we were able to sequence all coding exons of p53 by NGS in all paired samples.

### Analysis of p53 by IHC

Analysis was performed as currently used to assess p53 in morphological lesions using tissue samples. Staining of p53 (1:150; mouse; DO-7; Cell Marque) was performed on either a fully automated IHC BOND III system (Leica Biosystems) using ERI solution (15 min) for antigen retrieval and Novocastra bond polymer refine detection or on a Ventana Benchmark Ultra (Roche) using the CC1 solution (24 min) for antigen retrieval and an OptiView DAB IHC detection kit (Ventana). An expert pathologist qualitatively evaluated p53 immunostaining as WT, positive, or negative. WT expression: weak positivity similar to the observed in the normal native epithelium (internal control). Positive expression: the intensity of staining was graded as weak, moderate, or

intense compared with the native epithelium and as focal or diffuse according to the amount of positive cells (<10% vs. >10%). Negative expression: complete absence or only occasional scattered positive cells within a context of WT staining (metaplasia or native epithelium).

#### RNAi, transfection, and drug treatment

Endogenous *TP53* was depleted using siRNA oligonucleotides (5'-GGGAGTTGCAAGTCTCTG-3'; Sigma-Aldrich) targeting the 3' UTR region. The *TP53* gene was alternatively depleted using other siRNA oligonucleotides: *TP53*<sup>1</sup> (sc-29435; Santa Cruz Biotechnology, Inc.) or *TP53*<sup>2</sup> (5'-GACTCCAGTGGTAATCTAC-3'; Sigma-Aldrich; same sequence as in BAR-T-pSUPER-p53RNAi cell line [Brummelkamp et al., 2002]). Luciferase (*GL2*) siRNA (5'-CGTACGGGAATACTCGA-3'; Takara Bio Inc.) was used as a control. Cells were transfected with 50 nM siRNA for 72 h using Lipofectamine RNAiMAX (Thermo Fisher Scientific). For S phase arrest, 16 h after siRNA treatment, cells were treated with 4 mM hydroxyurea (Sigma-Aldrich) for 48 h. Transient plasmid transfections were performed with Lipofectamine LTX (Invitrogen) according to the manufacturer's instructions 16 h after siRNA transfection and were analyzed after 48 h. p53 constructs were obtained from Addgene (Baker et al., 1990).

#### Cell lysis, SDS-PAGE, and Western blotting (WB)

Cells were harvested and pelleted before snap freezing in liquid nitrogen. Cell lysates were prepared by resuspending pellets in lysis buffer (50 mM Hepes, pH 7.4, 100 mM KCl, 1 mM EGTA, 1 mM MgCl<sub>2</sub>, 10% glycerol, 0.05% NP-40, 1× protease inhibitor cocktail, and 1× phosphatase inhibitor cocktail) for 10 min on ice. Lysates were then centrifuged for 10 min at 14,000 rpm at 4°C, and protein concentration of the cleared supernatant was determined by Bradford assay. Laemmli buffer was added to the samples to 1× and then boiled at 99°C for 5 min before analysis on polyacrylamide gels. Standard WB procedures involved blocking in TBS supplemented with 5% milk powder and 1% milk powder in TBS-T (0.1% Tween-20 in TBS) for antibody incubations, and washes were performed in TBS-T. Primary antibodies were against p53 (1:1,000; mouse) and GAPDH (1:1,000; rabbit; 14C10; Cell Signaling Technology). IRDye secondary antibodies were used at 1:10,000 and were purchased from Odyssey and LI-COR Biosciences.

#### Cell cycle phase distribution and DNA content analysis by flow cytometry

Cells were harvested, pelleted, and washed in 1× PBS before being fixed in 70% ice-cold ethanol and kept on ice for 30 min. After washes with 1× PBS, cells were resuspended in 1× PBS with 100 µg/ml RNase A (QIAGEN) and 100 µg/ml propidium iodide (Sigma-Aldrich) and incubated at 37°C for 30 min in the dark. Cells were then analyzed with FACScan (BD).

#### Online supplemental material

Fig. S1 shows analysis of centriole numbers in patient samples. Fig. S2 shows analysis of p53 status in patient samples by IHC. Fig. S3 shows centriole number and ploidy in cell lines. Table S1 shows centriole number analysis in paraffin-embedded tissue.

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Table S2 shows analysis of p53 status. Table S3 shows cell line information and centriole analysis.

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Authors contributions: C.A.M. Lopes and M. Mesquita designed and performed experiments, analyzed and interpreted data, and wrote the manuscript. A.I. Cunha, S. Carapeta, C. Laranjeira, and A.E. Pinto performed experiments. J. Cardoso designed and performed experiments and analyzed and interpreted data. J.B. Pereira-Leal discussed experimental design. A. Dias-Pereira discussed experimental design and edited the manuscript. M. Bettencourt-Dias and P. Chaves discussed experimental design, interpreted and discussed the data, and edited the manuscript.

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**CHAPTER 4:**  
**General Discussion**



As of today, management of Barrett's esophagus disease continues to be a real challenge for medical societies.[251] Despite the tremendous advances towards the understanding of BE pathogenesis and carcinogenesis, the mechanisms underlying BE malignant progression remain ill-defined and somewhat puzzling. This translates into the lack of biomarkers guiding clinical decisions regarding BE diagnosis, prognosis and treatment.

## **4.1 Cyr61 and TAZ are early predictors of BE progression: “a light at the end of the tunnel”**

The paradigm in BE surveillance is that the vast majority of the patients will not develop cancer. Nevertheless, for those that will progress the consequences could be fatal if not detected at an early stage. As a result, all patients undergo periodic endoscopies with biopsies, even if to most of these patients this will prove to be an excessive procedure. The surveillance of these patients is therefore not only problematic but also highly questionable, and so the assessment of the magnitude of cancer risk in BE patients has important clinical and economic impact. Notwithstanding all the efforts in biomarkers discovery, current practice has been hampered by the lack of tools able to predict which BE patients are at increased risk of progression. Identification of early and objective biomarkers that enable BE risk stratification would direct endoscopy surveillance to high-risk patients to prevent EA, would reduce health care costs, and ultimately improve BE patient's quality of life.

In this part of the project, we set out to identify early molecular biomarkers predictive of BE progression to malignancy that could be easily translated to the clinical setting to identify the BE patients with a higher risk of cancer development. By doing this, I also aimed to contribute to a better understanding of BE disease through the investigation of novel pathways that could be involved in BE neoplastic transformation.

### **4.1.1 “Hit the mark” in biomarkers discovery: old data, new look, and stringent criteria**

We anticipated that based on gene expression levels, BE patients could be stratified as having a high or low risk of progression to cancer. We applied an innovative bioinformatics framework to public gene transcriptomics datasets to directly compare never-dysplastic BE to BE adjacent to EA (see page 60, Fig1). Merging distinct and heterogeneous datasets could originate noisy predictions. So, *in silico* strategy consisted in using a differential expression analysis approach to search for genes that are differently expressed between the two groups. The list of candidate genes obtained was further submitted to a barcode analysis against a database of human gene expression patterns to binarize the expression of each gene (expressed vs. not expressed), which further restricted the selected candidate genes. The expression barcodes obtained are very

robust against random sources of noise because the cutoffs values are calculated using as reference large amounts of annotated public data. As a final step to select the candidate genes, the output of this pipeline was submitted to a manual literature curation in which we use knowledge-driven biomarker prioritization criteria considering that filtered genes must have biological functions linked to functions potentially relevant for BE malignant progression and have previously been associated with cancer progression to other tumors. This approach allowed trimming de candidates to the two most significant ones. This discovery pipeline allowed us to identify: i) genes that are differentially expressed in BE between progressors and non-progressors; ii) an expression profile associated with BE malignant transformation; and iii) the most significant genes among the over-expressed candidates, the CYR61 and TAZ genes (see page 141, Fig S1).

We then designed a retrospective case-control study using a stringent set of criteria (discussed below) to select a strong validation cohort of patients and the two candidates were validated using to complementary approaches: qRT-PCR and IHC. Although qRT-PCR is a highly sensitive and specific method already validated for diagnostic purposes in FFPE samples, it involves the use of specific equipment and technical expertise that is not widely available in all pathology laboratories. Another restraining factor is the amount of sample needed to do this technique considering that biopsies have a limited quantity of material available. Furthermore, BE areas are often intermingled with squamous epithelium being necessary to needle micro dissect BE for RNA extraction, which is technical demanding and not practical in a daily basis. On the other hand, IHC is a method not limited by the quantity of material and allows the evaluation of protein expression derived from molecular abnormalities in intact histological morphology. It is already used for decades as an adjunct for diagnosis, prognosis, and therapeutics, involving mastery in histopathology coupled with pathobiology that constitutes the expertise of anatomic pathology practice. Given the low costs, low turnaround time and easily applicability of this technique, IHC could be considered ideal as a tool to work in FFPE samples that are the base for morphologic diagnosis and surveillance of BE disease. For these reasons, IHC biomarkers have advantages and are more easily applicable when compared to molecular biomarkers. All in all, the strategy followed in this study can be considered unique and the first, to our knowledge, to overcome several limitations of previous studies and meet several requirements acknowledged as imperative for early predictive biomarkers discovery.

Validation with qPCR and IHC not only confirmed the in-silico predictions, but it also revealed that CYR61 and TAZ are upregulated and overexpressed in non-dysplastic BE index biopsies from progressors years before the development of HGD/EA (see page 62, Fig2). Although both qPCR and IHC data independently showed a significant difference between progressors and non-progressors from the index biopsies to the second timepoint, we did not observe a clear correlation between the results of both methodologies within the same patient. This could be explained by inherent differences between qPCR and IHC. While qPCR quantifies mRNA levels and is not observer dependent, IHC evaluates protein expression levels qualitatively, which

could introduce some inter-observer bias. Moreover, whereas for the qPCR analysis the sample was enriched by microdissection, the assessment of IHC staining was done by visual selection of BE areas. Nevertheless, and despite these differences, both CYR61 and TAZ were validated as risk stratification biomarkers in FFPE samples using IHC, a practical methodology with low costs. Indeed, the specific and interpretable CYR61 and TAZ immunostaining obtained allowed us to establish a qualitative scoring system. Moreover, given that both CYR61 and TAZ overexpression levels appeared to be dispersed and not focal, we found that their analysis was not dependent on biopsy sampling. This makes this interpretation easier in the clinical setting since at non-dysplastic BE stage all the available samples are biopsies. The possibility of assessing these markers using such practical methodology makes CYR61 and TAZ two biomarkers with great promise of clinical utility. This constitutes a great advantage in comparison to the great majority of previous studies in which biomarkers research was done in fresh frozen biopsies specimens that are not normally collected for diagnostic purposes, and are therefore not a practical and readily available option outside the academic and research centers.[206, 249, 365-368].

The selection criteria used to identify BE patients for inclusion in validation cohorts is a key factor in biomarkers research and it has been recognized as suboptimal and with several flaws in the majority of studies centered in finding markers of neoplastic progression in BE.[364] The rigorous and strict selection criteria used in our study allowed us to overcome several limitations identified in previous studies. First, and despite the small number of cases derived from the recognized low rates of cancer progression among BE patients, the use of index biopsy samples that tell the story about the molecular events occurring in BE years before the appearance of dysplasia makes this a rare and precious cohort that can be considered determinant in finding early predictive biomarkers. This contrasts with some of the first published biomarkers associated with a higher risk of progression that were discovered in BE from patients with dysplasia or EA and therefore in a time point where neoplasia is already established, which is not ideal if the goal is to identify early biomarkers able to predict cancer development.[369-372] In that context it is difficult, or even impossible, to demonstrate that these molecular alterations in BE really precede tumor initiation and are not the result of a cancer field effect, a phenomena already identified in non-cancer tissues that are adjacent to neoplasias and also have already been described in BE.[373]

Trough the evaluation of CYR61 and TAZ levels in non-dysplastic BE-index biopsies from progressors and non-progressors by qPCR we could determine that upregulation of these proteins is an early molecular alteration in patients that latter on will progress to cancer and are not a cancer field effect. Furthermore, and despite the small number of progressors, this cohort provided reproducibility and accuracy while excluding the inter-patient variability obtained when different sets of patients are used in each stage of BE malignant pathway. Second, we ensured that biopsy sampling was done strictly according to Seattle protocol. Not only was the quality of baseline sampling and non-dysplastic BE diagnosis ensured for all patients, but also

the diagnosis of HGD/EA in the progressors group was evaluated by two independent pathologists and confirmed in mucosectomies or esophagectomy specimens. This is in striking contrast with several studies that included in the progressors group patients with a diagnosis of HGD/EA accessed by a single pathologist in a single biopsy collected from only one endoscopy.[206, 365, 366] Considering the challenges and consequent inter-observer variability associated with this diagnosis, it is possible that some of these patients could have been over-diagnosed and thus potentially not real progressors. Third, it was also important to consider a minimum surveillance interval between index BE and HGD/EA diagnosis to exclude or minimize the odds of including patients with prevalent HGD/EA at baseline. When patients that are in follow up are diagnosed with EA at an advanced stage at the time of progression, it is not possible to exclude the existence of prevalent cancer in previous biopsies that was not detected due to sampling errors, and in that sense these cases should not be considered for inclusion in progressors cohorts. In our cohort, all patients included in this cohort had an index biopsy negative for dysplasia and a second biopsy also negative for dysplasia performed at least one year after the index biopsy. So, the surveillance period between BE diagnosis and malignant progression was more than two years for all those patients, with one exception that was 1.5 year and which was not excluded since the stage at diagnosis of progression was the earliest in TNM classification.

To ensure the quality of baseline sampling and diagnosis, our progressors group did not include patients with advanced cancer and for all the TNM grading was T1N0Mx. Our cohort was thus designed using more stringent criteria than previous studies that either did not considered a minimum surveillance interval between the index biopsy and time of progression[249], or only excluded patients with a period inferior to 6 months between these two time points [374, 375]. Additionally, most studies did not exclude patients with advanced EA at the time of progression[206, 365, 366, 374, 375] and none, to this date, have used as a selection criterion the quality of biopsy baseline sampling [206, 249, 365-368, 374, 375]. Finally, another point that we considered relevant, and that was not taken in account in some prior studies, was to differentiate BE from LGD in both progressors and non-progressors groups.[367, 368] Here, we excluded patients with LGD at baseline biopsy from the study. BE and LGD are different biological entities and constitute two different steps in BE malignant pathway. In fact, patients with LGD have a significantly higher risk of progression than patients with non-dysplastic BE, and therefore should not be included together since this will change the outcomes in biomarkers validation.[364]

In the end, and as in the majority of previous BE biomarker studies, we were not able to overcome the challenge of having a large amount of progressors. Despite the 30 years of existence of the Instituto Português de Oncologia Francisco Gentil (IPOFG) surveillance program with a cohort of 331 non-dysplastic BE patients, we were only able to select 9 patients with index samples negative for dysplasia and with follow-up samples of progression to HGD/EA during surveillance. We were not able to obtain samples from other national and

international hospitals that strictly accomplish our inclusion criteria. Indeed, considering the above limitations and compared with the several international cohorts reviewed by the British Society of Gastroenterology guidelines our cohort is quite representative.[10] Still, we recognized that greater sample numbers are needed in future studies to further validate CYR61 and TAZ as predictive biomarkers. Moreover, since upregulation of these markers was only determined by assessing its levels in progressors versus non-progressors, it will also be important in the future to establish a cutoff value for their expression levels that can clearly detect the patients with an increased risk of malignant progression. Recently, a large community-based case-control, the Amsterdam ReBus progressor cohort, was designed to overcome the challenge of inadequate sample sizes and to constitute the starting point for future biomarker validation studies[364], thus opening the opportunity for future collaborations. The ultimate goal would be to organize a prospective study in which these two markers could be integrated in a larger panel (with other molecular biomarkers and/or clinical risk factors) to assess cancer risk in BE patients.

Taken together, our results support that CYR61 and TAZ are promising early biomarkers with predictive value that could be supervised right from the beginning, in non-dysplastic BE index biopsies, to distinguish which BE patients have a higher risk of progression to dysplasia/cancer. Importantly, our work emphasizes that these molecular alterations can be identified using current methodology that is accessible in the clinical setting. This provides the ideal scenario to revolutionize the paradigm in BE surveillance and management towards a swift from curative to preventive medicine, opening the opportunity to objectively assess the individual cancer risk in each BE patient and to act before malignant progression. With the aid of early biomarkers such as the ones identified in this study it will be possible to decide between early ablation for high-risk patients (non-dysplastic BE with an abnormal molecular profile) and extended surveillance intervals or even exclusion from surveillance for those with low risk BE.

#### **4.1.2 Cyr61 and TAZ as clues to unravel novel mechanisms operating in BE progression: “one more piece of the puzzle”**

By highlighting that CYR61 and TAZ overexpression are very early events in patients progressing to cancer, our study opened new perspectives about the comprehension of BE disease, revealing that molecular alterations prone for malignant progression can occur at very early stages in the metaplastic process. We therefore investigated the functional context of these markers in BE carcinogenesis.

Both CYR61 and TAZ were already associated with tumorigenesis and cancer progression in several other neoplasias.[376, 377] Cysteine-rich angiogenic inducer 61 (CYR61) is an extracellular matrix protein that belongs to the CCN (CYR61, CGTF and NOV) family, a group of secreted proteins that function as a central hub for stromal-epithelial communication[378], thereby modulating a multitude of biological processes such as cellular adhesion, migration, differentiation, proliferation, survival, extracellular matrix synthesis and angiogenesis.[379-381]

Accordingly, CYR61 emerged as a multifunctional protein that plays crucial roles in skeletal and cardiovascular development during embryonic stage, being also essential in the regulation of several processes in adulthood such as wound healing, tissue repair, inflammation, fibrogenesis and mechanical stress response.[376, 378, 382] CYR61 overexpression was already identified in a broad range of cancers and clinical analysis revealed that CYR61 levels significantly correlate with tumor size, stage and grade, recurrence, lymph node involvement and distant metastasis, as it was shown for gliomas [383], osteosarcoma [384, 385], breast [386, 387], gastric [388], ovarian [389, 390] and squamous cell carcinomas[391], among others.[376] Importantly, CYR61 was proven to have predictive power being associated with worst prognosis and poor overall survival in these tumors.[383, 385, 387-389, 391] Considering the molecular mechanism by which CYR61 enhances the cancerogenesis process, several studies have proposed that CYR61 plays a key role in the induction of genes that promote mesenchymal transformation of epithelial cells, a process called epithelial-to mesenchymal transition (EMT) and thereby promoting cell migration and invasion abilities, and tumor metastasis.[392-394] Together, these works provided evidences that favor CYR61 as an important tumor-promoting factor with a key role in cancer progression. In accordance, experimental data has shown that CYR61 overexpression enhances tumor growth and progression in breast cancer [395] and osteosarcoma tumors [396] by promoting invasiveness *in vitro* and inducing tumorigenesis *in vivo*. In osteosarcomas, it was already demonstrated that CYR61 silencing reduces *in vitro* osteosarcoma cell invasion and migration and decreases tumor vascular density, hampering the dissemination process and strongly reducing *in vivo* lung metastasis.[396, 397] In ovarian carcinomas, CYR61 stimulates cell proliferation and could be involved in ovarian carcinogenesis by promoting survival and resistance to apoptosis.[398]

Similar to CYR61, elevated TAZ expression has also been implicated in the malignant phenotype of a broad range of neoplasias, such as melanoma, glioblastoma, squamous cell carcinomas, breast, lung and colon cancers.[399, 400] TAZ, also known by its gene name WWTR1, is a transcriptional coactivator protein with a PDZ-binding motif that functions as a major downstream effector of the Hippo tumor suppressor pathway, a signaling cascade with key regulatory functions in tissue growth and organ size control during development and in tissue homeostasis, repair and regeneration during postnatal life. [399, 401] TAZ activity is also essential for self-renewal and growth of stem cells and tissue-specific progenitor cells.[402, 403] TAZ functions as an oncogenic protein during tumorigenesis regulating several cellular processes that are relevant for cancer initiation, progression and metastasis. In glioblastoma TAZ overexpression drives mesenchymal differentiation, which correlates with poor overall survival and treatment resistance.[404] In breast cancer, TAZ overexpression and increased activity: correlates with high grade and metastatic breast cancer, promoting proliferation, migration, invasion and EMT in cancer cells [399, 405]; is required to sustain self-renewal and tumor-initiating abilities in breast cancer stem cell population; and confers stem cell features to non-cancer stem cells.[406] Furthermore, overexpression of TAZ correlates with a higher proliferation status, invasion and metastatic capacity of colon cancer cells [407] and associates

with more frequent metastasis and therapeutic resistance in lung cancer.[408, 409] In the clinical setting, just like CYR61, TAZ overexpression proved to be useful as an independent predictor of poor prognosis being also associated with worse overall survival and poor patient outcome in breast [410], colorectal [407] and lung [411] cancers.

Collectively, this large body of work demonstrates that CYR61 and TAZ are important players in multiple biologic processes, at both cellular and tissue level, that are crucial for cancer development. So, considering the known functions of CYR61 and TAZ in physiologic processes as well as its involvement in tumorigenesis, deregulation of these two genes could plausibly contribute to the malignant phenotype of BE cells. Although the BE metaplastic process in the esophageal mucosa is considered an adaptive response to chronic gastro-esophageal reflux (and, in that sense, more resistant to that insult), it is known that in this context of chronic injury due to recurrent reflux/healing of BE mucosa episodes, and enhanced by an inflammatory response, some BE cells acquire abnormal physiologic capacities and transform into cancer cells. [2, 3, 114] Furthermore, within this continuous process of regeneration, BE malignant progression to EA is characterized the occurrence of several molecular and cellular events, including increased proliferation, altered cell adhesion, inhibition of apoptosis, enhanced angiogenesis, invasion and metastatic capacities[2, 143], all processes that were already described to be altered in consequence of CYR61 and TAZ overexpression in other models of cancer.

Notably, previous evidences already demonstrated the involvement of CYR61 in the very beginning of the BE metaplastic process. Indeed, it was shown that CYR61 up-regulation occurs as an early response of esophageal epithelial cells to low pH conditions, functioning as a key player in acid-driven esophageal epithelial transformation in BE pathogenesis.[412, 413] Moreover, in the esophageal context, previous work indicates that CYR61 may act as an inducer of tumorigenesis. While CYR61 was found overexpressed in esophageal squamous cell carcinomas (ESCC) enhancing proliferation, migration and invasiveness capacities in ESCC cell lines[414, 415]; in BE tumorigenesis CYR61 up-regulation was present in BE samples adjacent to dysplasia and EA compared to adjacent squamous epithelium and to BE from patients with no signs of malignant progression.[416] This was the first study suggesting that CYR61 overexpression could be an early event in BE cancer pathway. However, the fact that CYR61 up-regulation was described in BE samples from a time point where dysplasia/EA was already developed did not allow the evaluation of CYR61 as a predictive marker to assess cancer risk in BE patients before malignant progression. In contrast to CYR61, TAZ overexpression has never been linked before with BE pathogenesis and cancerigenesis.

Here, we demonstrate for the first time that both CYR61 and TAZ are upregulated in BE years before malignant progression to dysplasia/EA. This reveals that at very early stages in BE, specific signaling pathways, where these and likely other functionally related genes operate, could be deregulated and promoting alterations in cell properties that, either directly or by interaction with stromal tissue, will facilitate tumor initiating features, priming BE for

cancerigenesis. Surprisingly, we noted that transcriptional levels of CYR61 and of TAZ (though to a lesser degree in the latter) slightly decreased from BE in the index biopsies to BE adjacent to dysplasia/EA. While we do not have a mechanistic explanation for this observation, we conceive that CYR61 and TAZ could be more relevant in neoplastic initiation than in progression. In fact, this trend does not seem to be exclusive of BE malignant pathway. High CYR61 expression in localized disease and early neoplastic stages and decreasing in advanced and metastatic cancer was already previously described in prostate [380] and colorectal [417] cancers. Also in hepatocellular carcinoma, a higher expression of CYR61 was documented in hepatic cirrhosis tissue adjacent to cancer, considered a precancerous lesion, than in neoplastic tissue.[418] Interestingly, a clinical study also demonstrated that CYR61 overexpression was significantly related with reduced overall survival for patients in early ESCC cancer stages functioning as an independent prognostic factor for those patients. In contrast, it did not affect the overall survival in patients with late stage cancer, suggesting that CYR61 could be more relevant at the early stages of ESCC cancer development and could potentially be used as an early tumor biomarker able to identify high-risk patients.[419]

Together these evidences support that CYR61 deregulation may be more relevant at early stages of tumor development, at least in these cancer models, and reinforce that CYR61 could function as an early biomarker to risk stratify patients. Furthermore, given that CYR61 is a secreted extracellular matrix protein, this study opens the perspective of using CYR61 as a potential serum biomarker to stratify cancer risk in BE patients with the simple collection of blood samples, allowing for less invasive follow-up exams, as it was already demonstrated for colorectal cancer[420].

