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1 **Event-free survival of infants and toddlers enrolled in the HR-NBL-1/SIOPEN**
2 **trial is associated with the level of neuroblastoma mRNAs at diagnosis**

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14 Pathology, Leeds, United Kingdom.

15 # Members of the SIOPEN Molecular Monitoring Group

16 & Dr Luigi Varesio prematurely passed away last December. The colleagues that had the privilege
17 to collaborate with him dedicate this manuscript to his memory.

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Abbreviations key table

BM	Bone marrow
DCX	Doublecortin
DFS	Disease-free survival
EFS	Event-free survival
HR	Hazard ratio
HR-NBL-1/SIOPEN	European High-Risk Neuroblastoma trial
MYCNA	MYCN amplification
NB	Neuroblastoma
PB	Peripheral blood
PHOX2B	Paired-like homeobox 2b
ROC	Receiver Operating Characteristic
RTqPCR	Reverse transcription quantitative polymerase chain reaction
TH	Tyrosine hydroxylase

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55 **ABSTRACT**

56 **Background:** To evaluate whether levels of neuroblastoma mRNAs in bone marrow and
57 peripheral blood from stage M infants (≤ 12 months of age at diagnosis, MYCN amplified) and
58 toddlers (between 12 and 18 months, any MYCN status) predict event-free survival (EFS).

59 **Methods:** Bone marrow aspirates and peripheral blood samples from 97 infant-toddlers enrolled
60 in the HR-NBL-1/SIOPEN trial were collected at diagnosis in PAXgene™ blood RNA tubes.
61 Samples were analyzed by RTqPCR according to standardized procedures.

62 **Results:** Bone marrow TH or PHOX2B levels in the highest tertile associated with worse EFS;
63 hazard ratios, adjusted for age and MYCN status, were 1.5 and 1.8 respectively. Expression of both
64 TH and PHOX2B in the highest tertile predicted for worse outcome ($p=0.015$), identifying 20
65 (23%) infant-toddlers with 5-year EFS of 20% (95%CI: 4%–44%). Prognostic significance was
66 maintained after adjusting for over-fitting bias ($p=0.038$), age and MYCN status. In peripheral
67 blood, PHOX2B levels in the highest tertile predicted a two-fold increased risk of an event
68 ($p=0.032$), identifying 23 (34%) infant-toddlers with 5-year EFS of 29% (95%CI: 12%–48%).
69 Time-dependent ROC analysis confirmed the prognostic value of combined TH and PHOX2B in
70 bone marrow and of PHOX2B in peripheral blood during the first year of follow-up.

71 **Conclusions:** High levels of bone marrow TH and PHOX2B and of peripheral blood PHOX2B at
72 diagnosis allow early identification of a group of high-risk infant and toddlers with neuroblastoma
73 who may be candidates for alternative treatments. Integration with additional biomarkers, as well
74 as validation in additional international trials is warranted.