#### **4.1.3 Epithelial-to-mesenchymal transition (EMT): “a new rising path in BE cancerigenesis”**

Notably, not only have both CYR61 and TAZ been found to play key roles in epithelial-to-mesenchymal transition (EMT) and stemness, but they are also mechanistically linked: CYR61 is a downstream transcriptional target of TAZ.[421] Moreover, besides CYR61 and TAZ, our *in silico* analysis also uncovered that EMT and stemness-related genes were also significantly over-represented in BE associated with progression. EMT is a natural occurring developmental program in embryogenesis that is also relevant for adult tissue homeostasis, as a physiologic response in tissue regeneration and wound healing, and pathological conditions such as fibrosis and cancer. [422] In the context of neoplasias, cancer cells undergoing EMT suppress their epithelial features and acquire a mesenchymal-like phenotype that allows them to adopt a migratory and invasive behavior during cancer progression.[423, 424] These findings prompted us to hypothesize that mechanisms operating in EMT could be activated early in BE malignant pathway. We therefore assessed if core EMT markers were also differentially expressed early in BE progression.

As cancer cells undergo EMT, they suffer profound phenotypic changes characterized by the progressive loss of cell-to-cell junctions, apical-basal polarity and acquisition of front to back polarity and enhanced cell-matrix interactions.[425] This shift in differentiation is mediated by the activation of several transcription factors (e.g. Slug, Snail, Twist, ZEB1) that trigger the concomitant downregulation and loss of epithelial markers, including the cell adhesion protein E-cadherin, considered a hallmark of EMT, followed by upregulation and gain of expression of mesenchymal markers, like N-cadherin and vimentin.[422, 426] In agreement with the activation of an EMT program early in BE, our *in silico* analysis showed that TWIST1 was significantly overexpressed in BE associated with progression and, notably, we were able to validate its up-regulation as early as in the BE index biopsies from patients that progressed later on (see page 65, Fig 3A). Furthermore, we also detected focal loss of E-cadherin protein expression in the same samples (see page 65, Fig 3B), an event usually observed later on in malignant progression, being normally associated with invasive cancer cells.[427] These findings suggest that, in striking contrast with BE of patients that did not progress, changes in cellular adhesion and/or extracellular matrix are occurring very early in high-risk BE, and that aggressive mechanisms, typical of advanced metastatic cancer stages, are activated early in non-malignant BE cells of at risk patients. Strikingly, these typical features of aggressive behavior in the context of cancer occur in BE progressors in a time point far earlier than we anticipated, reinforcing once more the concept that it is possible at very early stages to distinguish BE that is prone for later development of dysplasia/EA from low risk BE by the identification of the cellular events that are triggering BE malignant transformation.

The contribution of EMT in cancer has long been the focus of intense research and it was already associated with tumor initiation, progression, invasion and metastasis.[423, 428] Accumulating evidence has revealed that EMT confers cancer cells with stem-like properties, enabling them to have tumor-initiating and self-renew potential, thus enhancing tumorigenesis.[429] Indeed, the early occurrence of *in vivo* EMT in the absence of any histological signs of invasive cancer was previously demonstrated in a mouse model of pancreatic cancer. In that study, EMT was identified in pre-invasive pancreatic lesions and areas of acinar-to-ductal metaplasia, and these cells presenting a mesenchymal phenotype and stem cell features were able to invade, enter in the bloodstream and seed in the liver before the establishment of pancreatic cancer, a process that was enhanced in the background of inflammation.[430]

Although the EMT program could be activated in both wound healing and cancer, at present, it is currently unknown how EMT could contribute to early stages of BE malignant transformation and progression and if only some EMT-related pathways are activated. Still, EMT occurrence was already described in early stages of EA [431] and in an esophageal squamous epithelial cell line [413] in which acid-induced CYR61 up-regulation mediates E-cadherin loss and promotes expression of the N-cadherin mesenchymal protein, typical of an EMT phenotype. In addition, a

link between CYR61, TAZ, EMT and cancer progression was already established in lung cancer via the tumor suppressor angiomin. [432]

Future studies are needed to further clarify the CYR61, TAZ and EMT participation in BE pathogenesis and tumorigenesis in order to understand the extent to which these players are contributing to BE malignant progression and why progression only takes place several years after these alterations appearing. An interesting hypothesis that must be considered is that these molecular changes could occur very early but are kept in check by controlling/surveillance mechanisms. Then, later on, upon a “second hit” change, these alterations can now effectively constitute a fitness advantage and contribute to transformation. So, in the end, these cells are the “fuel” that needs the “lighter” to be dangerous. While the involvement of these players needs to be further explored to decipher how they can be exploited to improve BE diagnosis, prognosis and treatment, our study unraveled a novel and potential mechanistic route for BE cancer progression.

## **4.2 Centrosome amplification in BE tumorigenesis: “a clue in the chicken or egg conundrum”**

Centrosome abnormalities and particularly extra centrosomes are common features across different types of solid and hematological tumors, being now recognized as a hallmark of human cancers. [263, 264] Indeed, centrosome defects have already been observed in early pre-invasive stages of some types of neoplasias raising the possibility of their involvement in tumor initiation. [264, 299, 300] Moreover, in most malignancies, centrosome amplification has been correlated with advanced tumor stage, tumor recurrence, metastasis, chemoresistance and poor patient prognosis suggesting a role in cancer progression and aggressiveness as well. [258, 263, 264] Collectively, these findings strongly support the hypothesis that centrosome aberrations are more than simple bystanders and likely contribute to tumorigenesis and highlight the great potential of using centrosome anomalies, together with other clinical parameters, as a prognostic/advanced disease biomarker and thus predict clinical outcome and survival in oncological disease. [263, 264, 270] Importantly, given that centrosomal abnormalities are unique of cancer cells, they constitute an appealing feature for developing targeted therapeutic strategies, that potentially are only harmful for neoplastic cells. [269]

In this part of the project we followed a hypothesis driven approach: in light of these evidences we anticipated that centrosome number defects plausibly constitute an early hit in BE tumorigenesis that could also be present along BE malignant pathway and in that sense may contribute for cancer initiation and progression. This question is clinically relevant because deciphering the incidence of centrosome abnormalities, as well as when and how they arise in BE tumorigenesis, will allow a better understanding of BE biology and may improve its diagnosis, prognosis and treatment. Ultimately, the findings of this study could be extended to other tumor models and help decipher the role of centrosome amplification in human cancer.

#### **4.2.1 A bona-fide method to score centrosomes in human samples: “looking for a needle in a haystack”**

Despite the enormous amount of previous clinical studies already demonstrating that centrosome defects are pervasive in human neoplasias, the timing and mechanisms of centrosome deregulation in human tumorigenesis are still poorly understood and its contribution to cancer remains controversial.[263, 264] Furthermore, whether the incidence of cells with centrosome amplification changes during malignant progression is not known. This limitation stems in part from two main methodological issues that constrain data interpretation. [263]

The first limitation stems from the fact that the majority of studies done in tumor histological specimens scored centrosomes using only antibodies recognizing PCM proteins, such as pericentrin or gamma-tubulin, which give only an indication of alterations in volume, number and shape of those particular PCM components, that do not necessarily reflect a true alteration in centrosomes.[266] PCM proteins could dissociate from the centrioles or could accumulate in microtubules minus end autonomously from the centrioles and form extra acentriolar foci structures.[272] As a result, staining for PCM markers alone, without a co-staining with a centriole marker, makes it impossible to distinguish an increased amount of PCM that could result from assemblies without centrioles from a true increase in centrosome numbers revealed by the presence of extra centrioles. Although aggregates of acentriolar PCM may have a microtubule-nucleating capacity, and function as if they were extra centrosomes, the underlying causal mechanisms for such defects are different and thus it is crucial to be able to discriminate both types of abnormalities. Actually, in the single previous work investigating the presence of centrosome abnormalities during BE carcinogenesis, where the authors used PCM markers alone to do the analysis, they recognized that without doing a double staining with a PCM and centriolar marker they were not able to do an accurate counting of bonafide centrosomes.[433]

The second limitation has to do with the method used to count centrosomes. Previous studies did not do a cell-by-cell analysis throughout tumorigenesis. Instead, they report a continuous distribution of centrosome numbers by counting the number of PCM signals versus nuclei per area in image projections, giving an average of signals per nuclei.[299, 304] Furthermore, several studies established cut-offs to consider a case positive or negative for centrosome defects.[300, 317, 323] However, understanding the incidence of centrosome amplification at the single cell level and the dynamics of this population of cells throughout progression is crucial for deciphering its role in human cancer and, ultimately, impact its use in the clinical setting.

While the use of electron microscopy (EM) would allow overcoming these drawbacks by providing an accurate method to evaluate the ultrastructural details and quantifying centrosome anomalies, it would be very demanding and practically unfeasible for a large number of cells, since it would require thousands of serial sections to score centrosomes and their structural

anomalies in a tumor sample.[272, 289] In fact, the very few studies using electron microscopy to identify the ultrastructural centrosome abnormalities in human tumor samples (e.g. extra centrioles, disrupted centriole structure, overly long centrioles, and excess PCM), do not provide quantitative analyses of the incidence of such defects. [434, 435] Furthermore, to use this methodology it is necessary to have a tumor bank of samples specifically processed to be visualized by EM, which in the particular case of BE disease would take many decades to collect.

Taking into account all these limitations, there is a clear need for better-quality, accurate and feasible methods that would allow the correct evaluation of centrosome number anomalies in human tissue samples, and thus provide a huge improvement to the field. Here, to assess the incidence of centrosome number abnormalities along the sequential stages of BE malignant pathway we first established an accurate and reliable immunofluorescence microscopy-based method to identify bona-fide centrosomes at the single cell level in formalin-fixed paraffin-embedded (FFPE) tissue samples.

For that, we took into consideration the technical demands derived from the specificities of working in FFPE samples. First, it is important to note that, given the cross-linkage of proteins and consequent antigen masking given by the formalin fixation process, not all antibodies are suitable to use in FFPE samples.[436] Despite the use of antigen retrieval to unmask the antigens, not all antibodies achieve a good quality immunolabeling. We therefore first tested several anti-centrosomal antibodies and chose the two markers that have robust staining (i.e. good sensitivity and reproducibility with minimal cross-reactivity and background) in FFPE samples, and that would allow us to identify true centrosomes by labeling the two structural components of the centrosome: the centrioles (marked by glutamylated tubulin, GT335) and the PCM (marked by pericentrin). Centriole number was assessed by GT335 when it colocalized with pericentrin, thus ensuring the scoring of true centrosomes. Immunostaining of centrosomes was judged satisfactory when it was detected in normal cells localized in the adjacent epithelium, like fibroblasts and lymphocytes that function as an internal control.

The centrosome is a tiny cytoplasmic organelle whose centrioles have a size that is close to the limit of resolution of an optical microscope, which makes their scoring an arduous task. Here, we chose immunofluorescence microscopy (IF) as a visualization method. In contrast to brightfield immunohistochemistry (IHC), IF has higher resolution and better performance in multiple labeling since the fluorochrome is directly conjugated with the secondary antibody thus minimizing cross-reactivity. Although IHC could be used to visualize multiple antigens, the overlapping colors of signals that colocalize in the same cellular compartment is not as clear as in IF and may obscure the results. Furthermore, the chromogenic precipitate formed in IHC easily saturates, giving rise to gross signals with limited resolution that restricts quantitative analysis.[437] Here, we used 3-micra-thick tissue sections, as normally used in the clinic, to achieve good staining and resolution at cellular level.

The task of scoring centrosomes/centrioles in a cell-by-cell basis is even more challenging in histological sections due to caveats such as cellular truncation, overlapping of neighboring cells, and the difficulty in identifying the limits of the cells composing the tissues samples. To test the accuracy of counting centrioles on a cell-by-cell basis, we co-stained normal ileum samples for centrioles (GT335) and the membrane marker e-cadherin (see page 167, Fig S1A). With this, we found that the background of GT335 staining, which is visible in the cytoplasm but absent in the cell membrane where e-cadherin was present, was sufficient to define cell boundaries. This allowed us to validate the fidelity of our method of scoring centriole numbers cell by cell without the presence of a membrane marker. Nevertheless, cells whose limits could not be clearly distinguished, as well as cells overlapping with neighboring cells, were excluded from the analysis. To clearly identify the transition between adjacent cells and ensure that all the centrioles present in each cell per section were quantified, the counts were not performed directly down the eyepiece of the microscope, but rather going through the Z series of acquired images, covering the whole depth of the section to perceive the transversal and sagittal plans of each cell. It is important to note that the use of thin 3- $\mu$ m-thick tissue sections will likely results in an undercounting of the full extent of centrosome amplification due to the cell truncation artifact. However, an increase in thickness would result in worst quality staining (i.e. loss of antibody sensitivity and specificity and higher background) and an increase in cell overlap, which would make the quantification of centrosome numbers even more difficult. A good compromise between advantages (e.g. good resolution and staining) and disadvantages (e.g. cell truncation and resulting undercounting) had to be met taking in account these limitations. To assess the occurrence of undercounting and/or overcounting of centrosome numbers as a result of using thin histological sections, we did an extensive analysis using our standards of comparison for normal cells (see description of controls used in section 4.2.2 below). Given that centrosome counting was performed in well-differentiated areas that are not normally proliferative, the expected number of centrosomes per normal cell is one (with two centrioles). As predicted, the presence of some cells with 0 or only 1 centriole confirmed the undercounting of centrosome numbers. In contrast, we never detected an overcounting in any of the controls since we did not find more than 2 centrioles per cell, supporting that the method used to differentiate cell limits was robust and reliable.

In the end, at least 200 cells with centrosomes were scored per sample. However, to obtain this number of countable cells, tissue sections with thousands of cells were analyzed. In biopsies, where the areas are smaller, more than one section was used to ensure enough and different cells were analyzed. While diagnosis guidelines for FISH interpretation in histologic sections recommend counting at least 100 cells, we decided to count twice that amount to increase our method's fidelity.[438] Considering that a healthy cycling cell either has one centrosome with two centrioles (G1) or two centrosomes with two centrioles each (S, G2, and M), depending on the cell cycle stage [289], a cell was considered to have centriole number amplification only when it contained more than four centrioles. Although it is plausible that some cells with three and four centrioles could already represent centrosome amplification if those cells were in G1

stage, the absence of a cell cycle stage marker did not allow us to make any corroborated conclusion about these numbers being normal or an abnormal centriole content in cells, and these were therefore considered as normal. Given this limitation and the necessary use of thin tissue samples as explained before, we are likely underscoring the full extent of centrosome amplification. Nevertheless, and despite all the restraints, we established a meticulous and reliable method for quantifying bona fide centrosomes in human FFPE samples. In fact, the trend in the centrosome amplification profile obtained in a panel of cell lines representing all sequential steps of disease progression (see section 4.2.3) was similar to the one obtained with the tissue samples along the different stages of BE progression, reinforcing and validating the accuracy of the method used in tissue samples. Furthermore, we believe that future studies on centrosome amplification during cancer progression using histological samples will benefit of using a similar methodology.

#### **4.2.2 Centrosome amplification arises before cancer development and is present along BE malignant pathway**

Having established a reliable method to score the incidence of centrosome number abnormalities, we set out to determine when and how centrosome number abnormalities arise in the multistep BE cancerogenesis. As previously highlighted in the framework, BE malignant pathway constitutes an excellent cancer model not only because it allows the analysis of the premalignant condition, the intermediate step between normal tissue and tumor initiation, but also because it provides the unique opportunity to study all sequential stages of the disease within each individual patient, thus reducing the effects of inter-patient variability. By taking into account the advantages of the model, we first selected cohorts of patient samples that would allow us to analyze all stages of BE progression. So, we analyzed metaplasia from patients that did not progressed and metaplasia adjacent to neoplasia, dysplasia (LGD and HGD whenever they were both present, but for simplicity we only refer to it as dysplasia), EA and lymph node metastasis (when present) from the patients with malignant progression. As the cellular origin of BE metaplastic condition remains unknown [162], there is currently a lack of a suitable control for BE studies. The solution we encountered to overcome this gap in knowledge, was to examine both the native squamous epithelium of the esophagus and ileum epithelium as standards of comparison for normal epithelial tissue. The rationale for choosing these two types of tissues as standards of normality was, on one hand, to use the native tissue where BE metaplasia arises – squamous epithelium of the esophagus, and, on the other hand, the tissue that is morphologically similar to BE metaplasia – the ileum epithelium, a simple columnar epithelium composed mainly of columnar (enterocytes) and goblet cells.

Centrosome number analysis through BE progression revealed that: i) centrosome amplification is never detected in both normal linings and metaplasia from patients that had not progressed; ii) centriole amplification arises very early, in metaplasia adjacent to either dysplasia or EA, being present in all subsequent stages of malignant transformation; iii) centriole amplification is present in all tumors of all patients; iv) centriole number per cell is deregulated from early

stages and increased upon progression; v) the small fraction of cells with centrosome amplification significantly expands from metaplasia to dysplasia; and vi) the incidence of centriole amplification is dynamic during progression (see page 79, Fig1C and page 167, FigS1D).

As expected, centrosome number abnormalities were never observed in cells of normal epithelial tissue (native esophagus and ileum) (see page 79, Fig1C), which reinforces that number of centrosomes is tightly regulated in healthy normal cells. Our study also showed that while centrosome amplification was never found in metaplasia cells from biopsies of patients that had not progressed, this was significantly different in patients that evolved to malignancy.

Centrosome amplification was detected very early in the premalignant condition, the stage prior tumor initiation, and it significantly increased from metaplasia to dysplasia, the step before the onset of invasion. Surprisingly, this increase did not consistently accumulate through progression (see page 79, Fig 1C). In fact, our data indicate a tendency of centrosome amplification incidence to decrease in EA, after invasion has taken place, and rising again in lymph node metastasis, which is normally the initial step in cancer spreading. This variable incidence along the progressive stages of BE cancerigenesis suggests that the proportion of cells with centrosome amplification is dynamic. In fact, it was already demonstrated that cancer cell lines have an intrinsic set point for the penetrance of cells with amplified centrosome, reflecting the dynamic nature of those cells.[439]

This variable incidence of centrosome amplification, together with the observation that it is more prominent at specific stages, dysplasia and lymph node metastasis, also suggests that centrosome abnormalities may be differently tolerated and may have different roles throughout tumor progression. Plausibly, the impact of these alterations is context dependent, meaning that tumors could regulate the proportion of cells with extra centrosomes through a dynamic equilibrium between being detrimental or conferring a selective advantage for BE progression at specific stages. Considering that dysplasia precedes the establishment of invasive neoplasia, perhaps centrosome amplification could contribute to the development of invasiveness in this phase of BE progression pathway. In accordance with this, experiments in 3D cultured cells revealed that centrosome amplification leads to an increased migratory and invasive capacity of those cells.[264, 348] Following the same line of thought, the increased incidence of cells with centrosome amplification in lymph node metastasis we detected in vivo could be viewed as an indication that centrosome abnormalities could be important for the process of metastasis. Indeed, the perspective that centrosome defects could contribute to the first steps of metastasis by promoting invasive behaviors has recently emerged. [440] Experimental approaches in 3D culture models demonstrated that cells harboring centrosome aberrations could contribute to metastasis by promoting the invasion and dissemination of cells with oncogenic mutations and metastatic potential through cell-autonomous and non-cell autonomous mechanisms.[348, 350, 351] Importantly, the observation that the non-cell autonomous process triggered by cells with

centrosome defects could enhance an invasive phenotype and dissemination of surrounding cancer cells carrying normal centrosomes, supports the perception that centrosome abnormalities could be advantageous and contribute for cancer development even when they are only present in a subset of cancer cells in the tumor population.[350, 440] Interestingly, our centrosome analysis at the single cell level throughout BE malignant pathway revealed that the population of cells with centrosome amplification was never eliminated or close to 100%. While the fact that this subpopulation of cells is not the most abundant could indicate they represent a less important clone and just a byproduct of BE cancer progression that do not confer a fitness advantage for tumor evolution, the observations that cells with centrosome amplification arise as early as in the premalignant condition, do not disappear along BE malignant pathway, and are more prominent in specific stages suggest that centrosome amplification is not a random consequence and rather a relevant event for BE tumorigenesis. Given its non-cell autonomous effects, centrosome deregulation does not have to be present in a high fraction of cells to have an important impact in tumor progression and may constitute an advantage at the population level by enhancing the fitness of other cancer cell sub-clones. Furthermore, there is growing evidence showing that in addition to genetic heterogeneity, clonal diversity may also dictate the potential of a cancer to adapt and overcome different selective pressures and thus determine the course of malignant progression, drug resistance and recurrence.[441] Indeed, it was already demonstrated that intra-tumor heterogeneity in BE disease has predictive value and positively correlates with a higher risk of BE progression to EA.[442]

Collectively, the observations that centrosome amplification arises before neoplastic transformation, is kept throughout the multistep pathway of cancerigenesis, and that its incidence varies along progression, strongly support our hypothesis that centrosome amplification could be relevant for BE cancer initiation and progression. Future work will be crucial to understand the nature of this relation and how centrosome amplification contributes for BE tumorigenesis. For example, studies with 3D culture cells would provide important clues to clarify why cells with centrosome amplification are selected at dysplasia stage, namely to test if and how they contribute for invasiveness in this cancer model. Furthermore, despite centrosome deregulation being present in only a cell subpopulation, it has potential to be biologically and clinically important given that these cells could establish a positive interaction with other clones and increase the fitness of multiple tumor cell populations [443], influencing BE disease progression and making them appealing therapeutic targets. Future studies will be important to clarify the causes and consequences of this non-genetic heterogeneity and to understand if patients could potentially benefit from including centrosome-related inhibitors to current therapeutic strategies to treat BE cancer.

Importantly, and in addition to contributing to the understanding of BE disease progression, we consider that our work also provided answers that have an important impact on deciphering the role of centrosome deregulation in human tumorigenesis. The analysis of centrosome amplification at the single cell level in this unique human cancer model, with a well-defined

cancer pathway that allows the study of all steps of malignant transformation within the same patient as well as the study of the premalignant condition, the biological stage that precedes tumor initiation, contributed to get further insights about the timing and dynamics of centrosome deregulation along cancer progression. Indeed, our observations suggest that centrosome amplification in humans can contribute to tumor initiation and progression and support the concept that centrosome defects are more than merely passengers in cancer evolution being active players in cancer progression.

#### **4.2.3 Centrosome amplification increases in dysplasia upon loss of p53: “guilty until proven innocent”**

The discovery of the timing and dynamics of centrosome amplification along BE progression prompted us to search for the molecular causes that could underlie these changes. To do this, we first tried to correlate those findings with the well characterized genetic and ploidy changes of BE progression.

Considering the striking expansion of cells with centrosome amplification from metaplasia to dysplasia, we conceived that an important genetic alteration permissive for centrosome numbers alterations possibly occurred at this point. A previous large-scale study reported that p53 mutations are stage specific, being recurrently found in HDG and EA, but rarely in metaplasia, and clearly define the boundaries between metaplasia and dysplasia.[213] Moreover, given that p53 loss was associated with centrosome amplification in several other human cancers [263, 264], we hypothesized that p53 inactivation could be responsible for the increase of cells with extra centrosomes observed in the transition of metaplasia to dysplasia in BE.

To corroborate our hypotheses, we evaluated p53 status in our cohort with metaplasia and dysplasia samples within the same patients (cohort 2), which allowed us to confirm that p53 is indeed first altered in dysplasia, while most metaplasia samples retained WT p53 expression (see page 80, Fig2), favoring our hypothesis that p53 loss may underlie the increased penetrance of centrosome amplification at this stage. To test the consequences of p53 loss in centrosome amplification, we took advantage of a panel of established and validated cell lines representing all sequential steps of BE progression (normal esophageal lining, metaplasia, dysplasia, adenocarcinoma and lymph node metastasis) and whose genomic alterations are well characterized and similar with those found *in vivo* [444, 445]. For example, metaplastic cell lines are diploid and retain WT p53 while dysplastic and cancer cell lines are aneuploid and have lost WT p53 function due to different p53 mutations. Importantly, our study of centrosome amplification profile in these cell lines also revealed a similar trend to the one obtained in patient tissue samples along BE progression namely the absence of centrosome amplification in normal lining cells, the presence of centrosome amplification in cell lines representative of metaplasia and all other subsequent stages, and the increase in the incidence of cells with supernumerary centrioles from metaplasia to dysplasia (see page 80, Fig3B). These findings

support the concept that cell lines maintain the centrosome profile from their tissues of origin and thus validated this panel as a good model to test the molecular alterations underlying the increase in centrosome amplification. So, in cell lines, and consistent with what we observed in vivo, centrosome amplification arises in metaplasia in the background of WT p53, and its incidence significantly increases in dysplasia, where p53 WT function is lost.

Previous studies already demonstrated that while p53 loss *per se* is not sufficient to trigger centrosome number defects in normal human cells, it is required for their survival when they are experimentally induced to gain or lose centrosomes [439, 446-448]. We therefore hypothesized that the underlying small population of cell with extra centrioles present in metaplasia could be normally repressed by WT and functional p53, and so p53 loss at that stage would result in an increase in the incidence of supernumerary centrioles. Indeed, we found that metaplasia cells with centriole amplification, but not the ones with normal centriole numbers, exhibited the typical p53 accumulation in the nucleus that is induced in response to cellular stress and leads to activation of downstream effectors to prevent the expansion of those cells (see page 81, Fig4A) [449]. To test if p53 was indeed preventing the expansion of those cells with extra centrioles we depleted p53 in metaplasia cells and as expected, loss of WT p53 expression resulted in the increase of centriole amplification penetrance to similar levels encountered in dysplasia cell lines (see page 80, Fig4B-D). In addition to study loss of WT function by removing p53 protein (siRNA) we also investigated the effect of p53 missense mutations as they lead to the expression of a full-length protein that not only lose their WT function as may gain an oncogenic function [449] and considering that p53 sequencing of our patient samples revealed not only nonsense and frameshift mutations but also missense mutations. In particular, we studied the role of R175H and R248W as they are among the most frequent hotspot mutation detected in EA as well as in other cancers [213, 450] and since previous evidences already showed that expression of those specific mutants in p53 negative MEFs and in a lung metastasis cell line originate centrosome amplification [451, 452]. Moreover, all three dysplasia cell lines either have a frameshift mutation or the missense mutations R175H and R248W [453] displaying similar levels of centrosome amplification. We found that both residues are essential for p53 keep its WT function and that these mutations exhibit loss-of-function effects in respect to p53 centriole number control in metaplasia since neither of the two mutants was able to hamper the accumulation of cells with centriole amplification in striking contrast with expression of WT p53 protein that rescue the levels of centrosome amplification to the ones observed in metaplasia with intact p53 WT function (see page 82, Fig5B-D).

Furthermore, we also tested if p53 depletion alone would be sufficient to generate centrosome amplification in normal lining cells and this was not verified (see page 169, FigS3 J and K), suggesting that probably are other molecular changes present in metaplasia [213] that are promoting centriole amplification at this stage. The precise role of these mutations at such early stage remains elusive, but possibly could provide a fitness advantage for a clone without leading to malignancy. For example, inactivation of p16 tumor suppressor is highly prevalent in BE,

even in patients that have not developed cancer, and normally precedes p53 loss [142, 185, 200]. Correspondingly, metaplasia and dysplasia cell lines used in this study all present p16 inactivation [444, 445, 454]. So, centriole amplification in BE arises in the genetic background of p16 loss and functional WT p53. Nevertheless, while previous work demonstrating that S phase arrest in p16-deficient human mammary cells was enough to generate multiple centrosomes due to premature centriole splitting [455], prolonged S phase arrest in our metaplasia cells in the background of WT p53 did not lead to an increase in centrosome amplification (see page 81, Fig4 F and G). Future studies addressing the contribution of this and other early events for centrosome deregulation and their relation with p53 loss will be crucial to get further insights regarding the causes of centrosome amplification in BE malignant progression.

Together, our results corroborate that centrosome amplification arises in the premalignant condition in the background of WT p53 that plays a crucial role in preventing widespread centrosome amplification. This supports the existence of a p53-dependent pathway that prevents cellular proliferation of cells with extra centrosomes and plausibly is responsible for the maintenance of the low levels of centrosome amplification observed at metaplasia stage. In accordance with this, it was already shown in model organisms and cell cultures where centrosome amplification or loss activate a p53-dependent pathway that conducts to cell cycle arrest or even cell death and in turn p53 loss is necessary for the survival of those cells [347, 448, 456]. In turn, WT p53 loss results in the increase of cells with centrosome amplification, in accordance with the trend observed in the transition of metaplasia to dysplasia in patient samples. Future work investigating by which mechanisms p53 response is activated upon centrosome number deregulation are still needed.

Besides significant and specific genetic changes such as loss of p53 function, BE progression is also characterized by ploidy changes. Many tumors arise from a transient tetraploid event [277], and in BE tumorigenesis tetraploidy is a common and early event that dictates an increased risk of developing aneuploidy and both are highly predictive of malignant progression [334, 457], being normally preceded by p53 changes [142]. Moreover, ploidy changes are normally policed by p53. [456, 458] Therefore, we surveyed whether there was a correlation between ploidy deregulation and centriole amplification by examining both features in metaplasia cells with and without p53. This analysis will inform us regarding the ordering of these events throughout progression, and possibly indicate the possible mechanisms underlying centrosome number deregulation. Indeed, while there are several mechanisms that could promote centrosome number deregulation in cells, including centrosome biogenesis deregulation and cytokinesis failure [264], the latter generates both supernumerary centrosomes and tetraploid cells.[459] Although metaplasia cells already presented an abnormal ploidy profile and binucleated cells that elicited a p53 response, p53 silencing resulted in aggravated ploidy deregulation that positively correlated with the increase in centriole amplification, suggesting a plausibly common origin such as cell division failure. To verify if centriole amplification in metaplasia results

exclusively from tetraploidy derived from cell division failure upon p53 loss, we blocked cells in S phase considering this would stop cell division and consequently abrogate the increase in amplification (see page 81, Fig4 F and G and page 169, FigS3 R and S). Surprisingly, we found that p53 loss still leads to centrosome amplification in metaplasia cells under those conditions, suggesting that at least part of these cells with extra centrioles are not resulting from cell division failure and that p53 could also be crucial in preventing centriole biogenesis deregulation.

Regarding the possible consequences of metaplasia cells having low levels of centrosome amplification, and considering the observed correlation between centrosome amplification and ploidy changes, we conceive that this subset of cells with multiple centrosomes arising early in metaplasia could be contributing to promote the genomic instability that is known to be present in metaplasia adjacent to EA [32, 460]. In agreement, previous evidence already showed that extra centrosomes correlates with CIN in several other tumors and cancer cell lines and experimental data demonstrated that extra centrosomes alone are sufficient to enhance segregation errors due to occurrence of lagging chromosomes during cell division in non-transformed immortalized cell lines [340, 341]. Future studies elucidating the fate of this cellular population in the context of BE tumorigenesis will be crucial to clarify if centrosome amplification mediates CIN in BE and in consequence if they could be potentially involved in tumor initiating features. It is plausibly that in the absence of p53 the consequent increase in centrosome amplification observed in the transition of metaplasia to dysplasia could be generating genetically unstable and potentially harmful cells, this is, harboring driver mutations that without p53 control could survive and promote BE malignant transformation and progression. In line with this hypothesis, recent studies showed that transient centrosome amplification enhances tumorigenesis in aged mice [346] and significantly decreases the latency of tumor development in p53-deficient mice [461, 462].

Furthermore, considering that p53 mutations R175H and R248W studied by us were previously found to promote genomic instability and invasion [449, 463], this further supports that centrosome amplification may also have a role and contribute to those malignant features in BE progression. Consistently, our results demonstrate that centrosome amplification has a higher penetrance in dysplasia, the stage before invasion takes place. Still, future studies are needed to investigate the role of distinctive p53 mutations in BE tumorigenesis and whether they could be related to centrosome number deregulation.

Considering that centrosome amplification is a prevalent feature in human tumors and that p53 mutations occur in almost every type of cancer [464] our findings on the timing and ordering of supernumerary centrosomes, the demonstration that exists a p53 dependent pathway that controls cell populations with centrosome number deregulation and their relation with aneuploidy in BE tumorigenesis are likely to be extrapolated to other cancers.

**CHAPTER 5:**  
**Conclusions and Future Perspectives**

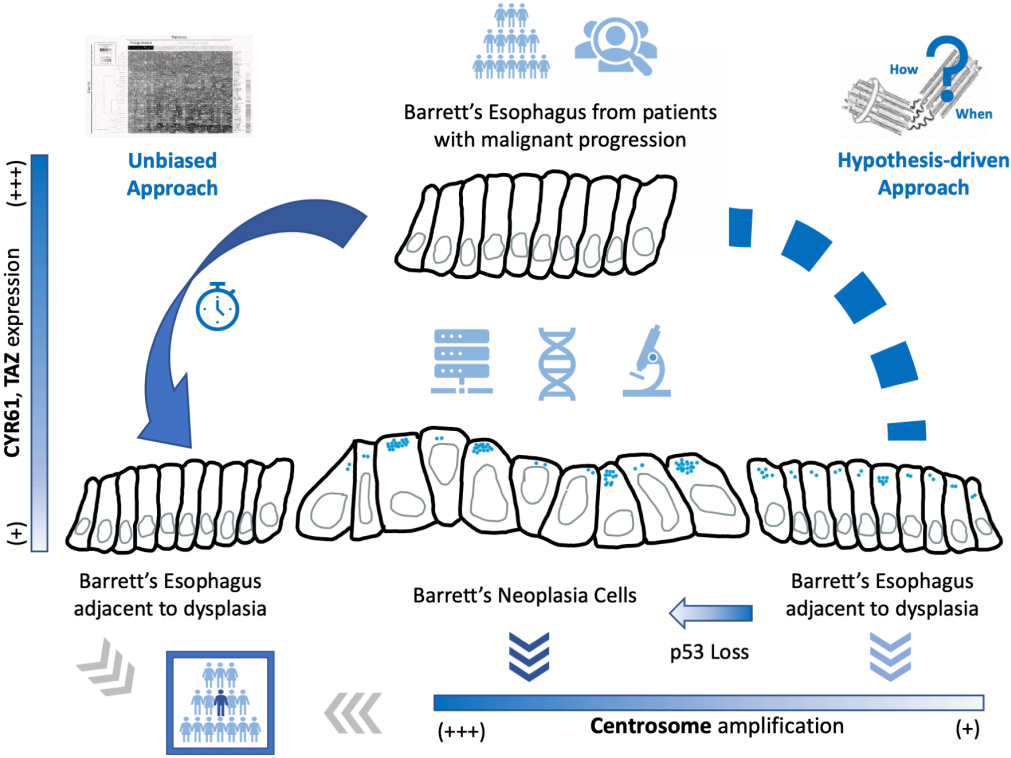


The starting point of this project was the clinical need to find reliable biomarkers to guide medical decisions, allowing for the improvement of cost-effectiveness of BE clinical management, and, specially, the standard of care for BE patients [9, 235, 253]. Although biomarkers are required to inform clinical practice at multiple stages of the BE pathway [240], identifying markers able to stratify non dysplastic BE patients according to cancer risk would be the “holy grail” of biomarkers search since it would allow to focus attention and resources on those patients that most likely will benefit from it [245] and to intervene at metaplasia stage, before BE progression. Based on this motivation we traced two different strategies to increase the odds of achieving success.

By trailing a meta-analysis approach on gene expression data followed by experimental validation in a cohort of BE patients, our work provided evidence that there is a gene expression profile associated with BE malignant transformation. Importantly, we identified two genes that were significantly up regulated years before neoplastic progression and our results support that CYR61 and TAZ are potential early predictive biomarkers of BE malignant progression and could be used to discriminate among BE patients the ones with an increased risk of malignant progression. Regardless the need of confirming these results in larger cohort of patients and in prospective trials, these biomarkers hold promise to be assessed by available techniques in the clinical setting and applied to standard histological samples. Furthermore, by investigating the functional context of these two genes we have unraveled EMT as potential mechanistic route for BE malignant progression. Future studies investigating the extent to which CYR61, TAZ and EMT markers are priming BE towards malignant transformation will be fundamental to deep our knowledge of BE carcinogenesis.

Through the study of centrosome profile along BE malignant progression, using a robust and accurate method to identify and score bona-fide centrosomes in a cell by cell basis we have demonstrated that centrosome amplification arises as early as in the premalignant condition, before the onset of neoplasia, and significantly expands at dysplasia stage, which correlates and is dependent of loss of function of the tumor suppressor p53. Our results support that cells with supernumerary centrosomes could be important for the beginning of the tumorigenic process. Furthermore, our findings *in vivo* corroborate that centrosome amplification is an important feature of BE malignant progression given that centrosome dysfunction is specific of BE patients that progress to malignancy. For this reason, further exploring on how centrosome amplification contributes for BE cancerogenesis could unravel novel pathways and relevant drivers that could be translated into useful tools to be used in the clinical setting. Indeed, future investigation of the relationship between centrosome amplification and p53 loss of function could allow to discover a wanting gene signature able to predict the presence of significant centrosome amplification at specific stages of BE progression and impact clinical decisions regarding BE

management. For instance, if this wanting gene signature was able to identify the presence of centrosome amplification in BE samples and dictate an increased risk of progression this could help to decide for a stricter surveillance or even an early BE ablation. In turn, when identified later on in cancer progression could help identify the patients that would respond to the newly developed centrosome inhibitors currently being tested in clinical trials [264, 465], making these patients electable for targeted therapies. Importantly, our study also puts in evidence the importance of having a cell line panel that mirrors the biological events regarding centrosome dynamics along BE malignant pathway as it can be used to get further mechanistic insight into how centrosome amplification arises and their contribution for BE progression, invasiveness and metastasis. The nature of this relation could be further explored to potentially identify new biomarkers or develop new therapies.



**Figure 9.** CYR61, TAZ and centrosomes as novel players in BE malignant development: “the hat-trick of the match”.

As a final remark, in both research avenues, we demonstrated that oppositely to BE with no signs of progression to dysplasia, in BE prone for malignant progression there are deregulation of signaling pathways and the occurrence of anomalies in cell features as centrosome amplification, that directly or indirectly create a permissive background that enhances tumor initiating capacities in BE cells. So, not only is the cancer risk in BE different from patient to patient but there also seems to exist different pathological states in BE right from the beginning. We therefore conceive the possibility that some BE are “born to be bad”. By further exploring this perspective in order to identify these silent but potential aggressive phenotypes we envision

that it is possible to change the paradigm in BE clinical management towards a precision and personalized medicine in which a risk profile is traced for every patient to guide medical decisions and improve patient care.



## **CHAPTER 6:**

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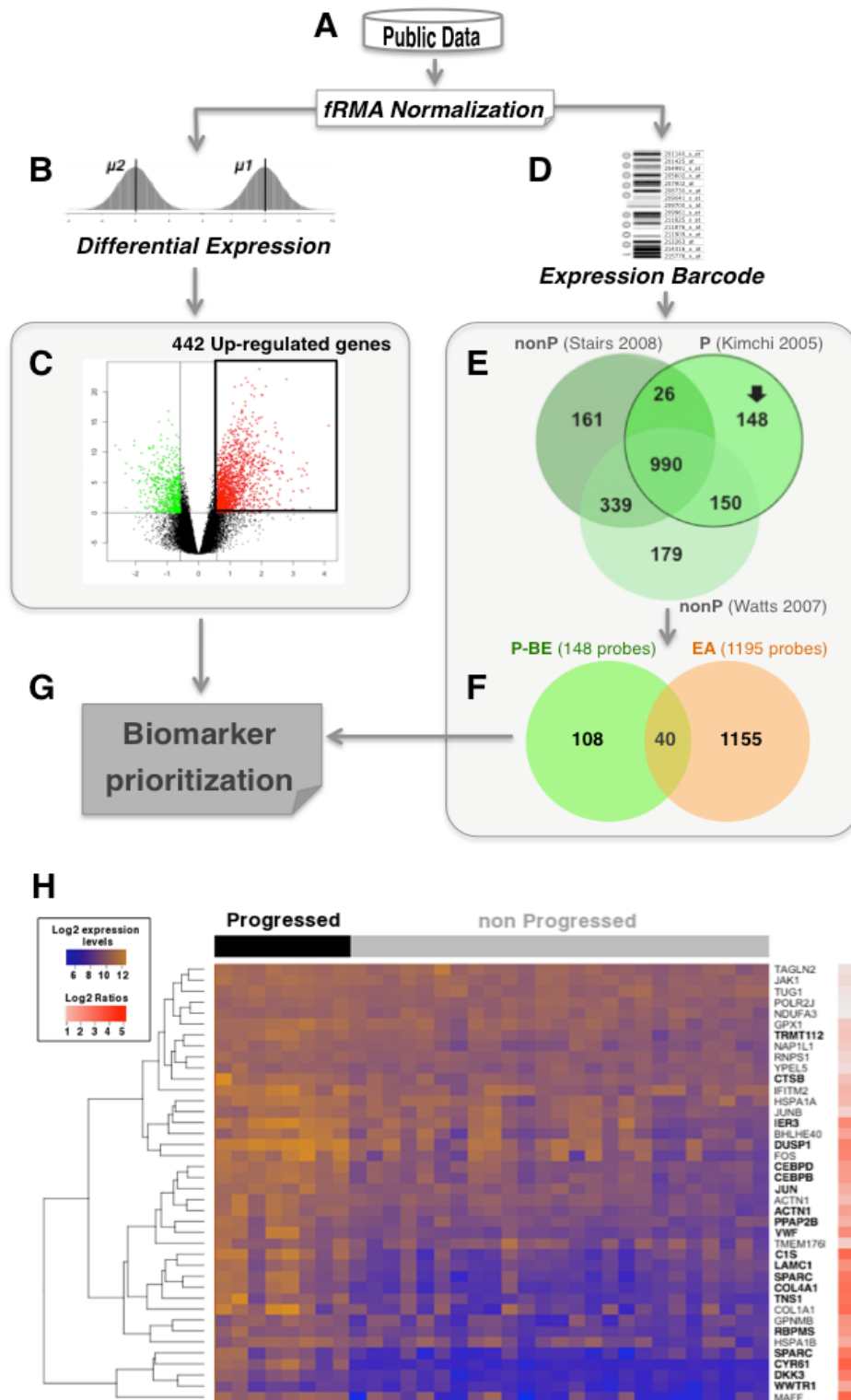
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**CHAPTER 7:**  
**Appendixes**



**APPENDIX 1** – Supporting information for paper: “*CYR61 and TAZ Upregulation and Focal Epithelial to Mesenchymal Transition May Be Early Predictors of Barrett’s Esophagus Malignant Progression*”





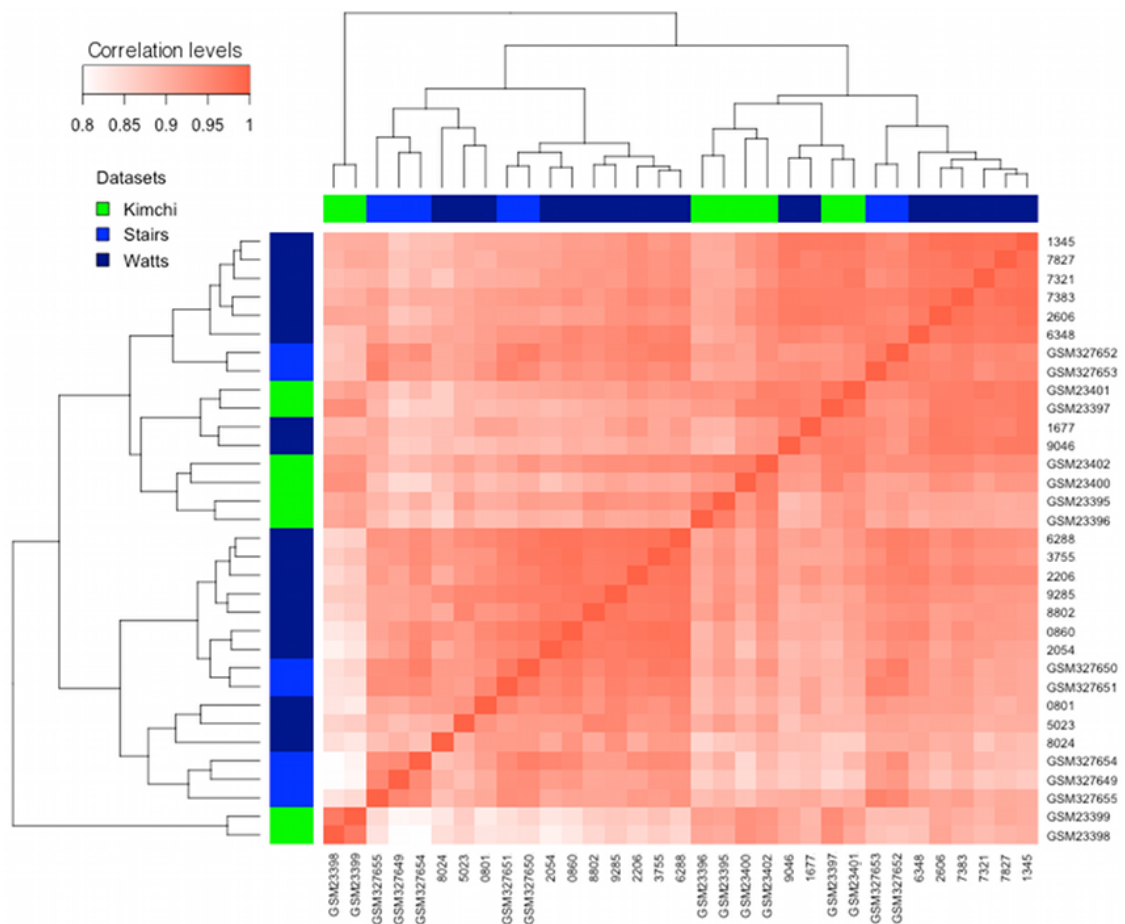
S1 Fig. An original bioinformatics prioritization framework allowed the identification of at risk BE biomarkers. A. Publicly available microarray datasets on BE and/or EA were

normalized with the fRMA algorithm. BE samples associated with progression to EA were retrieved from Kimchi *et al.* [1] and assigned to the P-BE group and EA-free BE samples were retrieved from Watts *et al.* [2] and Stairs *et al.* [3] and assigned to nonP-BE group. **B.** Comparison of P-BE versus nonP-BE samples with a differential expression approach which, **C.** resulted in the identification of 442 unique up-regulated genes in P-BE. **D.** Calculation of expression barcodes was performed per individual sample. **E.** P-BE-exclusive probe sets (148) were defined via intersection of P-BE and nonP-BE barcodes. **F.** Forty malignancy-associated progression probe sets were achieved by crossing 148 P-BE barcoded probe sets with EA-associated barcodes. **G.** Integration of barcode and differential expression results to further trim promising candidates for downstream validation. **H.** Combined barcode and differential expression prioritized 20 probe sets associated with BE malignant progression to be validated in downstream experimental settings. In total, 19 unique up-regulated genes (in bold) differentiate P-BE from nonP-BE.