INTRODUCTION

Neuroblastoma (NB) clinical presentation is variable, ranging from asymptomatic localized masses to metastatic disease. The main prognostic factors defined by the International Neuroblastoma Risk Group-Stratification System (INRG-SS) are stage, MYCN oncogene status and age at diagnosis ¹. Indeed, younger patients have a better event-free survival (EFS) than older children ^{2, 3} and MYCN amplification (MYCNA) of the tumor is predictive of a worse EFS in patients with localized disease of any age ⁴⁻⁶ and in young patients with metastatic disease ⁷. Metastatic spread is present at diagnosis in 50% of cases and mainly involves bone and bone marrow (BM). Patients presenting with metastatic disease are assigned to stage M and have a worse EFS than patients with localized tumor ¹. A particular case of metastatic NB (MS) may occur in infants with metastases limited to liver and/or skin, and/or limited bone marrow infiltration ⁸. In these infants prognosis is good ⁹⁻¹¹, unless presenting with MYCNA ^{7, 12}. Although age is a continuous variable, an age cut-off is used in the clinic at diagnosis to stratify patients for risk and consequently the type of therapeutic intervention. Initially the cut-off was set at 12 months ³, then it has been moved to 18 months ¹². Nonetheless, the cut-off of 12 months is still applied to patients with metastatic disease in some trials, including the European High-Risk (HR-NBL-1/SIOPEN) trial ^{5, 13}. Recently, a large prospective multicenter study performed on stage M patients enrolled in the HR-NBL-1/SIOPEN trial demonstrated that the levels of Tyrosine hydroxylase (TH), Paired-like homeobox 2b (PHOX2B) and Doublecortin (DCX) mRNAs in BM and peripheral blood (PB) samples, collected at diagnosis and at the end of induction therapy, were predictive of EFS ¹⁴. Given the different survival rate of infants and toddlers as compared with children ^{1, 5, 7, 13} and because a single country pilot study on infants with stage M and MS, not enrolled in the HR-NBL-1/SIOPEN trial, had suggested that TH, PHOX2B and DCX mRNA levels were significantly lower in infants than in children ¹⁵, we sought to evaluate the prognostic value of NB mRNA levels in

100 the subset of subjects below 18 months of age enrolled in the HR-NBL-1/SIOPEN trial since it
101 was not certain that the predictive power of RT-qPCR demonstrated for the entire high-risk
102 population was truly effective also in this subset of patients. The infant-toddlers included in the
103 previous study represented in fact only 10% of the entire cohort ¹⁴, therefore potential differences
104 between children and infant-toddlers could have been lost. Since the frequency of each subset, i.e.
105 infants with MYCNA, toddlers with MYCNA and toddlers with single-copy MYCN is low (around
106 3%), we preferred considering them as a whole.

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111 **METHODS**

112 **Clinical samples, children and trial**

113 Eighty-eight BM aspirates (2 x 0.5ml from the right and left site, not pooled) and 74 PB (1 x 2ml)
114 samples were taken at diagnosis from 97 patients entered into the HR-NBL-1/SIOPEN trial
115 (NCT01704716) between April 2002 and June 2015 (www.SIOPEN-R-NET.org ⁵). Eligibility
116 criteria for the study were as follows: 1) stage M infants (≤ 12 months of age at diagnosis)
117 presenting with MYCNA; 2) stage M toddlers (12 to 18 months) with any MYCN status; 3) no death
118 for treatment-related toxicity. Detailed information on the study cohort and the HR-NBL-
119 1/SIOPEN infant-toddlers' cohort is given in Table 1.

120 Written informed consent was obtained from the legal guardians, and the trial was ethically
121 approved in each participating country according to national practice. This observational, blind

122 biological study did not impact on clinical management of children in the HR-NBL-1/SIOPEN
123 trial.

124

125 **Sample processing and analysis**

126 All samples were collected into PAXgeneTM blood RNA tubes, stored and analysed using
127 optimised standard operating procedures ¹⁶. Due to limited amounts of RNA isolated from some
128 samples, 88 BM aspirates were analysed for TH, 84 for PHOX2B and 76 for DCX mRNAs,
129 whereas 74 PB samples were analysed for TH, 68 for PHOX2B and 60 for DCX. Quality assurance
130 was maintained across the reference laboratories by biannual quality control ¹⁶. The triplicate result
131 for the target mRNAs and the house keeping gene β 2 microglobulin (β 2M) were recorded blind to
132 clinical information.

133

134 **Statistical analysis**

135 Results of RTqPCR were expressed as Log RQ ¹⁴ and linked to clinical information. The frequency
136 of data was compared using the Chi Square test or the Fisher exact test, as appropriate. The Mann–
137 Whitney U test was used to compare median values. Association between continuous variables
138 was assessed by the Pearson r correlation coefficient.

139 EFS included the time from diagnosis to an event (recurrence, progression or death) or the date of
140 the last assessment without event. EFS was analysed by the Kaplan-Meier method and survival
141 curves were compared by the log rank test.