## References

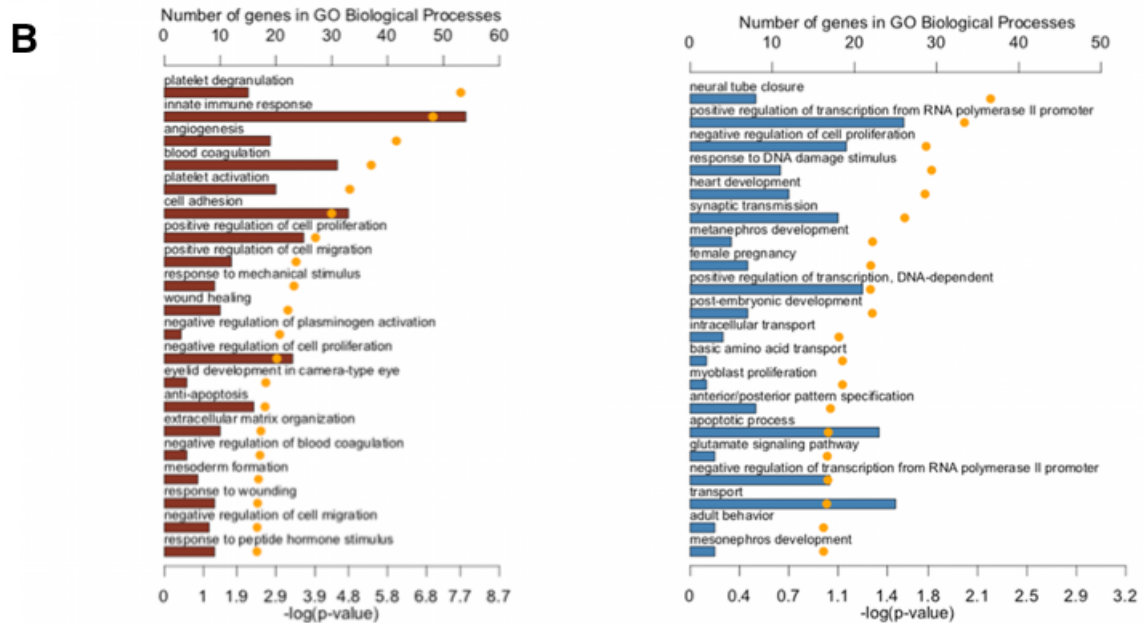
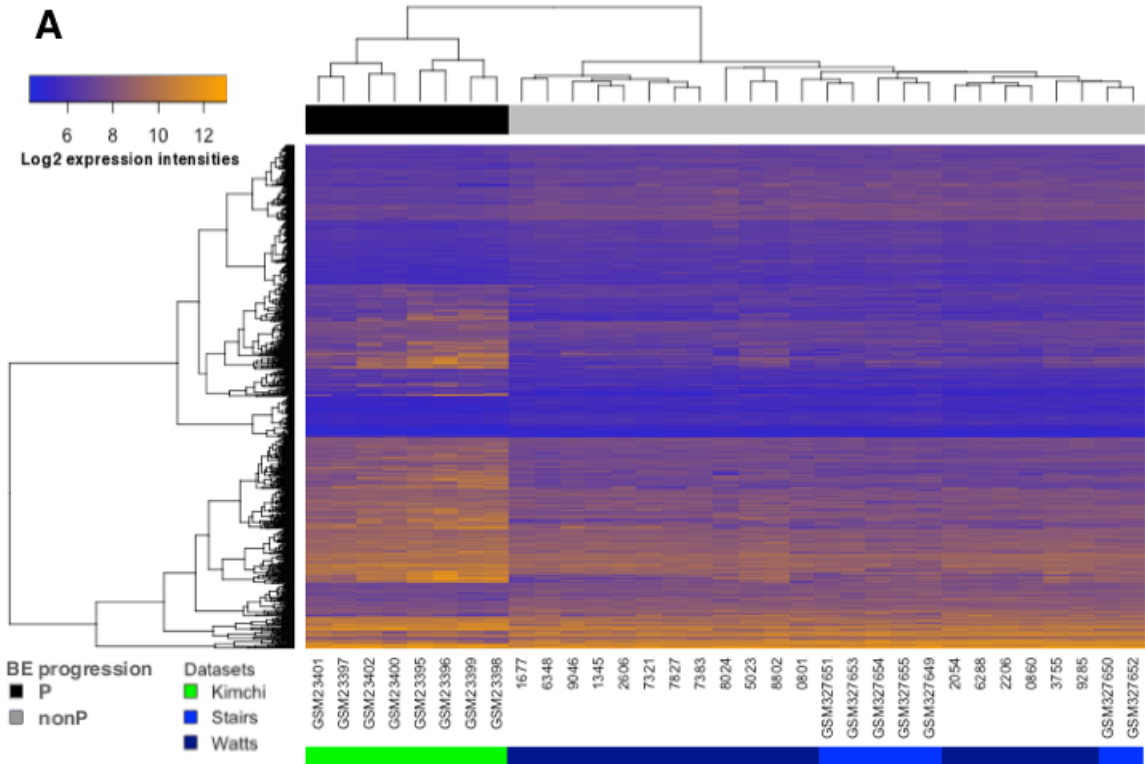
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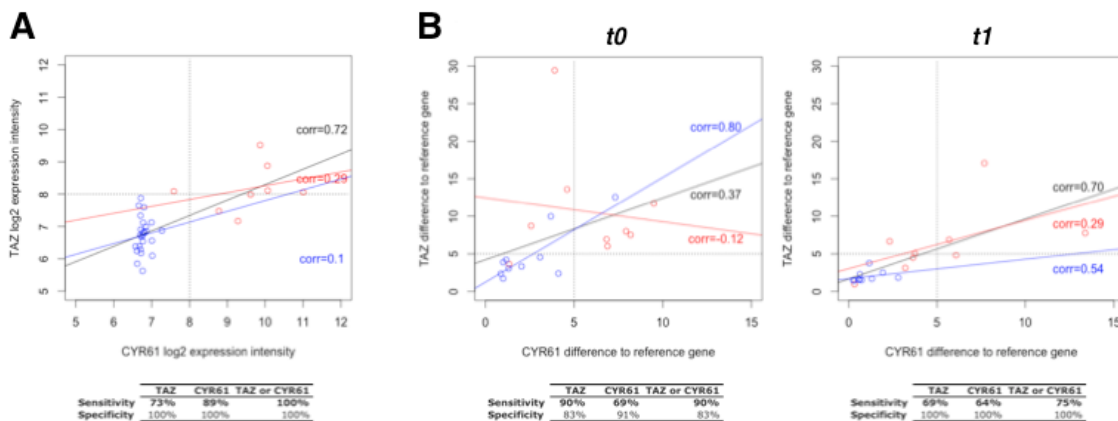
**S2 Fig. Microarray data of BE samples from distinct datasets is highly correlated.**

Pearson's correlations plotted in the heatmap were calculated using fRMA normalized absolute intensity levels and samples were compared through pairwise comparison of all 33 BE samples. Each dataset is represented with a different colour in the coloured side bars.

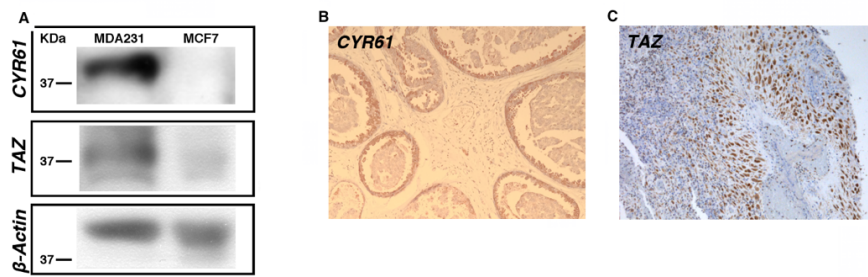


**S3 Fig. Differential expression analysis of P-BE and nonP-BE microarray data highlighted more than 700 genes potentially involved in BE malignant progression. A.** Heatmap of genes filtered after differential expression analysis with a conservative cutoff ( $Lods \geq 5$ ). Each dataset is represented with a different colour in the bottom coloured side bar

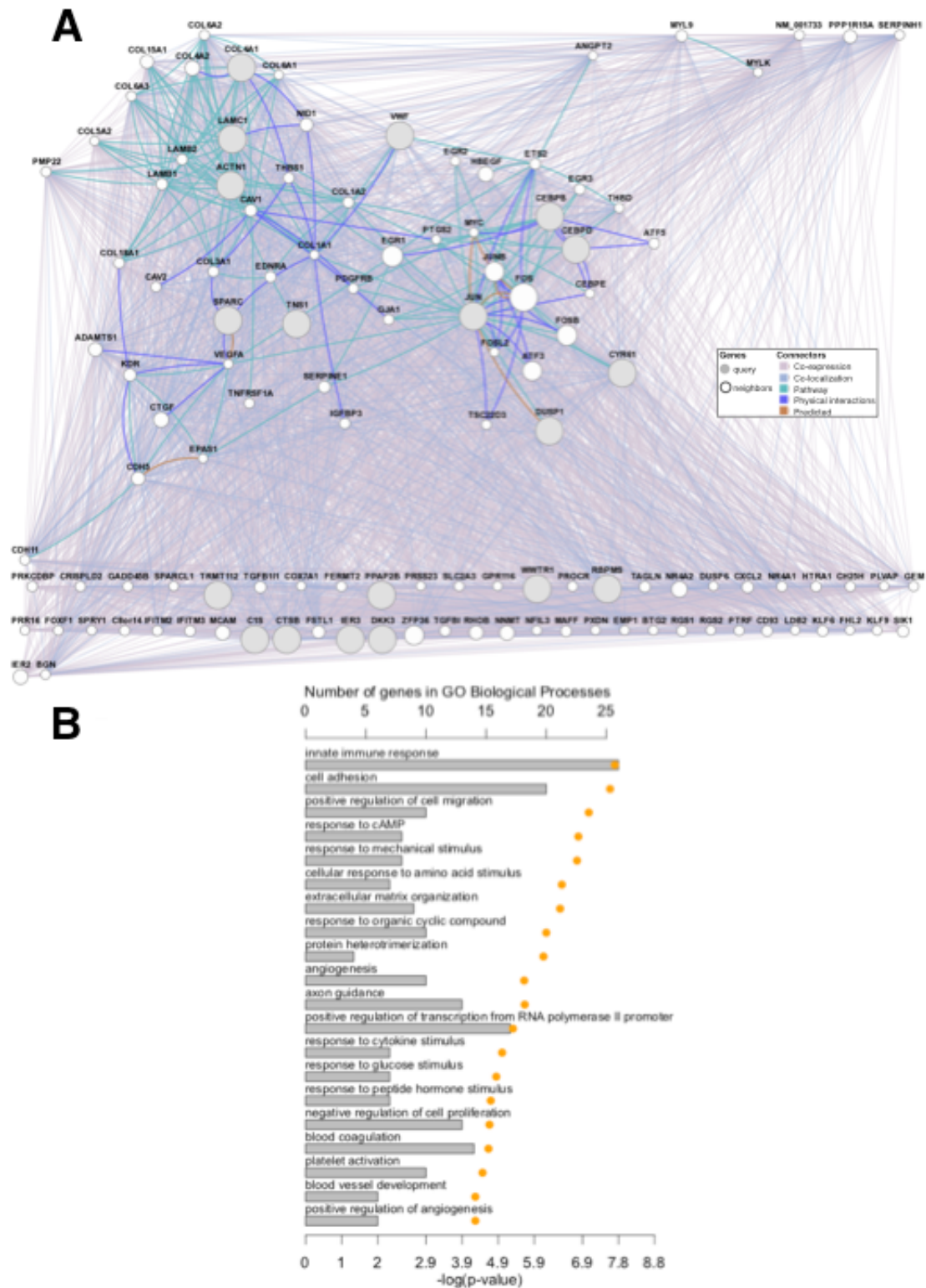
and each BE progression group is represented by the upper coloured bar (black and grey). **B.** Top 20 GO Biological Processes (q-value<0.05) over-represented among significantly up-regulated (left plot, in red) and down-regulated (right plot, in blue) genes. Yellow dots illustrate the adjusted Ps for each GO category.



**S4 Fig. CYR61 and TAZ expression levels are not correlated.** **A.** Microarray data correlation of CYR61 and TAZ log<sub>2</sub> expression intensities. **B.** Correlation of RT-qPCR relative expression levels of CYR61 and TAZ in the index biopsies (*t0*) and in the recent samples (*t1*). Results related with P-BE and nonP-BE samples are represented in red and blue, respectively. Black represents results with all samples. A preliminary overview of sensitivity and specificity values for individual or combined usage of biomarkers of at risk BE is shown below each plot.

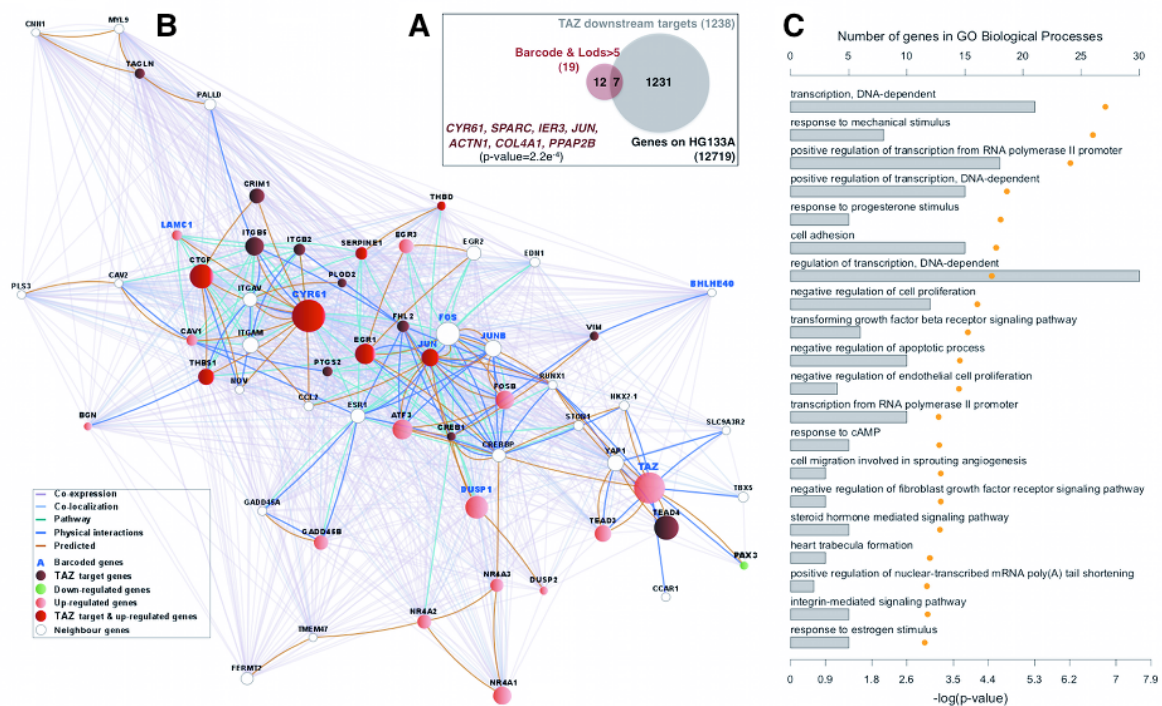


**S5 Fig. Validation of CYR61 and TAZ antibodies specificity.** **A.** Western-blot analysis was performed to test the CYR61 and TAZ antibodies specificity on the breast cancer cell lines MDA213 and MCF7. A band of ~42KDa and ~40KDa was observed when using CYR61 and TAZ antibodies, respectively.  $\beta$ -Actin antibody (~50 KDa) was used as a loading control. **B.** Breast cancer and **C.** placenta tissue sections used as used as positive controls of CYR61 and TAZ antibodies, respectively. Magnification 100X.



S6 Fig. GeneMania network of the 19 selected candidate biomarkers, network neighbors and associated function showed an enrichment of genes related with cell adhesion, motility and response to stimuli. A. The set of 19 genes was used to find

connections with close neighbors according to GeneMania association network algorithm. **B.** Top 20 significant ( $q\text{-value} < 0.05$ ) GO Biological Processes were identified by gene set enrichment analysis performed with InnateDB tool. Yellow dots illustrate the adjusted Ps for each GO category.



**S7 Fig. CYR61 and TAZ are biological linked and share important cellular functions.**

**A.** TAZ downstream targets represent a category of significantly over-represented genes among the 19 barcode and differentially expressed genes (hypergeometric test  $p\text{-value}=2.2\times 10^{-4}$ , 12719 unique genes represented in the Affymetrix HG-133A GeneChip® platform). **B.** CYR61 and TAZ as query genes in GeneMania network are able to highlight network neighbors which are also TAZ downstream targets, differentially expressed genes and barcode genes. Network genes only connected via co-expression are represented in fig. S4. **C.** Top 20 significantly enriched ( $q\text{-value}<0.05$ ) GO Biological Processes associated with CYR61, TAZ and their 100 GeneMania network neighbors. Yellow dots illustrate the adjusted p-values for each GO-BP category.

**S1 Table. Clinical data of patients used for the validation set.**

<i>Characteristics</i>		<i>Non Progressed (N=10)</i>	<i>Progressed (N=9)</i>
<b>Age</b>	<i>Median at t0</i>	63	51
	<i>Range at t0</i>	32-67	45-71
	<i>Median at t1</i>	69,5	57
	<i>Range at t1</i>	42-81	48-72
<b>Gender</b>	<i>F</i>	20% (N=2)	0%
	<i>M</i>	80% (N=8)	100%
<b>Race</b>	<i>Caucasian</i>	100%	100%
<b>Alcohol history<sup>3</sup></b>		20% (N=2)	78% (N=7)
<b>Tobacco history<sup>3</sup></b>		20% (N=2)	44% (N=4)
<b>BMI<sup>3</sup></b>	<i>Median</i>	na	28,6
	<i>Range</i>	na	24.3-31.1
<b>BE-associated high-grade dysplasia/adenocarcino</b>		na	100%
<b>Tumor Grading (TNM)</b>	<i>T1N0Mx</i>	na	100%
<b>Follow-up (years)</b>	<i>Median</i>	10	4
	<i>Range</i>	3-17	1-13

<sup>3</sup>. Data not available for all individuals

**S2 Table. Primer sequences for target and reference genes.**

<i>Symbol</i>	<i>Forward primer</i>	<i>Reverse primer</i>	<i>Amplicon length</i>
<b>CYR61</b>	TGACAACCCTGAGTGCCGCC	TCTTGCCCTTTTTTCAGGCTGCTG	95
<b>GAPDH</b>	GGACTCATGACCACAGTCCATGCC	GCGGCCATCACGCCACAGTT	84
<b>MAPKAP2</b>	TACATCCTGCTGTGTGGGTATCCCC	TGGCCCATTCGGATGCGAGTCT	89
<b>TAZ</b>	GCAGGAAGCTGCCCTCTGTCTG	TGGGTGGGTTGACAGCAGCC	80
<b>TWIST1</b>	GCCTGGTCCATGTCCGC	GAAACAATGACATCTAGGTCTCCC	82

**S3 Table. Differentially expression analysis filtered genes (Lods > 5).**

ProbedID	SYMBOL	ENTREZ	UNIPROT	CHR	CHROCC	Log2R	Rawval	AdjvalBH	Lods
201289_at	CYR61	3491	O00622	1	86046443	4.90	5.29E-17	5.90E-13	28.20
202672_s_at	ATF3	467	P18847	1	21273866	3.27	2.57E-17	5.74E-13	28.86
202340_x_at	NR4A1	3164	P22736	12	52451900	2.07	8.23E-16	6.11E-12	25.66
222162_s_at	ADAMTS1	9510	Q8NE26	21	-28208607	3.53	2.54E-15	1.16E-11	24.60
204420_at	FOSL1	8061	P15407	11	-65659691	2.35	2.61E-15	1.16E-11	24.58
201810_s_at	NA	NA	NA	NA	1.86	5.21E-15	1.94E-11	23.93	
221031_s_at	APOLD1	81575	A0AVN6	12	12878850	3.24	7.32E-15	2.33E-11	23.61
208078_s_at	NA	NA	NA	NA	2.70	9.99E-15	2.78E-11	23.32	
218876_at	TPP3	51673	Q9B300	16	-47423713	2.29	2.37E-14	5.88E-11	22.50
211909_x_at	PTGER3	5733	B1AK19	1	-71471537	1.33	3.00E-14	6.67E-11	22.28
38037_s_at	HBEFG	1839	Q99075	5	-139712428	2.17	7.52E-14	1.52E-10	21.40
217557_s_at	CPM	1368	P14384	12	-62244957	0.86	1.13E-13	2.09E-10	21.02
203066_at	CHST15	51363	B4DH74	10	-125767185	2.78	2.62E-13	4.49E-10	20.21
222253_s_at	POM121L9P	29774	NA	22	24647588	-0.70	5.32E-13	8.32E-10	19.54
212846_at	RRPB	23076	Q14684	21	45079431	1.74	5.60E-13	8.32E-10	19.49
202237_s_at	NNMT	4837	P40261	11	114166534	4.69	9.82E-13	1.37E-09	18.95
201768_s_at	CLINT1	9685	B7Z6F8	5	-157213296	-1.46	1.06E-12	1.39E-09	18.87
200054_s_at	ZNF259	8882	O75312	11	-116649276	1.46	1.15E-12	1.42E-09	18.80
202768_at	FOSB	2354	ASVJ1E	10	45971252	3.32	1.28E-12	1.51E-09	18.69
212864_at	CDS2	8760	O95674	20	10074811	1.27	2.48E-12	2.63E-09	18.06
203044_at	CHSY1	22856	O86532	15	-101715928	2.63	2.48E-12	2.63E-09	18.06
202401_s_at	SRF	6722	P18131	6	43138919	1.44	3.24E-12	3.10E-09	17.80
214405_s_at	LLAS	11019	O43766	4	39460664	-1.14	3.30E-12	3.10E-09	17.79
201207_s_at	TNFAIP1	7126	Q13829	17	26662547	1.36	3.33E-12	3.10E-09	17.78
212533_s_at	WEE1	7465	B3KVE1	11	9595227	2.02	4.36E-12	3.75E-09	17.52
204991_s_at	NF2	4771	P35240	22	29999544	1.01	4.38E-12	3.75E-09	17.51
204157_s_at	SIK3	23387	O9Y2K2	11	-116714119	1.24	4.87E-12	4.02E-09	17.41
213316_at	KIAA1462	57608	Q9P266	10	-30301728	1.18	5.16E-12	4.11E-09	17.35
203821_s_at	HBEFG	1839	Q99075	5	-139712428	2.33	6.80E-12	5.22E-09	17.09
217686_at	PFB1	5770	AKCM43	20	49126800	-0.85	7.43E-12	5.37E-09	17.00
220022_s_at	ZNF334	55713	Q5K638	20	-45129708	-0.63	7.47E-12	5.37E-09	17.00
210764_s_at	CYR61	3491	O00622	1	86046443	3.15	8.92E-12	6.21E-09	16.83
204206_at	MNT	4335	O99583	7	-2287934	1.50	9.32E-12	6.29E-09	16.78
204597_x_at	STC1	6781	P52823	8	-3360543	3.16	1.06E-11	6.93E-09	16.66
218723_s_at	C13orf15	28984	Q9H4X1	13	42031541	3.27	1.12E-11	7.05E-09	16.60
203119_at	CCDC86	79080	Q9H6F5	11	-60694928	1.20	1.15E-11	7.05E-09	16.59
204602_x_at	NR4A2	3164	P22736	12	52451900	2.42	1.17E-11	7.05E-09	16.56
218706_s_at	NXT1	21017	Q9UKK6	20	22313372	1.26	1.27E-11	7.46E-09	16.48
212865_s_at	COL14A1	7373	Q05707	8	121137513	1.72	1.37E-11	7.81E-09	16.41
200073_s_at	HNRNPD	3184	Q14033	4	-83274466	1.32	1.46E-11	8.16E-09	16.35
39402_s_at	IL1B	3553	P01584	2	-113587336	2.52	1.69E-11	8.97E-09	16.21
210529_s_at	FAM115A	9747	Q9Y4C2	7	-143550048	-1.03	1.69E-11	8.97E-09	16.21
209550_at	NDN	4692	O99608	15	-23930561	1.82	2.74E-11	1.42E-08	15.74
219419_at	RBFA	79863	O8M3V3	18	77794545	0.97	2.80E-11	1.42E-08	15.72
201693_s_at	EGR1	1958	P18146	5	137801180	2.60	3.47E-11	1.70E-08	15.51
216653_s_at	GAD2	2572	O60529	10	26585255	-0.64	3.51E-11	1.70E-08	15.50
217210_s_at	NA	NA	NA	NA	-0.66	3.79E-11	1.79E-08	15.43	
202806_at	DBN1	1627	Q16643	5	-176883613	2.15	4.72E-11	2.19E-08	15.22
204642_s_at	S1PR1	1901	P21453	1	-101702304	1.36	5.10E-11	2.32E-08	15.14
216248_s_at	NR4A2	4929	P43354	2	-157180945	2.57	5.80E-11	2.59E-08	15.02
208666_s_at	ITC3	7267	P53804	21	38445570	-1.49	6.65E-11	2.91E-08	14.88
201919_s_at	SERPINE2	5750	B4DH72	10	-224839764	2.58	7.13E-11	3.06E-08	14.82
210695_at	NA	NA	NA	NA	-0.64	8.38E-11	3.52E-08	14.66	
212884_x_at	APOE	348	P02649	4	-45490938	1.33	8.61E-11	3.55E-08	14.63
212646_at	RFTN1	23180	Q14699	3	-16357352	2.66	1.05E-10	4.25E-08	14.44
218754_at	NOL9	79707	Q5SY16	1	-6581408	0.91	1.12E-10	4.40E-08	14.38

ProbedID	SYMBOL	ENTREZ	UNIPROT	CHR	CHROCC	Log2R	Rawval	AdjvalBH	Lods
201811_x_at	SIBBP5	9465	B3KQW6	2	-15629356	2.43	1.43E-10	8.02E-08	14.37
214247_s_at	DKK3	27122	Q9UBH4	11	-11984544	3.00	1.14E-10	4.40E-08	14.36
219619_at	DIRAS2	54769	O96HJ8	9	-93372113	-0.54	1.24E-10	4.67E-08	14.28
201172_x_at	ATP6V0E1	8992	O15342	5	172410762	0.76	1.29E-10	4.97E-08	14.24
206419_at	RORC	6097	P51449	1	-151778547	-1.00	1.39E-10	4.79E-08	14.17
212097_at	CAVI	8757	ASXTE5	7	116164838	2.90	1.40E-10	4.98E-08	14.16
202196_s_at	DKK3	27122	Q9UBH4	11	-11984544	2.20	1.43E-10	4.98E-08	14.14
214941_s_at	PRP40A	6566	O75400	2	-15558108	-1.27	1.43E-10	4.98E-08	14.14
204107_at	NFYA	4800	P23511	6	41400706	-0.96	1.48E-10	5.07E-08	14.11
200810_s_at	CDK7	1153	Q14011	19	1269266	1.37	1.60E-10	5.39E-08	14.03
212509_s_at	MXRA7	439921	P84157	17	-74675652	2.54	1.70E-10	5.66E-08	13.97
201110_s_at	SH3BP1	7057	P07996	15	39873279	3.55	1.73E-10	5.66E-08	13.96
204621_s_at	NR4A2	4929	P43354	2	-157180945	2.10	1.82E-10	5.88E-08	13.91
31874_s_at	GAS2L1	10634	A0A3E8	22	29702996	1.09	1.90E-10	6.06E-08	13.86
210911_s_at	ID3B	84099	NA	3	-62109160	-0.80	1.94E-10	6.10E-08	13.84
212766_s_at	ISG20L2	81875	O9HJL3	1	-156692412	1.41	2.04E-10	6.31E-08	13.80
200788_s_at	PEA15	8682	B1AKZ4	1	160175124	2.29	2.18E-10	6.66E-08	13.73
206093_x_at	NA	NA	NA	NA	1.81	2.37E-10	7.13E-08	13.65	
202731_at	TCEAL4	79921	Q96E15	X	102840418	2.15	2.46E-10	7.32E-08	13.61
200694_s_at	DDX24	57062	Q9CZ87	14	-94517268	1.16	2.51E-10	7.33E-08	13.59
204405_x_at	DMT1	27292	UNIQ02	5	-6168451	1.32	2.50E-10	7.33E-08	13.59
204482_at	CDG3	7122	D3D319	22	-19510546	2.31	2.78E-10	7.95E-08	13.49
214406_s_at	SLC7A4	6545	O43246	22	-21383007	-0.91	2.84E-10	8.02E-08	13.47
213069_at	HEL1	57493	Q9ULI3	3	-124684554	2.18	3.11E-10	8.66E-08	13.39
202273_at	PDGFRB	5159	P09619	5	-104949302	1.93	3.23E-10	8.89E-08	13.35
211143_x_at	NR4A1	3164	P22736	12	52451900	1.21	3.28E-10	8.92E-08	13.33
219049_at	CSGALNACT1	55790	Q8TDX6	8	-19261672	2.36	3.50E-10	9.34E-08	13.27
207609_s_at	XP1A2	1544	P05177	15	75041183	-0.81	3.52E-10	9.34E-08	13.27
217216_x_at	MLH3	27030	Q2M121	14	-75480466	-0.96	3.81E-10	1.00E-07	13.19
214413_at	TAT	6898	P17735	16	-71600753	-0.65	4.08E-10	1.06E-07	13.12
214900_at	ZKSCAN1	5586	P17029	7	99613218	-0.97	4.25E-10	1.09E-07	13.08
201185_at	HTRA1	3654	Q92743	10	142221040	2.04	4.50E-10	1.13E-07	13.03
213823_at	HOXA11	5207	P31270	7	-27227076	-1.17	4.52E-10	1.13E-07	13.02
203973_s_at	CEBPD	1052	Q49716	8	-48649475	2.29	4.61E-10	1.14E-07	13.00
215521_s_at	PHC3	80012	Q8NDX5	3	-169805367	-0.81	4.71E-10	1.15E-07	12.98
37408_at	MRC2	9002	Q9UB60	17	60704761	0.95	5.02E-10	1.22E-07	12.92
211340_s_at	MCAM	4162	P43121	11	-119179234	2.83	5.16E-10	1.23E-07	12.89
201645_s_at	TNC	3371	P43821	9	-11782805	3.31	5.17E-10	1.23E-07	12.89
209101_at	BTG	1490	P29279	6	-132269318	3.47	5.45E-10	1.28E-07	12.84
213905_x_at	CENPE	633	P21810	X	152760346	2.12	5.51E-10	1.28E-07	12.83
217481_x_at	NA	NA	NA	NA	-0.62	5.61E-10	1.29E-07	12.81	
204677_x_at	CDH5	1003	P33151	16	66400524	2.25	5.83E-10	1.31E-07	12.77
32541_at	PPP3CC	5533	P48544	8	22298595	0.69	5.85E-10	1.31E-07	12.77
220063_at	GSTCD	79807	Q8NEC7	4	106629940	-0.60	5.88E-10	1.31E-07	12.77
212235_at	PLKND1	23129	Q9Y4D7	3	-129274055	1.68	5.96E-10	1.31E-07	12.75
214781_x_at	XP06	23214	Q96QJ8	16	-28109315	0.84	6.05E-10	1.34E-07	12.74
204472_at	GEM	2669	P55040	8	95261486	2.47	6.05E-10	1.34E-07	12.71
213568_at	OSR2	116039	Q8N2R0	8	99956630	1.52	6.26E-10	1.41E-07	12.70
202238_s_at	NNMT	4837	P40261	11	114166534	3.29	6.65E-10	1.34E-07	12.65
218368_s_at	TNFRSF12A	51330	Q9N84	16	3070312	1.65	6.82E-10	1.43E-07	12.62
202087_s_at	CTSL1	1514	P07711	9	90340973	1.63	7.12E-10	1.48E-07	12.58
202994_s_at	FBLN1	2192	P23142	22	45898718	2.22	7.80E-10	1.61E-07	12.49
214538_at	NA	NA	NA	NA	-0.50	7.96E-10	1.62E-07	12.47	
211980_s_at	COL4A1	1282	P02462	13	-110801310	3.34	8.10E-10	1.64E-07	12.45
217445_s_at	GART	2618	P22102	21	-34896315	0.70	8.15E-10	1.64E-07	1

ProbedID	SYMBOL	ENTREZ	UNIPROT	CHR	CHROLOC	Log2R	Rawval	AdjvalBH	Lods
202914_s_at	EWSR1	2130	B00YX1	22	29665997	0.77	1.15E-08	1.32E-06	8.97
202732_at	PKIG	11142	Q549H9	20	43160435	2.44	1.17E-08	1.13E-06	9.85
204115_at	NGN11	2791	P61952	7	93551015	2.56	1.18E-08	1.14E-06	9.84
128670_at	PUS1	80324	E5KMT5	12	132413744	0.95	1.20E-08	1.14E-06	9.83
34063_at	RECQL5	9400	ASVM55	17	73646444	-0.63	1.20E-08	1.14E-06	9.83
202241_at	TRIB1	10221	Q96R18	8	126442562	1.85	1.23E-08	1.17E-06	9.80
201787_at	FBLN1	2192	P23142	22	45898718	1.76	1.24E-08	1.17E-06	9.79
220052_at	TM2F	26277	Q98314	14	24708852	0.96	1.24E-08	1.17E-06	9.79
221752_at	SSH1	54434	Q8WV15	12	-10185695	1.10	1.27E-08	1.19E-06	9.77
215022_x_at	ZNF33B	7582	Q06732	10	-4308454	-0.88	1.27E-08	1.19E-06	9.77
213338_at	TMEM158	25907	Q8WZ71	3	-4256596	2.21	1.31E-08	1.22E-06	9.74
206115_at	EGR3	1960	B4D880	8	-22545173	1.19	1.34E-08	1.23E-06	9.72
202291_s_at	MGP	4256	P08493	12	-15034114	3.81	1.34E-08	1.23E-06	9.72
204095_at	SRPX	8406	B3KW98	X	-38008388	2.78	1.35E-08	1.24E-06	9.71
213763_at	HIF2C	28996	Q9H236	7	-13924516	-0.86	1.37E-08	1.26E-06	9.69
179_at	PMS2P11	441263	NA	7	76610138	-0.71	1.39E-08	1.26E-06	9.68
209118_s_at	TUBA1A	7846	Q71U36	12	-4957584	2.43	1.40E-08	1.26E-06	9.67
201431_s_at	DPYS13	1809	B3SX08	5	-14677030	2.82	1.41E-08	1.26E-06	9.67
211866_x_at	HFE	3077	Q30201	6	26087508	-0.76	1.41E-08	1.26E-06	9.67
220623_s_at	TSGA10	80705	Q9BZW7	2	29661374	-0.59	1.43E-08	1.28E-06	9.65
216934_at	NA	NA	NA	NA	NA	-0.70	1.47E-08	1.31E-06	9.63
204086_x_at	HFE	3077	Q30201	6	26087508	-0.73	1.53E-08	1.35E-06	9.59
214955_at	TMPSB56	164656	Q8L800	22	37461478	-0.69	1.53E-08	1.35E-06	9.59
215222_x_at	MACEF1	23499	Q96PK2	1	34957117	0.76	1.56E-08	1.37E-06	9.57
211490_at	ADRA1A	148	B0ZBD3	8	-26627221	-0.73	1.56E-08	1.37E-06	9.57
200986_at	SERPING1	710	P05155	11	57365026	2.72	1.64E-08	1.43E-06	9.52
221839_s_at	UBAP2	58833	Q5TF62	9	-33921600	0.67	1.64E-08	1.43E-06	9.52
219935_at	ADAMTSS5	11096	Q9UNAO	21	-28290231	1.54	1.68E-08	1.46E-06	9.50
214880_x_at	CALD1	800	AKK0X1	7	134464163	1.00	1.71E-08	1.47E-06	9.48
210193_s_at	PSGI	5669	P11464	19	-4371357	-0.78	1.71E-08	1.47E-06	9.48
222264_at	HNRPUL12	221092	Q1K8D3	11	-6288221	0.94	1.71E-08	1.47E-06	9.48
203650_at	PROC	10544	Q9UN88	20	-33759773	1.23	1.72E-08	1.47E-06	9.47
204475_at	MMP1	4312	B4DN15	10	-102666040	4.70	1.73E-08	1.47E-06	9.47
204027_s_at	METTL1	4234	Q53F59	12	-58162351	1.03	1.76E-08	1.49E-06	9.45
220914_at	NA	NA	NA	NA	NA	-0.51	1.76E-08	1.49E-06	9.45
220350_at	ZNF235	9310	Q14590	19	-44790501	-0.76	1.78E-08	1.50E-06	9.44
200609_s_at	ACADL	33	P28330	2	-21105717	-0.58	1.80E-08	1.51E-06	9.43
201078_x_at	GRIN1	2902	Q05586	2	14003586	-0.72	1.83E-08	1.53E-06	9.41
216343_at	PCDHGA3	56112	Q9Y5H0	5	-10723600	-0.93	1.87E-08	1.55E-06	9.39
216856_s_at	DLEU2	8847	NA	13	-50556687	-0.44	1.91E-08	1.59E-06	9.37
211753_s_at	RLN1	6013	P04808	9	-5334968	-0.73	1.93E-08	1.60E-06	9.36
209174_s_at	QRICH1	54870	A1L329	3	-49067143	0.53	1.99E-08	1.63E-06	9.33
210506_at	FUT7	2529	Q11130	9	-139924625	-0.87	2.05E-08	1.68E-06	9.30
208275_x_at	UTF1	8433	Q5T230	10	-35043777	-0.77	2.08E-08	1.70E-06	9.29
202391_at	BASP1	10409	P80723	5	17217749	2.49	2.12E-08	1.73E-06	9.27
200909_at	MSN	4478	P26368	3	64887510	3.19	2.20E-08	1.79E-06	9.23
213450_s_at	CSOLG3	23308	ADN0L8	21	-45646723	-0.75	2.31E-08	1.86E-06	9.19
220929_at	GALNT8	26290	Q9NY28	12	-4829751	-1.14	2.44E-08	1.96E-06	9.13
210995_s_at	TRIM23	373	P34606	5	-6835508	-0.67	2.51E-08	2.01E-06	9.10
203307_at	GNL1	2794	B4DYK6	6	-30591155	1.15	2.56E-08	2.04E-06	9.09
202450_s_at	CTSK	1513	P43235	1	-150768686	2.19	2.56E-08	2.04E-06	9.09
214662_at	WDR43	23160	Q15961	2	29117532	1.04	2.71E-08	2.15E-06	9.03
201764_s_at	ZNF238	10472	Q99592	1	-115357336	1.99	2.78E-08	2.21E-06	9.01
218586_at	C20orf20	55257	ARC4L5	20	61427804	0.93	2.80E-08	2.20E-06	9.00
218713_at	NARG2	79664	Q659A1	5	-40711808	-0.87	2.83E-08	2.21E-06	8.99
201040_at	GNAI2	2771	B3KP24	3	30273646	1.07	2.83E-08	2.21E-06	8.99
221325_at	KCNK13	56659	B5TJL8	14	90528107	-0.62	2.89E-08	2.24E-06	8.97

ProbedID	SYMBOL	ENTREZ	UNIPROT	CHR	CHROLOC	Log2R	Rawval	AdjvalBH	Lods
212067_s_at	C11	712	P00736	12	-7187516	2.61	2.89E-08	2.25E-06	8.97
205039_s_at	IKZF1	10320	Q13422	7	50344377	-0.53	2.93E-08	2.26E-06	8.95
212464_s_at	FNI	2335	P02512	2	-216279384	4.24	2.93E-08	2.26E-06	8.95
212813_at	JAM3	83700	Q9BX61	11	133983819	1.80	2.96E-08	2.27E-06	8.95
209967_s_at	CREM	1390	AA8010	10	35415800	0.95	2.99E-08	2.29E-06	8.93
205100_at	GFPT2	9945	Q94808	5	-179727699	1.11	3.09E-08	2.36E-06	8.90
200771_s_at	LAMC1	3915	P11047	1	18292594	2.49	3.11E-08	2.36E-06	8.90
208431_s_at	TUB	7275	P56077	11	8061919	-0.64	3.12E-08	2.37E-06	8.89
205052_at	BPGM	669	A4D2N3	7	134331530	1.30	3.17E-08	2.40E-06	8.88
217565_at	GR1A3	2892	Q42369	X	122318095	-0.69	3.20E-08	2.41E-06	8.87
218313_s_at	GALNT7	51809	Q8SF22	4	174089093	-2.60	3.26E-08	2.45E-06	8.85
216982_x_at	NA	NA	NA	NA	NA	0.70	3.28E-08	2.45E-06	8.84
212755_at	MON2	23041	Q7Z3U7	12	62869506	-0.58	3.31E-08	2.47E-06	8.84
219091_s_at	MMR2	79812	Q9H816	10	-88695299	1.40	3.52E-08	2.61E-06	8.78
203063_s_at	PPM1F	9647	P49593	22	-22273791	1.10	3.53E-08	2.62E-06	8.77
56197_at	PLSCR3	57048	Q9NR36	17	-7290354	0.99	3.65E-08	2.69E-06	8.74
221748_x_at	NTS1	7145	A110S7	2	-218664511	3.32	3.67E-08	2.70E-06	8.73
219805_at	Cxorf56	6932	A8MPX7	X	-118672112	0.62	3.73E-08	2.72E-06	8.72
219822_at	MTRF1	10370	P19516	13	-41790516	-0.96	3.74E-08	2.72E-06	8.72
202112_at	VWF	7450	P04275	12	-6080539	2.53	3.75E-08	2.72E-06	8.71
211748_x_at	PTGDS	5730	P14222	9	139871955	2.14	3.75E-08	2.72E-06	8.71
204445_at	COL16A1	1307	Q07092	1	-32117847	1.21	3.76E-08	2.72E-06	8.71
211534_x_at	PTPRN2	5799	Q92932	7	-157331750	-0.75	3.82E-08	2.75E-06	8.70
202613_at	CTP1	1503	P17812	1	41445006	1.13	3.83E-08	2.75E-06	8.69
200931_s_at	VCL	7414	B3KXA2	10	75757871	1.37	3.85E-08	2.76E-06	8.69
200859_x_at	FLNA	2316	P13333	X	-153576899	2.38	3.87E-08	2.76E-06	8.68
213348_at	CDKN1C	1028	P49918	11	-2904449	-1.97	3.89E-08	2.77E-06	8.68
201339_s_at	SCP2	6342	A6NM69	1	53392900	-1.85	3.90E-08	2.77E-06	8.67
213254_at	TNRC6B	23112	Q9UP09	22	40440820	0.79	3.92E-08	2.77E-06	8.67
201253_s_at	CD1P7	10423	A8K317	6	-29869678	1.23	3.98E-08	2.80E-06	8.66
220593_at	C10orf92	54777	NA	10	NA	-0.55	4.01E-08	2.80E-06	8.65
203737_s_at	PPRC1	23082	Q5V667	10	103892786	1.29	4.01E-08	2.80E-06	8.65
208393_s_at	RAD50	10111	A5D6Y3	5	131892615	-1.03	4.02E-08	2.80E-06	8.65
217916_s_at	FAM49B	51571	Q9NU09	8	-130853717	0.72	4.03E-08	2.80E-06	8.64
201522_x_at	NA	NA	NA	NA	NA	1.78	4.03E-08	2.80E-06	8.64
211535_s_at	FGFR1	2260	P11362	8	-3820848	1.73	4.05E-08	2.80E-06	8.64
217563_at	CLOCK	9575	O15516	4	-56298659	-0.65	4.08E-08	2.81E-06	8.63
213881_s_at	TRM5	10612	Q75382	41	-6469881	-0.41	4.11E-08	2.82E-06	8.63
211588_s_at	NA	NA	NA	NA	NA	-0.76	4.15E-08	2.84E-06	8.61
217214_s_at	SLC6A2	6530	B4DX48	16	55689549	-0.59	4.16E-08	2.84E-06	8.61
201042_at	TGM2	7052	P21980	2	-36766532	1.77	4.27E-08	2.91E-06	8.59
203477_x_at	COL15A1	1306	P39059	9	101706137	4.06	4.42E-08	3.00E-06	8.55
207017_s_at	RAB27B	5874	Q00194	18	52498339	-1.22	4.53E-08	3.07E-06	8.53
203173_s_at	C16orf62	57020	Q7Z312	16	19567039	0.83	4.56E-08	3.08E-06	8.52
220861_at	NA	NA	NA	NA	NA	-0.56	4.63E-08	3.11E-06	8.51
201464_x_at	ALDH1L1	10840	Q75891	3	-12582307	-0.71	4.63E-08	3.12E-06	8.51
212744_at	BBS4	585	Q96R44	5	72978255	-0.65	4.67E-08	3.13E-06	8.50
202729_s_at	LTPB1	4052	B7LZ13	2	33172368	1.90	4.74E-08	3.16E-06	8.49
211599_x_at	MET	4233	A11467	7	116312458	-1.18	4.78E-08	3.16E-06	8.48
214752_x_at	FLNA	2316	P13333	X	-153576899	2.49	4.77E-08	3.16E-06	8.48
202084_s_at	SEC14L1	6397	A5PLM6	17	75137004	1.21	4.94E-08	3.26E-06	8.44
208526_at	ORF31	26211	Q13607	7	146577019	-0.69	4.94E-08	3.26E-06	8.44
201276_s_at	ORF31	26211	Q13607	7	146577019	-0.69	4.94E-08	3.26E-06	8.44
203237_s_at	NOTCH3	90147	Q91M47	19	-15270444	-0.56	4.99E-08	3.27E-06	8.43
207679_at	PAX3	5077	P23760	2	-22318348	-0.50	5.13E-08	3.35E-06	8.41
222043_at	CLU	1191	P10909	8	-27454540	2.42</			