142 Impact of potential confounders (age at diagnosis and MYCN status) was assessed by the Cox
143 regression model. Over fitting bias, related to the combination of predictive markers at a posteriori

144 selected cut-offs, was estimated by the method of Harrell et al, using 2,000 bootstrapped samples
145 ¹⁷.

146 The prognostic effect of mRNA levels was also investigated using time-dependent ROC curves ¹⁸,
147 adjusted for the potential confounding effect of age at diagnosis and MYCN status ¹⁹. The potential
148 confounding effect of MYCN status was also evaluated by excluding from analysis the toddlers
149 with single copy MYCN.

150 ROC analysis was performed using the statistical package “survival ROC” implemented in R
151 language ²⁰. All other analyses were carried out using Stata for Windows statistical package
152 (release 12.1, Stata Corporation, College Station, TX).

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157 **RESULTS**

158 **Expression of TH, PHOX2B and DCX mRNA in the study patients**

159 Neuroblastoma mRNAs were detected in most samples; 1.2%, 2.4 % and 2.7% of BM and 6.8%,
160 4.5% and 3.4% of PB were negative (Log = - 4) for TH, PHOX2B and DCX mRNAs respectively
161 (Supplemental Figure S1). This precluded a binary analysis (positive/negative) of neuroblastoma
162 mRNA predictive value. Two patients with BM levels outside the normal distribution

163 (Supplemental Figure S1) were excluded from the analysis to avoid unnecessary transformation
164 of the data; these children had no unusual clinical features.

165 The study cohort therefore included 95 infant-toddlers (Table 1). The age distribution, the MYCNA
166 frequency in the toddler subset, as well as the 3-year EFS of the study cohort was representative
167 of the entire infant-toddler population enrolled into the HR-NBL-1/SIOPEN trial (Table 1).

168 Since RTqPCR was performed on the right and left (not pooled) BM aspirates, analyses were
169 initially made using either the average value or the highest value. The correlation r values between
170 the left and right aspirates were 0.810, 0.660 and 0.736 for TH, PHOX2B and DCX, respectively
171 (Supplemental Figure S2A). The association between the level of expression of each mRNA in
172 BM aspirate and EFS was slightly better when the highest value was considered (Supplemental
173 Table S1). Therefore, all subsequent analyses on BM status have been performed using the highest
174 value of NB mRNAs measured in either one of the two BM aspirates.

175 Next, we tested whether the results obtained for each individual NB mRNA correlated with the
176 results obtained with the other two mRNAs. In BM samples, correlation was good between TH
177 and PHOX2B or TH and DCX (Supplemental Figure S2B, $r = 0.80$ and $r = 0.83$, respectively), and
178 excellent between PHOX2B and DCX ($r = 0.90$). In PB there was a good correlation between
179 PHOX2B and DCX mRNAs (Supplemental Figure S2B, $r = 0.88$). However, there was no
180 correlation between NB mRNAs measured in paired BM and PB from the same patient
181 (Supplemental Figure S2C, $r < 0.60$).

182

183 **Predictive power of neuroblastoma mRNA expression in infants and toddlers**

184 To evaluate the prognostic significance of NB mRNAs, we used the highest tertile of each mRNA
185 level distribution to split patients into two groups with either high or low/intermediate mRNA
186 expression. The comparison of survival in these groups showed that patients with BM levels of
187 TH, PHOX2B and DCX mRNAs in the highest tertile had worse EFS (Figure 1A, 1B and 1C,

188 respectively). Patients with PB levels of PHOX2B and DCX mRNAs in the highest tertile showed
189 shorter EFS ($p = 0.024$ for PHOX2B, Figure 1E and 1F, respectively), whereas TH mRNA levels
190 in PB were not associated with EFS (Figure 1D). Similar results were observed when toddlers with
191 single copy MYCN were excluded from the analysis.