ProbedID	SYMBOL	ENTREZ	UNIPROT	CHR	CHROCC	Log2R	Rawval	AdjvalBH	Lods
218782_s_at	ATAD2	29028	Q0FL15	8	-124332092	0.80	1.37E+07	6.27E+06	7.45
207902_at	ILRS4	3568	Q01344	3	-3133493	-0.64	1.38E+07	6.72E+06	7.44
216130_at	NA	NA	NA	NA	NA	-0.59	1.39E+07	6.74E+06	7.43
200665_s_at	SPARC	6678	P09486	5	-41041018	3.20	1.40E+07	6.79E+06	7.42
216264_s_at	LAMB2	3913	P55268	3	-15915847	1.38	1.41E+07	6.79E+06	7.42
202374_s_at	RAB39A2	25782	A688V0	1	-220321609	-0.65	1.42E+07	6.84E+06	7.41
216919_s_at	TP53H1	9537	Q14683	11	-44953899	-0.72	1.43E+07	6.85E+06	7.41
214820_at	BRWD1	54014	Q0P231	21	-40668365	-0.63	1.43E+07	6.85E+06	7.40
202409_s_at	SLC2A3	5615	P11169	12	-8071824	1.99	1.44E+07	6.87E+06	7.40
243_g_at	MAP4	4134	P27816	3	-44015699	0.76	1.44E+07	6.87E+06	7.40
203230_at	DVL1	1855	O16460	11	-1270658	1.41	1.45E+07	6.88E+06	7.39
221142_s_at	PECR	58825	Q9BY49	2	-21690110	-1.08	1.45E+07	6.88E+06	7.39
220292_at	ZNF434	54925	Q9NX65	16	-3432085	-0.77	1.46E+07	6.92E+06	7.38
215146_s_at	ITIC28	23331	Q96AY4	22	-28374003	0.75	1.51E+07	7.11E+06	7.35
200424_s_at	HNF4A	3172	Q14235	20	-42984466	-0.10	1.51E+07	7.11E+06	7.35
211563_s_at	C19orf2	8725	O94763	7	-30433424	-0.78	1.51E+07	7.12E+06	7.35
202628_s_at	SERPINE1	9054	B7Z4S0	7	10073078	2.04	1.53E+07	7.18E+06	7.34
214406_x_at	MYST4	23522	Q8WYB5	10	76586378	-0.91	1.54E+07	7.19E+06	7.34
211160_x_at	ACTN1	87	B3V8S3	4	-69340840	1.45	1.54E+07	7.20E+06	7.33
201105_at	LGSAL1	3956	P09382	22	38071612	2.92	1.55E+07	7.20E+06	7.33
205665_at	TPANP9	10867	O75954	12	3186520	0.70	1.55E+07	7.20E+06	7.33
2090651_at	TGFBH1	7041	O43294	16	31483475	2.88	1.57E+07	7.27E+06	7.32
219520_s_at	WWC3	55841	Q9ULE0	X	9983794	1.16	1.57E+07	7.27E+06	7.31
215212_x_at	NA	NA	NA	NA	NA	0.41	1.57E+07	7.27E+06	7.31
205382_s_at	CFD	1675	P00746	19	859664	2.38	1.60E+07	7.37E+06	7.30
201174_s_at	TERF2IP	54386	Q9NYB0	16	18661634	0.76	1.61E+07	7.41E+06	7.29
207986_x_at	CYB5E1	1534	B3KTA1	47	-61509665	-0.67	1.62E+07	7.44E+06	7.28
220501_at	ACTL7A	10881	O9Y615	9	111624602	-0.73	1.62E+07	7.45E+06	7.28
213034_at	SIK3	23387	O9Y2K2	11	-116714119	1.19	1.63E+07	7.45E+06	7.28
212372_at	P53	4628	P35580	17	-837531	1.77	1.63E+07	7.45E+06	7.28
218470_at	YARS2	51067	O9Y2Z4	12	-32899478	0.62	1.66E+07	7.55E+06	7.26
204896_s_at	PTGER4	5734	A0PFE5	5	40678001	-1.31	1.66E+07	7.56E+06	7.26
204619_s_at	VCAN	1462	P13611	5	8276652	1.36	1.67E+07	7.60E+06	7.25
221304_x_at	NA	NA	NA	NA	NA	-1.07	1.69E+07	7.65E+06	7.24
214938_x_at	HMGCB1	3146	P09429	13	-31032880	-0.59	1.69E+07	7.65E+06	7.24
217015_at	RBBP4	5928	Q09028	1	33116748	-0.51	1.70E+07	7.65E+06	7.24
213800_at	CFH	3075	P08603	1	196621007	1.96	1.70E+07	7.65E+06	7.24
204890_s_at	SOX2	6655	Q07990	14	-50583846	-0.90	1.71E+07	7.74E+06	7.22
210495_s_at	FNI	2335	P02751	2	-216279384	3.76	1.73E+07	7.76E+06	7.22
204682_at	LTBP2	4053	Q14767	14	-74964888	1.76	1.77E+07	7.94E+06	7.19
214801_at	NA	NA	NA	NA	NA	-0.82	1.78E+07	7.94E+06	7.19
217351_at	NA	NA	NA	NA	NA	0.73	1.79E+07	7.98E+06	7.19
216431_at	NA	NA	NA	NA	NA	-0.87	1.80E+07	8.01E+06	7.18
219243_at	GIMAP4	55303	Q9NJV9	7	150264457	1.26	1.82E+07	8.04E+06	7.17
219979_s_at	C11orf23	51501	Q53F73	11	86013252	0.86	1.82E+07	8.04E+06	7.17
207744_at	NA	NA	NA	NA	NA	-0.39	1.82E+07	8.04E+06	7.17
217966_s_at	FAM129A	116496	Q9RZ08	1	-184760166	2.00	1.83E+07	8.04E+06	7.17
215923_s_at	PSD4	23550	Q8NDX1	2	113931559	-1.18	1.83E+07	8.04E+06	7.17
212915_s_at	PDZRN3	23024	Q9UPQ7	3	-73431651	1.98	1.83E+07	8.04E+06	7.17
217057_s_at	GNAS	2778	A6N000	20	57414794	-0.75	1.83E+07	8.04E+06	7.16
208730_x_at	RAB2A	5862	P61019	8	6142958	1.92	1.84E+07	8.04E+06	7.16
57715_at	CAH2M2	51063	Q9HA72	10	-10526544	0.94	1.84E+07	8.04E+06	7.16
202644_s_at	TNFAIP3	7128	P12580	6	130188580	1.97	1.91E+07	8.30E+06	7.12
217441_at	USP33	23032	Q8TEV7	7	-17817339	-0.77	1.91E+07	8.30E+06	7.12
202887_s_at	DDIT4	54541	Q9XN09	20	74033676	2.05	1.92E+07	8.30E+06	7.12
212429_s_at	GTF3C2	2976	Q8WU44	2	-27548220	0.80	1.92E+07	8.30E+06	7.12
209454_s_at	TEAD3	7005	Q99594	6	-35441375	0.84	1.92E+07	8.30E+06	7.12

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ProbedID	SYMBOL	ENTREZ	UNIPROT	CHR	CHROCC	Log2R	Rawval	AdjvalBH	Lods
216576_at	NA	NA	NA	NA	NA	0.72	1.92E+07	8.35E+06	7.11
219462_at	TMEM53	79639	Q9P2H8	1	-45119501	-0.75	1.93E+07	8.31E+06	7.11
213183_s_at	CDKN1C	1028	P49918	11	-2904449	0.60	1.94E+07	8.35E+06	7.11
202681_at	USP4	7375	Q08AK7	3	-49314576	0.75	1.98E+07	8.57E+06	7.09
221710_x_at	FAM176B	55194	Q9NVM1	1	-36787631	1.16	2.00E+07	8.81E+06	7.08
210990_s_at	LAMA4	3910	Q13663	6	-112574985	-0.57	2.01E+07	8.61E+06	7.07
209975_at	ADAM19	8728	Q8TBU7	5	-156904312	-0.87	2.02E+07	8.61E+06	7.07
203917_at	CXADR	1525	P78310	21	-18885329	-1.74	2.02E+07	8.65E+06	7.06
201494_at	PRCP	5547	ARMU24	11	-82535409	1.43	2.04E+07	8.65E+06	7.06
217762_s_at	RAB31	11031	Q13636	18	9708227	2.69	2.04E+07	8.68E+06	7.06
211587_x_at	CHRNA3	1136	P32297	15	-78887646	-0.64	2.11E+07	8.93E+06	7.03
201345_s_at	UBE2D2	7322	P62837	5	138940750	1.12	2.16E+07	9.15E+06	7.00
214994_at	APOBEC3F	200316	Q6IC33	22	39436672	0.87	2.18E+07	9.22E+06	6.99
219043_s_at	NA	NA	NA	NA	NA	0.96	2.20E+07	9.25E+06	6.99
217373_s_at	NUP50	10762	Q9UKX7	22	-45599725	-1.33	2.25E+07	9.25E+06	6.99
216414_at	NA	NA	NA	NA	NA	-0.61	2.21E+07	9.26E+06	6.98
206932_at	CHD7H5	9023	O99992	10	-90965695	0.94	2.21E+07	9.26E+06	6.98
207364_at	TEX28	1527	O15482	X	-153498932	-0.82	2.22E+07	9.26E+06	6.98
204291_at	ZNF518A	9849	Q6AHZ1	-1.07	97889471	-1.07	2.22E+07	9.26E+06	6.98
221974_at	IPW	3653	NA	NA	25361691	0.78	2.25E+07	9.35E+06	6.96
201792_at	AEBP1	165	Q8LUX7	7	44143959	1.91	2.26E+07	9.41E+06	6.96
205128_x_at	PTGS1	5742	P23219	9	125133228	1.70	2.27E+07	9.43E+06	6.95
216200_at	PLEKHA1	9842	Q9Y4C2	17	-43313266	0.79	2.28E+07	9.45E+06	6.95
218351_at	COMMD8	54951	Q9XN08	4	-47452814	-1.38	2.29E+07	9.45E+06	6.95
209777_s_at	SLC19A1	6573	P41440	21	-46934628	-0.82	2.29E+07	9.45E+06	6.95
207780_at	CYLC2	1539	Q14093	9	105757592	-0.49	2.31E+07	9.51E+06	6.94
202995_s_at	FBLN1	2192	P23142	22	-42598718	2.61	2.32E+07	9.52E+06	6.93
202741_at	PRKACB	5567	B28B89	1	84543744	-2.32	2.32E+07	9.63E+06	6.92
201359_at	COPB1	1315	P55618	11	-14479048	-1.08	2.37E+07	9.71E+06	6.91
212421_at	ZCCHC24	219654	Q8N2G6	10	-81142084	1.31	2.38E+07	9.73E+06	6.91
216200_at	PLEKHA1	9842	Q9Y4C2	17	-43313266	0.79	2.38E+07	9.73E+06	6.91
208179_x_at	KIR2DL3	3804	E3ZDM8	19	55493973	-0.71	2.40E+07	9.77E+06	6.90
202082_s_at	SEC14L1	6397	ASPLM6	17	75137004	1.99	2.43E+07	9.87E+06	6.89
202202_s_at	LAMA4	3910	Q13636	6	-112574985	2.60	2.46E+07	1.00E+07	6.87
201684_s_at	TOX4	9878	O94842	14	21945334	0.78	2.50E+07	1.01E+07	6.86
209524_at	HDFGRP3	58010	Q9Y3E1	15	-83086815	1.52	2.50E+07	1.01E+07	6.86
221301_at	C6orf27	80737	Q9Y334	6	-31733371	-0.55	2.52E+07	1.02E+07	6.85
216200_at	PLEKHA1	9842	Q9Y4C2	17	-43313266	0.79	2.38E+07	9.73E+06	6.91
201601_x_at	IFTM1	8519	P13164	11	313990	2.25	2.55E+07	1.02E+07	6.84
208971_at	UROD	7389	P06132	1	45477804	0.75	2.55E+07	1.02E+07	6.84
213907_at	EEF1E1	9521	C9JLK5	6	-8079655	-0.50	2.56E+07	1.02E+07	6.84
212379_at	GART	2618	P21202	21	-34896315	-0.60	2.58E+07	1.03E+07	6.83
58696_at	EXOSC4	9442	Q9NPD3	8	145133521	0.91	2.58E+07	1.03E+07	6.83
214541_s_at	QKI	5454	Y9WY44	6	163835674	-0.67	2.60E+07	1.03E+07	6.82
211331_x_at	HFE	3077	Q30201	6	26887508	-0.61	2.60E+07	1.03E+07	6.82
64064_at	GIMAP5	55340	Q96T15	7	150434450	0.66	2.60E+07	1.04E+07	6.82
220303_at	PDZD3	79949	BOY161	11	119056165	-1.46	2.62E+07	1.04E+07	6.81
206249_at	MAP3K13	9175	Q43283	3	185800969	-0.86	2.63E+07	1.04E+07	6.81
221319_at	SPKHB8	56128	Q9UN66	5	140557429	-0.50	2.63E+07	1.04E+07	6.81
213541_s_at	ERG	2078	B4DN83	21	-39751951	1.13	2.64E+07	1.04E+07	6.81
206071_s_at	EPHA3	2042	P29230	3	89156673	-0.48	2.66E+07	1.04E+07	6.80
220509_s_at	EPHC2	80258	Q5ST56	X	-44407128	-0.75	2.66E+07	1.04E+07	6.80
217757_at	C3	718	P01024	19	-46778626	2.68	2.65E+07	1.29E+07	6.49
209477_at	EMD	2010	P54042	X	153607596	1.36	2.66E+07	1.29E+07	6.49
221034_x_at	TEX13B	56156	Q9RXU2	X	-107224093	-0.68	3.66E+07	1.29E+07	6.49
203887_x_at	THBD	7056	P07204	20	-23026270				

ProbeID	SYMBOL	ENTREZ	UNIPROT	CHR	CHROM	Log2R	Rawval	AdjvalBH	Lods
2017652_at	MAU2	23383	Q9Y6X3	19	19431629	-0.53	4.95E-07	1.60E-05	6.19
207126_x_at	NA	NA	NA	NA	NA	-2.20	5.06E-07	1.64E-05	6.17
212452_x_at	MYST4	23522	Q8WYB5	10	76586378	-0.79	5.12E-07	1.65E-05	6.16
211463_at	ZIC4	84107	B4DFB9	3	41710384	-0.53	5.14E-07	1.66E-05	6.16
220229_s_at	AP4E1	23431	Q9UPM8	15	51200945	-0.44	5.19E-07	1.67E-05	6.15
202261_at	VPS72	6944	U1514893	684	5.24E-07	1.69E-05	6.14		
21079_at	NES1P3	11649	NA	13	NA	-0.53	5.27E-07	1.69E-05	6.13
219024_at	PLEKH1A1	59338	B3KQ55	10	124134219	-1.05	5.29E-07	1.70E-05	6.13
201109_s_at	THBS1	7057	P07996	15	39832729	2.03	5.30E-07	1.70E-05	6.13
217991_x_at	SSBP3	23648	Q9BWW4	1	-5402195	-0.87	5.35E-07	1.71E-05	6.12
206724_at	CBX4	8535	Q00257	17	-77806955	-0.74	5.37E-07	1.71E-05	6.11
217180_at	NA	NA	NA	NA	NA	-0.63	5.42E-07	1.73E-05	6.10
208788_at	ELOVL5	60481	Q9NYP7	6	-53132195	2.24	5.48E-07	1.74E-05	6.09
212386_at	TCF4	6925	B3XV44	18	-52889641	1.93	5.49E-07	1.74E-05	6.09
206942_at	PMCH	5367	P20082	12	-102590238	-0.61	5.53E-07	1.75E-05	6.09
222122_x_at	THOC2	57187	Q8N2T7	X	-122734412	-1.15	5.55E-07	1.76E-05	6.08
40420_at	STK10	6793	Q94804	5	-171469073	0.82	5.56E-07	1.76E-05	6.08
212777_at	SOS1	6654	Q07889	2	-39208691	-0.74	5.57E-07	1.76E-05	6.08
208227_x_at	ADAM22	53616	Q08AL8	7	87563701	-0.69	5.58E-07	1.76E-05	6.08
214124_x_at	FGFR10P	11116	Q95684	6	167412815	-0.98	5.59E-07	1.76E-05	6.07
220448_at	EDAR	10913	Q9UNE0	10	-19501090	-0.65	5.63E-07	1.77E-05	6.07
201147_s_at	TMP3	7078	P35625	22	33198801	1.95	5.65E-07	1.78E-05	6.06
204054_at	PTEN	5728	P60484	10	89623194	-0.84	5.67E-07	1.78E-05	6.06
209161_at	PRPF4	9128	Q43172	9	116037973	0.76	5.70E-07	1.78E-05	6.06
221258_s_at	KIF18A	81930	Q8N777	11	-28042162	-0.42	5.70E-07	1.78E-05	6.06
213075_at	OLFM2A	169611	Q68BL7	9	127539436	1.13	5.71E-07	1.78E-05	6.05
205510_s_at	FLJ10038	55056	NA	15	-50641136	0.69	5.71E-07	1.78E-05	6.05
209067_s_at	HNR9PDL	9987	Q14979	4	-83344348	1.33	5.75E-07	1.79E-05	6.05
211851_x_at	BRCA1	672	P38398	17	-1196312	-0.70	5.76E-07	1.79E-05	6.05
215242_at	PKC	5279	Q92545	1	172416597	-0.43	5.80E-07	1.80E-05	6.04
218573_at	MAGEH1	28986	Q9H213	X	55478537	1.13	5.81E-07	1.80E-05	6.04
220773_s_at	GPHN	10243	Q9NQX3	14	66674124	-0.86	5.82E-07	1.80E-05	6.03
203427_at	ASF1A	25842	Q9Y294	6	-119215240	-1.30	5.87E-07	1.82E-05	6.03
218656_s_at	LHPF	10186	Q9Y693	13	-39917029	2.19	5.88E-07	1.82E-05	6.03
215499_at	MAP2K3	5606	P46734	17	21187967	1.19	5.89E-07	1.82E-05	6.02
201430_s_at	DYSL13	1809	B3SX08	5	-146770570	1.82	5.93E-07	1.83E-05	6.02
219102_at	UBAP2	55833	Q92652	9	-33921600	-1.24	5.95E-07	1.83E-05	6.01
222192_s_at	C2orf43	60526	Q9H6V9	2	-20848418	-1.08	5.98E-07	1.84E-05	6.01
214774_x_at	TOX3	27324	B4DRD0	16	-52479197	-3.24	5.99E-07	1.84E-05	6.01
201288_at	ARHGDB1	397	P52566	12	-15094499	1.65	5.99E-07	1.84E-05	6.01
212722_s_at	JMJD6	23210	Q6NYC1	17	-74714526	0.81	6.01E-07	1.84E-05	6.00
215755_at	NA	NA	NA	NA	NA	-0.45	6.02E-07	1.84E-05	6.00
212226_s_at	PPAP2B	8613	Q14495	1	-56960432	1.82	6.03E-07	1.84E-05	6.00
200692_s_at	ANXA6	309	B7BZA7	5	-150480269	1.92	6.04E-07	1.84E-05	6.00
214022_at	IFTM1	8519	P13614	11	313990	2.17	6.06E-07	1.85E-05	6.00
212362_at	ATP2A2	488	P16615	12	-11071031	-0.78	6.10E-07	1.85E-05	5.99
215971_at	NA	NA	NA	NA	NA	-0.65	6.11E-07	1.85E-05	5.99
213659_at	ZNF75D	7626	A6NK62	4	-134419723	-0.67	6.11E-07	1.85E-05	5.99
202133_at	WWTR1	25937	Q9GVZ5	3	-49235021	2.07	6.12E-07	1.85E-05	5.99
215354_s_at	PELP1	27043	Q8ZL8	8	-4574679	0.87	6.15E-07	1.86E-05	5.98
203005_at	LTR	4055	P56941	12	6493356	1.14	6.15E-07	1.86E-05	5.98
209980_at	DCLRE1A	9277	Q92858	10	-115594483	-0.74	6.24E-07	1.88E-05	5.97
217939_s_at	AFTPH	54812	Q53GW0	2	64751438	-0.63	6.25E-07	1.88E-05	5.97
211245_x_at	KIR2DL4	3805	Q9Y706	17	55315066	-0.63	6.30E-07	1.89E-05	5.96
201941_at	CPD	1362	B7ZA14	17	28705983	-1.88	6.33E-07	1.90E-05	5.95
216337_at	NA	NA	NA	NA	NA	-0.59	6.33E-07	1.90E-05	5.95

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ProbeID	SYMBOL	ENTREZ	UNIPROT	CHR	CHROM	Log2R	Rawval	AdjvalBH	Lods
208991_s_at	UPT2	26319	Q9HIAU5	10	-11862021	1.92	6.35E-07	1.92E-05	5.95
217018_at	NA	NA	NA	NA	NA	-0.76	6.37E-07	1.91E-05	5.95
204667_at	FOXA1	3169	P55317	14	-38059192	-1.02	6.40E-07	1.91E-05	5.94
219769_at	INCENP	3619	Q9NQS7	11	61891444	-0.49	6.41E-07	1.91E-05	5.94
222295_x_at	NA	NA	NA	NA	NA	-0.37	6.43E-07	1.92E-05	5.94
209304_x_at	GADD45B	4616	Q75293	19	24761222	1.24	6.44E-07	1.92E-05	5.94
215520_at	PYGO1	26108	Q9Y374	15	-55838220	-0.53	6.46E-07	1.92E-05	5.93
220255_at	TATL7	54457	Q59BL4	X	-10682341	-0.52	6.49E-07	1.92E-05	5.93
32209_at	FAM59B	23625	Q8NSH3	11	65339819	0.83	6.50E-07	1.93E-05	5.93
222085_at	FAM174B	400451	Q916080	051	9316080	-0.51	6.52E-07	1.93E-05	5.92
201748_x_at	SAFB	6294	Q15424	19	5623163	0.87	6.55E-07	1.93E-05	5.92
212644_x_at	MAPK11PIL	93487	Q8MDC0	14	55518361	0.90	6.56E-07	1.93E-05	5.92
203052_at	C2	717	B4DFP3	6	31868775	0.74	6.56E-07	1.93E-05	5.92
214438_at	HLX	3142	Q14774	1	221052742	1.14	6.62E-07	1.95E-05	5.91
209961_s_at	EIF	3082	P14210	7	-81380216	-0.64	6.65E-07	1.95E-05	5.91
209754_at	TMPO	7112	P42166	12	98903350	-1.48	6.82E-07	2.00E-05	5.88
209723_at	SERPINC9	5272	Q60265	6	-2887505	2.72	6.82E-07	2.00E-05	5.88
212561_at	DENN5A	23258	Q6Q026	11	-9160376	1.29	6.85E-07	2.00E-05	5.88
823_at	CX3CL1	6376	AOXN07	16	57406413	0.82	6.85E-07	2.00E-05	5.88
207594_x_at	SYN1	8867	B9EGN3	21	-34001068	-0.65	6.91E-07	2.02E-05	5.87
219544_at	QPGQ07	73302041	-0.77	6.92E-07	2.02E-05	5.87			
215158_x_at	BMP4	652	P12644	14	-54416456	-0.95	6.94E-07	2.02E-05	5.86
208991_at	STAT3	6774	P40763	17	-40865324	1.06	6.98E-07	2.03E-05	5.86
204556_x_at	REST	5978	Q13127	4	57774401	-0.55	7.00E-07	2.03E-05	5.86
205479_s_at	PLAU	5328	P00749	10	75670808	2.12	7.07E-07	2.05E-05	5.85
213943_at	TWIST1	7291	Q15672	7	-9155992	1.06	7.10E-07	2.06E-05	5.84
208069_x_at	NA	NA	NA	NA	NA	-0.78	7.10E-07	2.06E-05	5.84
218638_s_at	SPO2	10417	Q9BUD6	4	-1160721	1.40	7.24E-07	2.09E-05	5.82
202260_s_at	STXBP1	6812	P61764	9	130374485	1.13	7.25E-07	2.09E-05	5.82
200851_at	CTSB	1508	P07858	8	-11700035	1.04	7.27E-07	2.09E-05	5.82
219817_at	C12orf47	51275	NA	12	-11227572	-0.59	7.27E-07	2.09E-05	5.82
216317_x_at	RHCE	6006	P18577	1	-25688740	-0.51	7.32E-07	2.10E-05	5.81
214245_at	RPS14	6206	P6263	5	-149823793	-0.53	7.33E-07	2.10E-05	5.81
215239_x_at	ZNF273	10793	Q14593	7	64636319	-0.78	7.33E-07	2.10E-05	5.81
220835_s_at	ZNF407	55628	Q9C600	18	72342918	-0.53	7.34E-07	2.10E-05	5.81
206359_at	SOC3	9021	O14543	17	-7632858	1.26	7.38E-07	2.11E-05	5.80
210259_s_at	DLX4	1748	Q92988	17	48046561	-0.67	7.41E-07	2.12E-05	5.80
208991_at	ALOX5	240	P09917	10	-45869628	1.61	7.58E-07	2.16E-05	5.78
49327_at	NA	NA	NA	NA	NA	-0.52	7.64E-07	2.18E-05	5.77
210013_at	HPX	3263	P02790	11	-6452267	-0.64	7.67E-07	2.18E-05	5.77
212910_at	THAP11	57215	Q96K4	16	67876212	0.66	7.71E-07	2.19E-05	5.76
221538_x_at	PLXNA1	5361	Q9UJW2	3	126707436	1.35	7.71E-07	2.19E-05	5.76
217408_at	MRPS18B	28973	B057P4	6	30585485	1.12	7.73E-07	2.19E-05	5.76
202763_at	CASP3	836	P4476	4	-185548851	-1.54	7.78E-07	2.20E-05	5.75
220613_s_at	SYTL2	54843	Q9HCH5	11	-8540266	-1.44	7.80E-07	2.20E-05	5.75
204440_at	TPST1	8460	A4D2M0	7	65670258	0.74	7.81E-07	2.20E-05	5.75
221419_x_at	NA	NA	NA	NA	NA	1.46	7.83E-07	2.21E-05	5.75
221371_at	TNFSF18	8995	Q9UNQ2	1	-173010359	-0.59	7.85E-07	2.21E-05	5.74
221196_x_at	BRCC3	79184	P46736	X	154299709	-1.02	8.00E-07	2.25E-05	5.72
221900_at	COL2A4	1296	P25607	1	-3650844	1.13	8.04E-07	2.26E-05	5.72
208654_x_at	C12orf47	8763	Q04900	6	-10968737	-2.16	8.04E-07	2.26E-05	5.72
206561_s_at	AKR1B10	57016	Q60218	7	134212343	-1.14	8.06E-07	2.26E-05	5.72
212405_x_at	METTL13	51603	C484C6	1	17170760	0.65	8.15E-07	2.29E-05	5.71
215463_at	OR7E2A	26648	Q6QFN5	19	9361719	-0.52	8.19E-07	2.29E-05	5.70
212028_at	BRM25	58517	P49756	13	73252220	-0.87	8.21E-07	2.29E-05	5.70
201690_x_at	TPD52	7163	A6NCF2	8	-80947104	-1.83	8.34E-07	2.33E-05	5.68
206017_at	KIAA0319	9856	B7ZML3	6	-24544331	-0.63	8.42E-07	2.35E-05	

ProbeID	SYMBOL	ENTREZ	UNIPROT	CHR	CHRLC	Log2R	Rawpval	AdjPvalBH	Lods
212728_at	DLG3	1741	B4E0H1	X	69664704	-0.83	1.41E-06	3.42E-05	5.17
221958_s_at	WLS	79971	Q5JRS7	1	-68591040	1.36	1.41E-06	3.43E-05	5.17
205591_at	ZNF652	22834	AKR3F2	17	-47366568	-1.60	1.42E-06	3.44E-05	5.17
204468_s_at	TIE1	7075	P35990	1	43766663	1.54	1.42E-06	3.44E-05	5.17
204628_s_at	ITGB3	3690	P05106	17	45331207	0.81	1.42E-06	3.44E-05	5.16
221987_s_at	TSR1	55720	Q2NLK2	17	-2225991	0.88	1.43E-06	3.44E-05	5.16
217644_s_at	SOS2	6655	Q07890	14	-50583846	-0.55	1.43E-06	3.44E-05	5.16
202722_s_at	GFPT1	2673	Q06210	2	-69546904	-1.39	1.44E-06	3.47E-05	5.15
220134_x_at	FAM176B	55194	Q9NVM1	1	-36787631	1.09	1.44E-06	3.47E-05	5.15
212625_at	CBR4	84869	Q8N4T8	4	-169908743	-1.17	1.45E-06	3.49E-05	5.14
216943_at	NA	NA	NA	NA	NA	-0.63	1.45E-06	3.49E-05	5.14
207584_at	LPA	4018	P08519	6	-160952515	-0.36	1.45E-06	3.49E-05	5.14
222303_at	NA	NA	NA	NA	NA	2.24	1.47E-06	3.53E-05	5.13
210511_s_at	INHBA	3624	A4DIW7	7	-41728602	1.90	1.47E-06	3.54E-05	5.13
221579_s_at	NUDT3	11165	O95989	6	-34256001	0.84	1.48E-06	3.54E-05	5.13
50965_at	RAB26	25837	Q3L6K5	16	2198650	-0.83	1.49E-06	3.57E-05	5.12
214424_s_at	ALDOB	229	P05062	9	-104182841	-0.63	1.49E-06	3.57E-05	5.12
212095_s_at	MTUS1	57509	B4DH03	8	-17501303	-1.06	1.50E-06	3.58E-05	5.11
207552_at	ATPSG2	517	Q60055	12	-54058944	-0.79	1.50E-06	3.58E-05	5.11
221039_s_at	ASAP1	50807	B2RNV3	8	-131064352	0.71	1.52E-06	3.62E-05	5.10
221730_at	COL5A2	1290	P05997	2	-189896641	2.38	1.53E-06	3.63E-05	5.09
202141_s_at	COPX8	10920	ASKI16	2	237994083	0.69	1.53E-06	3.63E-05	5.09
212077_at	CALD1	800	AKK0X1	7	134464163	3.23	1.53E-06	3.63E-05	5.09
212971_at	CARS	833	B4DPV7	11	-3022159	0.94	1.53E-06	3.63E-05	5.09
214340_at	ALOX12P2	245	NA	17	6756894	-0.76	1.53E-06	3.63E-05	5.09
204234_s_at	ZNF195	7748	O14638	11	-3380010	-1.22	1.53E-06	3.63E-05	5.09
206147_x_at	SCML2	10389	Q9UQR0	X	-18257432	-0.52	1.54E-06	3.63E-05	5.09
213745_at	ATRNLI	26033	Q5VV63	10	116853123	-0.32	1.54E-06	3.64E-05	5.08
208402_at	IL17A	3605	Q16552	6	52051184	-0.46	1.55E-06	3.65E-05	5.08
205642_at	CEP110	11064	Q7Z7A1	9	123850573	-0.78	1.55E-06	3.66E-05	5.08
221011_s_at	LBH	81606	Q53QV2	2	30454396	2.13	1.56E-06	3.68E-05	5.07
209236_at	SLC23A2	9962	Q9UGH3	20	-4833001	1.00	1.58E-06	3.71E-05	5.06
201076_at	NHP2L1	4809	P55769	22	-42069937	1.02	1.58E-06	3.71E-05	5.06
203729_at	EMP3	2014	P54852	19	48828628	2.18	1.59E-06	3.73E-05	5.06
212856_at	GRAMD4	23151	Q6K9R8	22	47022657	-1.03	1.59E-06	3.73E-05	5.05
218029_at	FAM65A	79567	B4DEQ9	16	67562716	0.63	1.60E-06	3.74E-05	5.05
204715_at	PANX1	24145	Q96RD7	11	93862093	0.89	1.60E-06	3.74E-05	5.05
206285_at	NPHP1	4867	O15259	2	-110880915	-0.32	1.60E-06	3.75E-05	5.05
208136_s_at	MGC3771	81854	NA	16	-3160460	-0.55	1.61E-06	3.77E-05	5.04
216925_s_at	TAL1	6886	P17542	1	-47681962	-0.59	1.62E-06	3.78E-05	5.04
204778_x_at	H0XB7	3217	P09629	17	-46684602	-1.09	1.64E-06	3.82E-05	5.03
219382_at	SERTAD3	29946	Q9LIW9	19	40946748	1.09	1.65E-06	3.84E-05	5.02
208063_s_at	CAPN9	10753	O14815	1	230883129	-2.66	1.66E-06	3.87E-05	5.01
219102_at	RCN3	57333	Q96D15	19	50030874	0.94	1.67E-06	3.87E-05	5.01
221623_at	BCAN	63827	Q96GW7	1	156611739	-0.49	1.67E-06	3.89E-05	5.00
208550_x_at	KCNG2	26251	Q9LJ96	18	77623667	0.82	1.68E-06	3.89E-05	5.00
221672_s_at	TRAPPC9	83696	Q96Q05	8	-140742585	0.80	1.68E-06	3.89E-05	5.00

**S4 Table. Barcode genes exclusively associated with P-BE.**

<i>UNIPROT</i>	<i>SYMBOLS</i>	<i>Entrez</i>	<i>ENSEMBL</i>	<i>Chr</i>	<i>CHRLOC</i>
D3DU92	RNPS1	10921	ENSG00000205937	16	-2303120
Q15287	HNRNPD	3184	ENSG00000138668	4	-83274466
Q14103	SPARC	6678	ENSG00000113140	5	-151041018
P09486	GOT2	2806	ENSG00000125166	16	-58741034
P00505	ARF3	377	ENSG00000134287	12	-49329991
P61204	GPX1	2876	ENSG00000233276	3	-49394610
P07203	TPP1	1200	ENSG00000166340	11	-6633996
O14773	LAMC1	3915	ENSG00000135862	1	182992594
P11047	PEA15	8682	ENSG00000162734	1	160175124
Q6NVY8	MCL1	4170	ENSG00000143384	1	-150547036
B1AKZ4	HSPA1A	3303	ENSG00000204388	6	31783290
Q15121	CIRBP	1153	ENSG00000099622	19	1269266
C8YZ26	CIRBP	1153	ENSG00000099622	19	1269266
Q07820	CTSB	1508	ENSG00000164733	8	-11700035
A8K5I0	TAGLN2	8407	ENSG00000158710	1	-159887902
B3KTT5	VCL	7414	ENSG00000035403	10	75757871
P08107	DCTN2	10540	ENSG00000175203	12	-57924093
Q14011	LDHB	3945	ENSG00000111716	12	-21788274
Q53XX5	DUSP1	1843	ENSG00000120129	5	-172195094
Q14011	STOM	2040	ENSG00000148175	9	-124101356
Q53XX5	GPNMB	10457	ENSG00000136235	7	23286315
P07858	CSDA	8531	ENSG00000060138	12	-10851677
P37802	BHLHE40	8553	ENSG00000134107	3	5021096
B3KXA2	CYR61	3491	ENSG00000142871	1	86046443
P18206	IFITM2	10581	ENSG00000185201	11	308106
B2RBK5	EMP1	2012	ENSG00000134531	12	13349601
Q13561	ETS2	2114	ENSG00000157557	21	40177848
P07195	COPS6	10980	ENSG00000168090	7	99686582
Q5U077	CNN3	1266	ENSG00000117519	1	-95362508
B4DU40	JUN	3725	ENSG00000177606	1	-59246463
P28562	JUNB	3726	ENSG00000171223	19	12902309
B1AM77	PPP4R1	9989	ENSG00000154845	18	-9546791
P27105	RRAGA	10670	ENSG00000155876	9	19049371
Q9H376	IER3	8870	ENSG00000137331	6	-30710976
Q14956	JAK1	3716	ENSG00000162434	1	-65298905
Q96F58	KRT5	3852	ENSG00000186081	12	-52908360
P16989	PLAT	5327	ENSG00000104368	8	-42032235
O14503	VWF	7450	ENSG00000110799	12	-6058039
Q6IB83	WWTR1	25937	ENSG0000018408	3	-149235021
O00622	TRIB1	10221	ENSG00000173334	8	126442562
Q6FI18	COL1A1	1277	ENSG00000108821	17	-48261458
Q01629	ST5	6764	ENSG00000166444	11	-8714899
P54849	SVIL	6840	ENSG00000197321	10	-29746276
P15036	NA	NA	NA	NA	NA
Q7L5N1	LEPROTL1	23484	ENSG00000104660	8	29952921
Q15417	SNRPD1	6632	ENSG00000167088	18	19192259
Q6FHA7	DRG1	4733	ENSG00000185721	22	31795538
P05412	AMOTL2	51421	ENSG00000114019	3	-134074189
P17275	NDUFS8	4728	ENSG00000110717	11	67798083
Q5U079	HDCC2	51020	ENSG00000111906	6	-125596495
Q8TF05	CAV2	858	ENSG00000105971	7	116139443
Q7L523	PPL	5493	ENSG00000118898	16	-4932507
P46695	COL15A1	1306	ENSG00000204291	9	101706137
P23458	EPHA2	1969	ENSG00000142627	1	-16450831
P13647	S100A9	6280	ENSG00000163220	1	153330329
P00750	PI3	5266	ENSG00000124102	20	43803539
P04275	CEBPD	1052	ENSG00000221869	8	-48649475
Q9GZV5	S100A2	6273	ENSG00000196754	1	-153533586
Q96RU8	TRIM16	10626	ENSG00000221926	17	-15531280
P02452	KRT15	3866	ENSG00000171346	17	-39669997
P78524	MAL	4118	ENSG00000172005	2	95691478
O95425	SPRR1B	6699	ENSG00000169469	1	153003678
Q569J5	KRT17	3872	ENSG00000128422	17	-39775691
NA	SPINK5	11005	ENSG00000133710	5	147443534
O95214	S100A7	6278	ENSG00000143556	1	-153430219
Q6FHL7	NA	NA	NA	NA	NA
P62314	SCEL	8796	ENSG00000136155	13	78109808
Q9Y295	CSRP2	1466	ENSG00000175183	12	-77252495
Q9Y2J4	SF1	7536	ENSG00000168066	11	-64532075
O00217	NA	NA	NA	NA	NA
Q7Z4H3	ACTN1	87	ENSG00000072110	14	-69340840
P51636	ACTN1	87	ENSG00000072110	14	-69340840
Q53X57	C1S	716	ENSG00000182326	12	7167979
O60437	NAP1L1	4673	ENSG00000187109	12	-76438671

<i>UNIPROT</i>	<i>SYMBOLS</i>	<i>Entrez</i>	<i>ENSEMBL</i>	<i>Chr</i>	<i>CHRLOC</i>
P39059	TSC22D3	1831	ENSG00000157514	X	-106956459
P29317	PSMB5	5693	ENSG00000100804	14	-23495060
P06702	PTK2	5747	ENSG00000169398	8	-141668501
P19957	STAT3	6774	ENSG00000168610	17	-40465342
P49716	NA	NA	NA	NA	NA
P29034	KRT6A	3853	ENSG00000205420	12	-52880958
O95361	KRT6B	3854	ENSG00000185479	12	-52840436
B3KVF5	FOS	2353	ENSG00000170345	14	75745480
P19012	TUBB6	84617	ENSG00000176014	18	12308256
P21145	CRYAB	1410	ENSG00000109846	11	-111779349
Q6FH77	KRT14	3861	ENSG00000186847	17	-39738532
P22528	RBPMS	11030	ENSG00000157110	8	30241943
Q04695	SERPINB3	6317	ENSG00000057149	18	-61322432
Q14666	SERPINB3	6317	ENSG00000057149	18	-61322432
Q9NQ38	KLK10	5655	ENSG00000129451	19	-51516000
P31151	KRT16	3868	ENSG00000186832	17	-39766032
NA	CARD10	29775	ENSG00000100065	22	-37886400
B7Z797	CD47	961	ENSG00000196776	3	-107761940
O95171	CSR2P	1466	ENSG00000175183	12	-77252495
Q16527	HSPA2	3306	ENSG00000126803	14	65007185
B7Z1Q1	HOPX	84525	ENSG00000171476	4	-57514153
Q15637	DYNC1H1	1778	ENSG00000197102	14	102430864
NA	COL4A1	1282	ENSG00000187498	13	-110801310
B3V8S3	FKBP9	11328	ENSG00000122642	7	32997004
P12814	PPAP2B	8613	ENSG00000162407	1	-56960432
Q1HE25	KRT17	3872	ENSG00000128422	17	-39775691
B3V8S3	SLC7A1	6541	ENSG00000139514	13	-30083551
P12814	CEBPB	1051	ENSG00000172216	20	48807375
Q1HE25	WEE1	7465	ENSG00000166483	11	9595227
P09871	SPARC	6678	ENSG00000113140	5	-151041018
P55209	POLR2J	5439	ENSG00000005075	7	-102113547
Q5JRJ2	C9orf3	84909	ENSG00000148120	9	97488885
Q99576	CARS	833	ENSG00000110619	11	-3022159
B4DUM9	AHNAK2	113146	ENSG00000185567	14	-105403590
P28074	KANK1	23189	ENSG00000107104	9	504702
B4E2N6	ARHGEF18	23370	ENSG00000104880	19	7459998
Q05397	YAP1	10413	ENSG00000137693	11	101981191
Q59GM6	KAZ	23254	ENSG00000189337	1	14925212
Q658W2	KRT6B	3854	ENSG00000185479	12	-52840436
P40763	SPRR1A	6698	ENSG00000169474	1	152956556
P29972	MINK1	50488	ENSG00000141503	17	4736634
P02538	DKK3	27122	ENSG00000050165	11	-11984544
P04259	SPRR1A	6698	ENSG00000169474	1	152956556
P01100	NA	NA	NA	NA	NA
Q6FG41	MAP2K3	5606	ENSG00000034152	17	21187967
Q9BUF5	HDGF	3068	ENSG00000143321	1	-156711899
P02511	TRMT112	51504	ENSG00000173113	11	-64084167
P02533	YPEL5	51646	ENSG00000119801	2	30369749
Q93062	BAG3	9531	ENSG00000151929	10	121410881
P29508	DYNLRB1	83658	ENSG00000125971	20	33104203
P29508	NGFRAP1	27018	ENSG00000166681	X	102631267
O43240	PHLDA1	22822	ENSG00000139289	12	-76419227
P08779	SLC38A2	54407	ENSG00000134294	12	-46751971
Q9BWT7	NDFUA3	4696	ENSG00000170906	19	54606159
Q08722	OSBPL10	114884	ENSG00000144645	3	-31702317
Q16527	SLC24A3	57419	ENSG00000185052	20	19193289
P54652	TMEM45A	55076	ENSG00000181458	3	100211462
B7WNL2	NA	NA	NA	NA	NA
Q9BPY8	RHCG	51458	ENSG00000140519	15	-90014637
Q14204	CRNN	49860	ENSG00000143536	1	-152381718
P02462	AIM1L	55057	ENSG00000176092	1	-26648349
A7YQ73	TMEM176B	28959	ENSG00000106565	7	-150488377
O95302	CRCT1	54544	ENSG00000169509	1	152486977
O14495	SPRR2C	6702	NA	1	-153112594
Q04695	SLC38A2	54407	ENSG00000134294	12	-46751971
Q14666	HSPB8	26353	ENSG00000152137	12	119616594
P30825	TNS1	7145	ENSG00000079308	2	-218664511
P17676	TUG1	55000	NA	22	31365633
B3KVE1	NA	NA	NA	NA	NA
P30291	MAFF	23764	ENSG00000185022	22	38597938
Q86V29	AQP3	360	ENSG00000165272	9	-33441161
P09486	PI3	5266	ENSG00000124102	20	43803539
P52435	SPSB3	90864	ENSG00000162032	16	-1826713
Q8N6M6	PLSCR3	57048	ENSG00000187838	17	-7293054

## Supplementary Results

### ***CYR61* and *TAZ* upregulation and focal epithelial to mesenchymal transition may be early predictors of Barrett's esophagus malignant progression**

Joana Cardoso, Marta Mesquita, António Dias Pereira, Mónica Bettencourt-Dias, Paula Chaves, José B. Pereira-Leal

Two main reasons motivated us to develop a new bioinformatics pipeline to search for early biomarkers of BE malignant progression using publicly available transcriptome microarray data. First, while several datasets on BE are in the public domain, none of them simultaneously contained samples from EA, P-BE and nonP-BE that could be directly compared. This issue required us to merge the existing samples from distinct datasets and compare them by DEA. However, inter-dataset DEA is very sensitive to technical noise. Methods such as ComBat and SVA remove batch-associated noise (reviewed in (1)) but due to the reduced number of available BE samples these methods also removed most of the meaningful biological signal. To better deal with the inter-dataset noise and to take advantage of genes with bimodal expression, which are in principle more easily translated to protein level differences and thus the ideal biomarker candidates, we included the Gene Expression Barcode 2.0 binarization algorithm developed by McCall *et al.* (2, 3). The produced barcodes are very robust against random sources of noise because their calculation relies on the usage of a large amount of annotated public data as a reference to binarize the expression of each gene (1=expressed, 0=not expressed) per individual sample.

In the context of our pipeline framework (S1 Fig), we curated three publicly available datasets of BE data on the Affymetrix HG-133A GeneChip® microarray platform. Overall, these three datasets contained a total of 33 BE samples. Samples described as collected in the

context of a clinically diagnosed EA (4) were assigned to the P-BE group (n=8) and samples not associated with EA at the time of analysis (5, 6) were assigned to the nonP-BE group (n=25). After frozen robust multi-array (fRMA) sample normalization (2, 3) we verified that individual samples in the merged set displayed highly correlated expression profiles (Pearson's correlation mean=0.92, min=0.80) (S2 Fig). This is indicative that despite the three distinct data sources and associated batch noise, the biological signal of BE samples was very comparable.

We next identified differential gene expression (DGE) between P-BE and nonP-BE samples using a Bayesian DEA, as illustrated in S1 Fig C. Under the very conservative statistical criteria logarithm of the odds ( $Lods \geq 5$ , probability DGE > 99.33%) and a false discovery rate (FDR) of  $3.9 \times 10^{-5}$  for DGE, we identified 958 independent probe sets mapping to 799 unique ENTREZ id genes (S3 Table). Among the unique genes, we have found up-regulation for 442 (S1 Fig C) and down-regulation for 357 genes. The 799 genes are able to correctly segregate P-BE from nonP-BE samples (S3 Fig A). As anticipated (see Materials and Methods section), no significant probe sets were found after testing of EA samples across distinct datasets (Kimchi *et al.* (4) vs. Watts *et al.* (6)). Barcode binarization of fRMA normalized BE and EA data (S1 Fig D) and the subsequent intersection of P-BE and nonP-BE barcodes allowed us to find a set of 148 probe sets (S4 Table) expressed in the P-BE samples (barcode=1) but oppositely marked as non-expressed (barcode=0) in the nonP-BE samples (S1 Fig E). To find candidates more likely associated with malignancy we assumed that P-BE-specific probe sets should overlap with probe sets expressed in EA (barcode=1). Thus, we have next intersected the 148 and 1195 probe sets, respectively from P-BE and EA barcodes. This procedure resulted in the filtering of malignancy-linked barcode candidates to 40 probe sets, corresponding to 38 unique genes (S1 Fig F), up-regulated in P-BE and EA samples as compared to nonP-BE samples. To maximize the discovery of BE early

progression biomarkers that most likely could be translated into routine clinical practice, we defined our top candidates as genes up-regulated according to DGE results and with barcode values set to 1 (S1 Fig G). With this final step we slimmed down the final list of candidates to 20 probe sets, corresponding to 19 unique genes over-expressed in P-BE (S1 Fig H).

## **Systems biology approach for biomarker prioritization**

To improve biomarker prioritization we thought of integrating biological functions of filtered genes with functions potentially relevant for BE malignant progression, by uncovering the gene GO-BP categories over-represented among the 19 filtered biomarkers. First, we used a guilt-by-association GeneMANIA tool (7) to build a functional association network between the set of 19 genes and 100 network neighbors (S6 Fig A). Secondly we used all network players to evaluate the enriched GO-BP categories by GSEA. We have used this alternative strategy instead of directly applying GSEA to the set of 19 genes due its reduced number. GSEA on GeneMania network genes (biomarkers and neighbors) highlighted that the significant (FDR<0.05) GO-BP top categories related with cell adhesion/motility, inflammation, differentiation/wounding, vasculature development, extracellular-matrix and response to stimulus among others (S6 Fig B, S5 Table).

To further increase the odds of success of downstream validation efforts, we have used knowledge-driven biomarker prioritization criteria. To be included, candidates must be functionally linked to 1) top biological functions detected by GSEA and to 2) phenotype features that characterizes BE (e.g. differentiation/wounding responses) and finally 3) candidates must have been previously associated to cancer progression in other tumors. Thus, we have searched the literature for functional characterization of the set of 19 genes and selected two potential biomarkers for proof-of-principle experimental validation. CYR61 (alias CCN1) was the most significantly over-expressed gene in our DGE analysis (S3 Table) and according to barcode analysis is expressed in >93 % of EA samples. Its over-expression

is involved in the malignant progression and prognosis of major tumors (breast, prostate, colorectal and others outlined in Table 1). CYR61 was recently identified in the context of breast cancer (8) as a downstream target of WWTR1 (alias TAZ), one of the barcode and differentially expressed genes. TAZ up-regulation is also implicated in the progressive phenotype of malignant tumors such as breast, colorectal and glioma, among others (Table 1) and was expressed according to barcode in 87% of the EA tumors in our dataset. In addition to CYR61, six other TAZ downstream target genes (SPARC, IER3, JUN, ACTN1, COL4A1, PPAP2B) were significantly enriched ( $P$ -value= $2.2 \times 10^{-4}$ ) among our group of 19 candidates (S7 Fig A), suggesting that specific pathways where CYR61, TAZ and likely other functionally-linked genes operate are deregulated during BE-associated EA progression. To further test this functional link hypothesis we explored CYR61 and TAZ interacting genes with gene GeneMania networking algorithm (S7 Fig B). Among network genes we identified barcode genes (e.g. FOS, JUN, LAMC1), significantly up-regulated genes (e.g. TEAD3, FOSB, ATF3) of which some are TAZ downstream targets (e.g. CTFG, JUN, EGR1). Analysis of top GO-BP categories (FDR<0.01) over-represented among CYR61, TAZ and neighbors (S7 Fig C) pointed to biological functions involving cell adhesion/migration, transcription and response to stimulus (S6 Table). One hypothesis suggested by the data is that P-BE samples have deregulated transcriptional responses to diverse stimuli, including an up-regulation of cell adhesive and migratory properties which will ultimately contribute to the malignant phenotype of BE cells.