192 The risk of events as a function of NB mRNA levels was then evaluated using univariate and
193 multivariate Cox regression analysis. The HR for high levels of TH, PHOX2B and DCX
194 expression in BM were 1.8, 1.7 and 1.7, respectively (Table 2). In PB, high levels of PHOX2B
195 mRNA were significantly associated with more than a two-fold increased risk of event (HR = 2.2,
196 $p = 0.030$, Table 2). The prognostic value of NB mRNAs was confirmed by multivariate analysis
197 including age and MYCN status (Table 2), and after excluding toddlers with normal MYCN status.

198

199 **Predictive power of combined results**

200 Since previous studies have shown that high levels of TH or PHOX2B mRNA predicts for poor
201 outcome¹⁴, survival analysis was performed dichotomising patients by the highest tertile of both
202 TH and PHOX2B mRNAs. In BM, the combination of TH and PHOX2B mRNAs had greater
203 prognostic power ($p=0.015$, Figure 2A) than either mRNA alone ($p=0.063$ and $p=0.088$,
204 respectively, Figure 1A and 1B); this was retained after adjusting for over fitting bias ($p = 0.038$).
205 Among 29 patients with TH mRNA above the highest tertile and 28 patients with PHOX2B mRNA
206 above the highest tertile, 20 (23%) of infant-toddlers had high levels of both mRNAs (Figure 2B,
207 upper right field). These 20 patients had particularly poor 5-year EFS (20%, 95%CI: 4% – 44%).
208 Patients with higher values of combined TH and PHOX2B mRNAs showed poorer EFS also after

209 excluding toddlers with single copy MYCN (Figure 2C). In addition, the predictive power was
210 maintained when the infants and the toddlers were separately analysed (Supplemental Figure S3).
211 Conversely, the combination of TH and PHOX2B mRNAs in PB was not of additional value
212 ($p=0.521$, Supplemental Figure S4); the prognostic power of PHOX2B mRNA ($p=0.024$, Figure
213 1E) was lost when combined with TH mRNA ($p= 0.910$, Figure 1D).

214

215 **Time-dependent prognostic value of molecular analysis in the infant-toddler subset**

216 To estimate the prognostic value of high levels of NB mRNAs in relation to time of events, time-
217 dependent ROC curves¹⁸ were plotted for BM and PB TH, PHOX2B and DCX mRNA levels
218 (Figure 3), and for combined BM TH and PHOX2B levels. As shown in Table 3, the area under
219 the curve (AUC) was statistically significant for the combined BM TH and PHOX2B mRNAs and
220 for PB PHOX2B at 1 year, validating previous findings. However, the average predictive accuracy
221 was moderate (AUC < 70% in each analysis) and limited to the first year after diagnosis, since
222 AUC values at 3 and 5 years were not significant for any NB mRNA (Table 3).

223

224 **Predictive power of previously defined cut-points**

225 The large prospective multicenter study performed on the entire stage M population enrolled into
226 HR-NBL-1/SIOPEN trial defined predictive cut-points for each NB mRNAs¹⁴. We thus tested
227 whether those cut-points were also predictive for survival within the infant-toddler subset. In BM,
228 the TH cut-point of 2.36¹⁴ was associated with survival ($p=0.060$, Supplemental Figure S5A). In
229 contrast the PHOX2B and DCX cut-points (-2.63 and -0.45, respectively) were not predictive of
230 survival (Supplemental Figure S5B and S5C, respectively). This may reflect the distribution of
231 patients since only 2 out of 82 (2.5%) and 13 out of 74 (18%) infant-toddlers, respectively, had
232 mRNA levels below the cut-points. Indeed, median TH mRNA did not discriminate the study
233 patients (Supplemental Figure S5D), in contrast to the median level of BM PHOX2B and DCX

234 mRNAs (Supplemental Figure S5E and S5F, respectively). In PB, neither the previously defined
235 cut-points¹⁴ nor the median value of the distributions were predictive of EFS.

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240 **DISCUSSION**

241 Outcome for children with metastatic NB is variable reflecting the positive effect of young age
242 and the negative effect of MYCNA¹. Given the difference in outcome of infants and toddlers as
243 compared with children, here we investigated whether the level of NB mRNAs in BM and PB
244 from stage M infants and toddlers enrolled into the HR-NBL-1/SIOPEN trial had an independent
245 prognostic significance. In fact, in our previous study¹⁴, infants and toddlers accounted for only
246 10% of the cohort and potential differences with children could have been lost.

247 Here we show that levels of TH, PHOX2B and DCX mRNAs in BM above the highest tertile
248 associated with worse EFS, confirming that NB mRNA levels also had predictive power in this
249 subset of patients with NB. Furthermore, the combination of high TH and PHOX2B mRNAs in
250 BM for 23% of the study cohort was significantly associated with a poor outcome (5-year EFS =
251 20%, 95%CI: 4% – 44%). Multivariate analysis, after considering over fitting bias, together with
252 the results obtained after exclusion of toddlers with single copy MYCN confirmed that the
253 predictive power was independent of age and MYCN status. In fact, toddlers with single copy
254 MYCN are considered as intermediate risk patients in other trials, but in the HR-NBL-1/SIOPEN
255 trial the age limit for inclusion was 12 months and these patients were thus included. Time-
256 dependent ROC analysis indicated that the predictive power was greater in the first year after

257 diagnosis, suggesting that high levels of NB mRNAs may characterize treatment refractory or early
258 relapsing children.

259 Although the expression of the three NB mRNAs correlated to each other, the combination of TH
260 and PHOX2B mRNAs in BM increased the prognostic performance of either alone. This may be
261 due to the limited number of study subjects or may reflect differences in the expression of TH and
262 PHOX2B mRNAs in the neoplastic cells ^{21, 22}, which will require further studies in additional
263 cohorts. In PB, PHOX2B mRNA significantly dichotomized the prognosis of the study cohort,
264 identifying 23 (34%) patients with poor outcome (5-year EFS = 29%, 95%CI: 12% – 48%). It is
265 interesting to note that only half of the patients with poor EFS were identified by high levels of
266 NB mRNAs in both BM and PB analysis, whereas the remainder of the infant-toddlers were
267 identified by NB mRNAs in either BM or PB. This suggests that the analysis of both PB and BM
268 for NB mRNAs may predict outcome most comprehensively. We also demonstrate that the highest
269 level of NB mRNA in one of the two BM aspirates is a stronger predictor of outcome than the
270 average level, supporting recent recommendations for analysis of BM aspirates ²³, and advocating
271 separate investigations of right and left BM aspirates ^{16, 24}.

272 The predictive power of high levels of NB mRNAs in BM from the infant-toddlers is consistent
273 with previous observations ¹⁴. The level of TH mRNAs that dichotomized the study patients was
274 close to the previously defined cut-point (1.89 vs. 2.36, respectively). Conversely, PHOX2B and
275 DCX levels were higher in the infants/toddlers than in the whole population of children with NB
276 (2.6 vs. -2.6 and 2.65 vs. -0.45, respectively, ¹⁴). This may reflect high levels of PHOX2B and
277 DCX mRNAs during neuronal development ^{25, 26}. In PB, the levels of PHOX2B and DCX mRNA
278 that dichotomize infants was close to the previously defined cut-points (0.07 vs. 0.28, and 0.16 vs.
279 0.41, respectively ¹⁴), whereas TH mRNA levels in blood were not predictive of outcome. This
280 may be related to either expression of TH mRNA in more differentiated, sympathetic-committed
281 neuronal cells ^{21, 22, 24} or to its reported illegitimate transcription ^{24, 27-32}. Taken together, the

282 differences observed in NB mRNAs in infant-toddlers, as compared to children ¹⁴ may be linked
283 to their better outcome. However, we cannot exclude the possibility that the differences observed
284 here in the infant-toddler population were due to the smaller sample size, confirming the need for
285 validation in additional cohorts.