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**APPENDIX 2** – Supplementary material for paper: “*Centrosome amplification arises before neoplasia and increases upon p53 loss in tumorigenesis*”



Supplemental material

Lopes et al., <https://doi.org/10.1083/jcb.201711191>

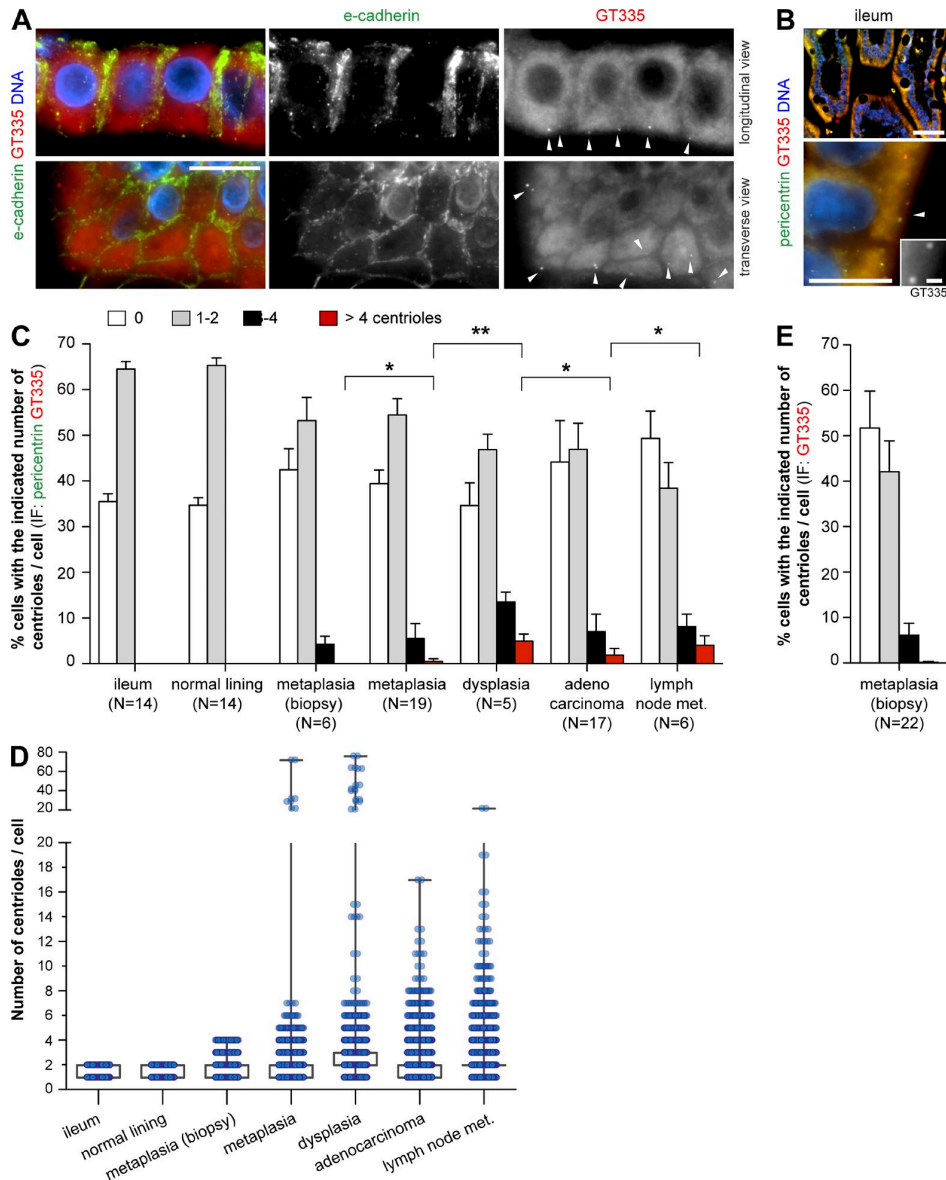


Figure S1. **Analysis of centriole numbers in patient samples.** (A and B) Tissue samples of the normal ileum were stained for the cell membrane (E-cadherin), centrioles (GT335), and DNA (A) or for PCM (pericentrin), centrioles (GT335), and DNA (B). (A) Representative images show that the cell's limits, defined by E-cadherin staining, are easily distinguished using solely the GT335 background staining. Arrowheads indicate centrioles. Bar, 10  $\mu$ m. (B) Representative images with enlargements of cells and centrioles in a single cell (arrowhead). Bars: (top) 50  $\mu$ m; (bottom, main image) 10  $\mu$ m; (bottom, inset) 1  $\mu$ m. (C and D) The number of centrioles in each cell was analyzed in samples of the normal ileum, of the normal lining of the esophagus, and of the different stages of BE multistep tumorigenesis progression: metaplasia from biopsies of patients that have not progressed to this date (cohort 1) and areas of metaplasia, dysplasia, adenocarcinoma, and lymph node metastasis (met.) from cohorts 2 and 3. Samples were stained for PCM (pericentrin), centrioles (GT335), and DNA. (C) Quantification of cells with the indicated centriole number content for the tissue samples present in each case analyzed.  $n \geq 200$  cells/tissue/patient. N, number of cases analyzed. Cells with more than four centrioles: \*,  $P < 0.05$ ; \*\*,  $P < 0.01$  (two-sample Wilcoxon rank-sum [Mann-Whitney]; independent samples; two sided; p-values were adjusted for multiple testing using the Benjamini and Hochberg method). (D) Number of centrioles per cell (individual circles) for the tissue samples present in each case analyzed.  $n = 200$  cells/tissue/patient; number of cases was analyzed as in C. Individual data points are plotted over the box plots. (E) The number of centrioles in each cell was analyzed in metaplasia samples from biopsies of another 22 patients that have not progressed to this date. Samples were stained for centrioles (GT335) only and DNA. Quantification of cells with the indicated centriole number content.  $n \geq 200$  cells/patient. N, number of cases analyzed. Error bars show means  $\pm$  SD.

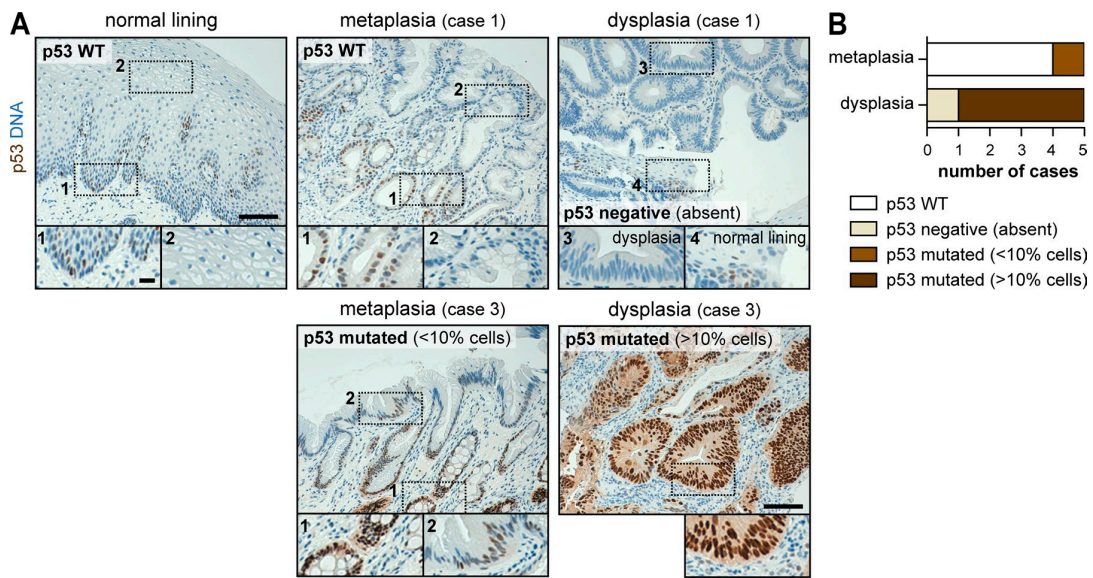
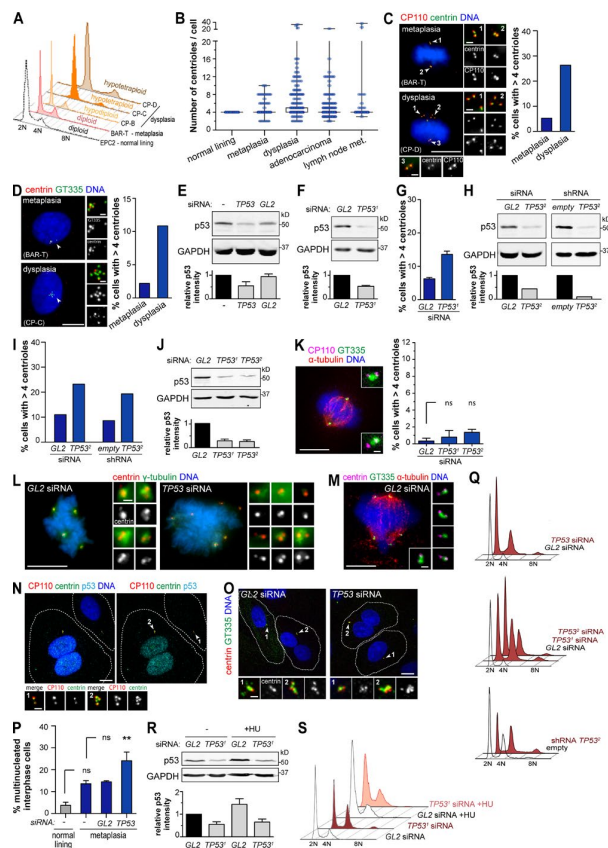


Figure S2. **Analysis of p53 status in patient samples by IHC. (A and B)** p53 expression was analyzed by IHC in tissue samples of the normal lining and in metaplasia and dysplasia samples from the same patient (cohort 2). **(A)** Representative images of p53 protein expression in the different tissue samples. DNA is shown in blue. Insets show 2× magnification of indicated areas. As WT p53 protein has a short half-life, it is only weakly detected in the nucleus of some proliferating cells (1) and not in differentiated areas (2). Altered p53 protein expression, indicative of p53 mutation, was considered when there was either a strong accumulation within the nucleus (scored as focal or diffuse if there were <10% or >10% of positive cells, respectively) caused by prolonged half-life of p53 mutants (p53 mutated) or absence of p53 staining (3) within a context of WT staining (metaplasia or native epithelium [4]) caused by p53 mutations, leading to truncation or epigenetic silencing, in which case p53 was not detected by IHC (p53 negative [absent]). Bars: (main images) 100 μm; (insets) 20 μm. **(B)** Histogram showing the summary of p53 status in metaplasia and dysplasia areas of each case analyzed.



**Figure S3. Centriole number and ploidy in cell lines.** (A) Flow cytometry analysis of cells derived from the normal lining, metaplasia, and dysplasia. (B) Cells derived from the normal lining and from all stages of BE progression were stained for centrioles (centrin and GT335) and DNA. The number of centrioles was analyzed in each individual mitotic cell (individual circles,  $n \geq 60$ /cell line) of the indicated tissue of origin. Individual data points are plotted over the box plots. Met., metastasis. (C and D) Left: Metaplasia and dysplasia cells were stained for centrioles (centrin and CP110 in C, and centrin and GT335 in D) and DNA. Representative images with enlargements of centrioles (arrowheads) are shown. (C) Right: Quantification of mitotic cells with centriole amplification.  $n \geq 50$ /cell line. (D) Right: Quantification of mononucleated interphase cells with centriole amplification.  $n \geq 90$ /cell line. (E) Metaplasia cells were transfected with control (GL2) siRNA or siRNA against endogenous p53 (TP53). Top: Depletion of p53 was confirmed by WB. Bottom: Quantification of p53 relative to the loading control (GAPDH) is shown; ratios were normalized to the untreated cells. Three independent experiments. (F and G) Metaplasia cells were transfected with control (GL2) or p53 (TP53<sup>2</sup>) siRNA. (F) Top: Depletion of p53 was confirmed by WB. Bottom: Quantification of p53 relative to the loading control (GAPDH) is shown; ratios were normalized to the control. Two independent experiments. (G) Cells were stained for centrioles (centrin and GT335) and DNA. Quantification of mitotic cells with centriole amplification.  $n \geq 60$  cells/condition/experiment. Two independent experiments. (H and I) Centriole number was analyzed in metaplasia-derived cells containing pSUPER-p53RNAi (shRNA TP53<sup>2</sup>) or the empty pSUPER vector (empty) as well as in metaplasia cells transfected with control (GL2) siRNA or siRNA against p53 with the same sequence against p53 (TP53<sup>2</sup>) as the one used to generate the pSUPER-p53RNAi plasmid. (H) Top: Depletion of p53 was confirmed by WB. Data are from one experiment. Bottom: Quantification of p53 relative to the loading control (GAPDH) is shown; ratios were normalized to the controls. (I) Cells were stained for centrioles (centrin and GT335) and DNA. Quantification of mitotic cells with centriole amplification.  $n \geq 100$  cells/condition. One experiment. (J and K) Normal lining cells were transfected with control (GL2) siRNA or two independent siRNAs against p53 (TP53<sup>1</sup> and TP53<sup>2</sup>). (J) Top: Depletion of p53 was confirmed by WB. Bottom: Quantification of p53 relative to the loading control (GAPDH) is shown; ratios were normalized to the control. Three independent experiments. (K) Left: Cells were stained for centrioles (CP110 and GT335), microtubules ( $\alpha$ -tubulin), and DNA. Representative images with enlargements of centrioles are shown. Right: Quantification of mitotic cells with centriole amplification.  $n \geq 80$ /condition/experiment. Three independent experiments. (L and M) Metaplasia cells transfected with control (GL2) or p53 (TP53) siRNA were stained for centrioles (centrin), PCM ( $\gamma$ -tubulin), and DNA (L) or for centrioles (centrin and GT335), microtubules ( $\alpha$ -tubulin), and DNA (M). Representative images with enlargements of centrioles are shown. (N) Metaplasia cells were stained for p53, centrioles (centrin and CP110), and DNA. Dashed lines denote individual cell outlines given by the CP110/centrin background signal. Insets show centrioles (arrowheads) in p53-negative (1) and p53-positive (2) cells. (O and P) Metaplasia cells transfected with control (GL2) or p53 (TP53) siRNA were stained for centrioles (centrin and GT335) and DNA. (O) Dashed lines denote individual cell outlines given by the centrin/GT335 background signal. Insets show centrioles (arrowheads) in mononucleated (1) and multinucleated (2) cells. Bars: (main images) 10  $\mu$ m; (insets) 1  $\mu$ m. (P) Quantification of multinucleated interphase cells. Untreated metaplasia and normal lining cells were also analyzed.  $n \geq 700$  cells/condition/experiment. Three independent experiments. (K and P) \*\*,  $P < 0.01$  (ANOVA). (Q) Flow cytometry analysis of metaplasia cells transfected with control (GL2) siRNA or three independent siRNAs against p53 (endogenous p53, TP53; total p53, TP53<sup>1</sup> or TP53<sup>2</sup>) and of metaplasia-derived cells containing pSUPER-p53RNAi (shRNA TP53<sup>2</sup>) or the empty pSUPER vector (empty). (R and S) Metaplasia cells transfected with control (GL2) or p53 (TP53) siRNA were either treated with (S phase blocked and hydroxyurea [+HU]) or without hydroxyurea (DMSO, asynchronous, and -). (R) Top: Depletion of p53 was confirmed by WB. Bottom: Quantification of p53 relative to the loading control (GAPDH) is shown; ratios were normalized to the control. Three independent experiments. Error bars show means  $\pm$  SEM. (S) S phase blocking of cells upon hydroxyurea treatment was assessed by flow cytometry analysis.

Table S1. Centriole number analysis in paraffin-embedded tissue

Tissue areas	Centriole number per cell (min-max)				Cells with centriole amplification			
					%			
<b>Normal lining – esophagus</b>								
Cases 1–14	0–2				0.0			
<b>Normal lining – ileum</b>								
Case 1–14	0–2				0.0			
	<b>M</b>	<b>DYS</b>	<b>ADC</b>	<b>LNM</b>	<b>M</b>	<b>DYS</b>	<b>ADC</b>	<b>LNM</b>
<b>Cohort 1</b>								
Case 1	1–4	-	-	-	0.0	-	-	-
Case 2	1–3	-	-	-	0.0	-	-	-
Case 3	1–4	-	-	-	0.0	-	-	-
Case 4	1–4	-	-	-	0.0	-	-	-
Case 5	1–4	-	-	-	0.0	-	-	-
Case 6	1–4	-	-	-	0.0	-	-	-
<b>Cohort 2</b>								
Case 1	1–5	1–7	-	-	1.5	8.5	-	-
Case 2	1–5	1–5	-	-	1.5	4.0	-	-
Case 3	1–6	1–7	1–7	-	1.5	9.5	7.5	-
Case 4	1–72	1–76	1–6	-	3.5	9.0	5.0	-
Case 5	1–6	1–14	1–17	-	1.5	7.0	7.0	-
<b>Cohort 3</b>								
Case 1	1–5	-	1–8	-	0.5	-	3.0	-
Case 2	1–6	-	1–13	1–22	1.0	-	5.5	13.0
Case 3	1–4	-	1–7	1–7	0.0	-	0.5	2.5
Case 4	1–4	-	1–8	-	0.0	-	2.0	-
Case 5	1–4	-	1–7	1–8	0.0	-	1.0	6.5
Case 6	1–5	-	1–7	-	0.5	-	1.5	-
Case 7	1–4	-	1–12	-	0.0	-	2.0	-
Case 8 <sup>a</sup>	1–5	-	1–5	1–15	0.5	-	2.5	9.5
Case 9	1–4	-	1–10	1–19	0.0	-	0.5	13.0
Case 10	1–7	-	1–5	-	2.5	-	6.5	-
Case 11	1–4	-	1–8	1–7	0.0	-	1.5	5.0
Case 12	1–5	-	1–8	-	0.5	-	3.0	-
Case 13	1–5	-	1–6	-	1.0	-	3.0	-
Case 14	1–4	-	1–5	-	0.0	-	2.0	-

ADC, adenocarcinoma; DYS, dysplasia; LNM, lymph node metastasis; M, metaplasia.

<sup>a</sup>The cell line ESO51 used in this study was derived from the primary tumor of this case.

Table S2. Analysis of TP53 status

Case/cell line	Experiment	Metaplasia			Dysplasia			
		Coding	Protein	% Reads	Coding	Protein	% Reads	
<b>Patient tissue samples – cohort 2</b>								
Case 1	NGS	216delC	V73fs	22.5				
					586C>T	R196*	60.4	
					569_570insC	P191fs	32.0	
					86_87insA	N29fs	1.6	
		751A>C	I251L	3.5	751A>C	I251L	4.4	
		153_154insA	Q52fs	24.2	153_154insA	Q52fs	28.1	
	215C>G	<i>P72R</i>	60.9	215C>G	<i>P72R</i>	74.5		
	IHC	WT			Negative (absent)			
Case 2	NGS	n.d.			n.d.			
	IHC	WT			Intensity: moderate >10% cells mutated			
Case 3	NGS				455delC	P152fs	96.6	
					452C>A	P151H	3.4	
		751A>C	I251L	3.0	751A>C	I251L	4.2	
		404G>T	C135F	36.9	404G>T	C135F	49.9	
		215C>G	<i>P72R</i>	62.3	215C>G	<i>P72R</i>	76.5	
			IHC	Intensity: weak <10% cells mutated			Intensity: strong >10% cells mutated	
Case 4	NGS	733G>A	G245S	3.4				
					799C>T	R267W	17.6	
					153_154insA	Q52fs	22.9	
		751A>C	I251L	3.3	751A>C	I251L	6.0	
		215C>G	<i>P72R</i>	62.3	215C>G	<i>P72R</i>	76.5	
		IHC	WT			Intensity: strong >10% cells mutated		
Case 5	NGS				638G>A	R213Q	3.3	
					524G>A	R175H	6.6	
					153_154insA	Q52fs	30.1	
		215C>G	<i>P72R</i>	51.5	215C>G	<i>P72R</i>	45.8	
		IHC	WT			Intensity: moderate >10% cells mutated		
<b>Cell line</b>								
BAR-T	NGS	215C>G	<i>P72R</i>	98.3				

\*, nonsense mutation; fs, frameshift mutation; n.d., not determined due to insufficient amount of quality DNA; text in italics indicate known polymorphism in p53.

**Table S3 is an attached Excel file showing cell line information and centriole analysis.**

Table S3. Cell line information and centriole analysis

Tissue of origin	Cell line	Centriole number		Ploidy	Genetic alterations		References
		Centrioles/cell (min-max)	Amplification (%)		p53 status	p16 status	
Retinal pigment Epithelium	RPE1	2 - 4	0.0	diploid	p53 functionally intact	p16 functionally intact	
	EPC2	2 - 4	0.0	diploid	p53 functionally intact	p16 functionally intact	Harada et al. 2003
Normal lining esophagus	BAR-T	4 - 10	8.4	diploid (minimal chromosomal abnormalities)	p53 functionally intact	p16 expression is lost	Jaiswal et al. 2007
	BAR-T10	4 - 10	15.2	diploid (minimal chromosomal abnormalities)	p53 functionally intact	p16 expression is lost	Zhang et al. 2010
Dysplasia	CP-B	2 - 12	27.4	aneuploid (hypodiploid)	17p LOH/missense mutation (c.524G>A) p.R175H	9p LOH/mutation	Palanca-Wessels et al. 1998, ATCC
	CP-C	1 - 34	36.6	aneuploid (hypotetraploid)	17p LOH/missense mutation (c.724C>T) p.R248W	9p LOH	Palanca-Wessels et al. 1998, ATCC
	CP-D	3 - 15	31.3	aneuploid (hypotetraploid)	17p LOH/missense mutation (frameshift 302)	9p LOH/mutation	Palanca-Wessels et al. 1998, ATCC
	SK-GT-4	2 - 12	15.6	aneuploid (hyperdiploid)	nonsense mutation (c.298C>T) p.Q100*	no mutation	Boonstra et al. 2010, EACC
Adenocarcinoma	OE19	2 - 6	1.2	aneuploid (hyperdiploid)	frameshift c.929dupA	-	Boonstra et al. 2010, EACC
	OACP4	3 - 5	1.5	aneuploid (hyperdiploid)	nonsense mutation (c.574C>T) p.192*	-	Boonstra et al. 2010, EACC
	FLO-1	3 - 8	5.9	aneuploid (hypotetraploid)	missense mutation (c.830G>T) p. C277F	-	Boonstra et al. 2010, EACC
	ESO26	3 - 8	9.9	aneuploid (hypodiploid)	missense mutation (c.742C>T) p. R248W	-	Boonstra et al. 2010, EACC
	ESO51*	3 - 12	10.0	aneuploid (hypotetraploid)	missense mutation (c.524G>A) p.R175H	-	Boonstra et al. 2010, EACC
	OE33	3 - 22	31.8	aneuploid (hypotetraploid)	missense mutation (c.404G>A) p.C135Y	mutated	Boonstra et al. 2010, EACC
Lymph node metastasis	OACM5.1	4 - 37	11.3	aneuploid (hypodiploid)	missense mutation (c.164delC/c.743G>A)	-	Boonstra et al. 2010, EACC

\*The cell line ESO51 used in this study was derived from the primary tumor of Case 8 from Cohort 3 (see Table S1).

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