286 The results described here do not confirm that stage M infants have lower levels of NB mRNAs
287 than older stage M children ¹⁵. The distribution of TH, PHOX2B and DCX mRNA expression in
288 BM aspirates and PB samples from the infant-toddlers cohort was similar to that observed when
289 patients of all ages were considered ¹⁴. Discrepancy may be due to the small size and very low
290 frequency of high-risk infants included in the pilot, single-country study ¹⁵.

291 In conclusion, high TH and PHOX2B mRNA levels in BM, and high PHOX2B mRNA levels in
292 PB identify 23% and 34% respectively of infant-toddlers that have poor 5-year EFS. Given the
293 low number of infants and toddlers with high-risk NB, integration with additional biomarkers,
294 such as ploidy ³³, and validation in additional international trials are necessary. However, early
295 identification of those infant-toddlers for whom current treatment appears to provide no substantial
296 survival benefit may lead to improved outcome, if they can be offered alternative, more effective,
297 treatment.

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302 **CONFLICT OF INTEREST STATEMENT**

303 TL received two travel grants from Jazz Pharmaceutical. All the other Authors have no conflict of
304 interest to declare.

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403

404 **LEGENDS TO FIGURES**

405 **Figure 1.** Kaplan-Meier event-free survival estimates (EFS) obtained by stratifying the infant-
406 toddler cohort by the highest tertile value in BM (**A, B** and **C**) and in PB (**D, E** and **F**).

407

408 **Figure 2.** **A)** Kaplan-Meier survival estimates obtained by stratifying the whole infant-toddler
409 cohort by combining TH and PHOX2B RNA levels in BM. **B)** Distribution of BM TH and
410 PHOX2B mRNA levels in the study patients. The infant-toddlers with both TH and PHOX2B in
411 the highest tertile are included in the upper right quadrant (closed circles). **C)** Kaplan-Meier
412 survival estimates obtained by stratifying the subset of infant-toddlers presenting with MYCN
413 amplification by combining TH and PHOX2B RNA levels in BM.

414

415 **Figure 3.** Time-dependent ROC curves obtained by considering levels of TH, PHOX2B, DCX (**A,**
416 **B,** and **C,** respectively), and levels of TH, PHOX2B and DCX mRNAs in PB (**D, E** and **F,**
417 respectively).

418

419 **Supplemental Figure S1.** Expression levels of NB mRNAs in the infant-toddler cohort. Arrows
420 indicate the occurrence of outliers in either left or right BM aspirate (closed symbols) from two
421 patients. For one patient only one BM site was available; for the other patient open symbols
422 indicate the other BM aspirate while arrows indicated his/her PB values (TH was not evaluated).
423

424 **Supplemental Figure S2.** A) Correlation between left and right BM aspirates. B) Correlation
425 between NB mRNAs in BM (upper row) and PB (lower row). C) Correlation between BM and PB
426 mRNAs in the same patient.
427

428 **Supplemental Figure S3.** Kaplan-Meier EFS estimates obtained by stratifying the infants (panel
429 A) and the toddlers (panel B) by both TH and PHOX2B highest tertiles in BM.
430

431 **Supplemental Figure S4.** Kaplan-Meier survival estimates obtained by stratifying the infant-
432 toddlers by TH and PHOX2B highest tertiles in PB.
433

434 **Supplemental Figure S5.** Kaplan-Meier EFS estimates obtained by stratifying the study patients
435 by the published BM cut-points (14) (panels A, B and C) or by the median value of each NB
436 mRNA distribution (panels D, E and F).
437

438 **Supplemental TABLE S1.** Cox regression model for event-free survival analysis in relation to
439 levels of NB RNAs in BM, obtained by considering the average value of the right and left aspirate
440 or the highest value in either one of the two aspirates.