Analysis of PIK3CA mutations and PI3K pathway proteins in advanced gastric cancer

Short Title: PI3K pathway in advanced gastric cancer

Chie Ito, MD, ${ }^{\text {a,b }}$ Satoshi S Nishizuka, MD, PhD, ${ }^{\text {a,b,d* }}$ Kazuyuki Ishida, MD, PhD, ${ }^{\text {c }}$

Noriyuki Uesugi, MD, PhD, c Tamotsu Sugai, MD, PhD, c Gen Tamura, MD, PhD, e,f Keisuke Koeda, MD, PhD, ${ }^{\text {b }}$ and Akira Sasaki, MD ${ }^{\text {b }}$
${ }^{a}$ Molecular Therapeutics Laboratory, ${ }^{b}$ Department of Surgery, ${ }^{\text {c Department of Molecular }}$ Diagnostic Pathology, Iwate Medical University School of Medicine, Iwate, Japan
${ }^{\text {d Institute of Biomedical Science, Iwate Medical University, Iwate, Japan }}$
${ }^{\text {eD Department of Pathology and Laboratory Medicine, Yamagata Prefectural Central }}$

Hospital, Yamagata, Japan
${ }^{\text {f Present }}$ address, Department of Laboratory Medicine, Asahi General Hospital, Chiba,

Japan
*Corresponding author: Molecular Therapeutics Laboratory, Department of Surgery, Iwate Medical University School of Medicine, 19-1 Uchimaru, Morioka, Iwate 020-8505, Japan. Telः +81-19-651-5111; Fax: +81-19-651-7166.

E-mail address: snishizu@iwate-med.ac.jp

Author contributions: C.I. performed all experiments/analysis, and wrote the manuscript. S.S.N. conceived and design the study and edited the manuscript. Ke. K., A.S. collected patient materials along with the clinical information. Kaz. I., N.U., T.S. contributed in staining and analyzing the pathology data. G.T. produced tissue microarrays.

## Abstract

Background: Although surgery and chemotherapy has extended advanced gastric cancer patient survival, some patients still experience relapse and metastasis. We postulated that PI3K pathway proteins could be prognostic biomarkers for the advanced gastric cancer patients.

Methods: A retrospective cohort of 160 advanced gastric cancer patients receiving potentially curative surgery with/without chemotherapy was investigated for PIK3CA mutation and PI3K pathway protein level in the context of overall survival (OS) and relapse-free survival (RFS).

Results: Thirteen patients (13/111 11.7\%) had PIK3CA mutations in codon 545 whereas one patient (1/94 1.1\%) had a mutation in PIK3CA codon 1047. PI3K pathway protein immunohistochemistry demonstrated that phosphorylated AKT positive (p-AKT (+)) patients in the surgery-only group had a good prognosis in terms of OS and RFS. No significant association between PIK3CA mutations and PI3K pathway protein level was seen.

Conclusions: This study revealed that: (i) PIK3CA hotspot mutations occurred with low frequency in gastric cancer; (ii) PIK3CA hotspot mutations were not directly associated
with PI3K pathway activation; and (iii) p-AKT (+) may be a biomarker for better outcomes for gastric cancer patients undergoing gastrectomy.

Keywords: biomarker; gastric cancer; p-AKT; PIK3CA; PI3K pathway

## 1. Introduction

Recent advancements in multidisciplinary treatments for gastric cancer have substantially prolonged the survival of gastric cancer patients. Surgery and peri- or post-operative therapy continue to be the mainstay treatments for these patients [1-3]. In Japan, gastrectomy with curative intent that includes D2 or more extensive lymph node dissection followed by S-1, an oral fluoropyrimidine (i.e., a precursor of $5-\mathrm{FU}$ ), monotherapy has been well-established as the standard therapy for Stage II/III advanced gastric cancer; however, approximately $30-40 \%$ of patients who underwent surgery and $\mathrm{S}-1$ chemotherapy relapsed within 5 years of surgery [4]. Therefore, identification of gastric cancer biomarkers by gene expression and immunohistochemistry to predict treatment sensitivity has been of great interest [5, 6].

The phosphatidylinositol 3 -kinase ( PI 3 K ) pathway that is partially represented by PI3K, AKT, mammalian target of rapamycin (mTOR), and tensin homologue deleted on chromosome ten (PTEN) proteins is essential for cell proliferation, differentiation, and metabolic control. PI3Ks are lipid kinases that phosphorylate PIP2 (phosphatidylinositol 4, 5-bisphosphate) to generate $\mathrm{PIP}_{3}$ (phosphatidylinositol 3, 4, 5-triphosphate), which in turn activates AKT and downstream effectors, including mTOR [7, 8]. The tumor suppressor PTEN negatively regulates this process by dephosphorylating $\mathrm{PIP}_{3}$ [9]. Meanwhile, the PI3K regulatory subunit p85a stabilizes
the kinase activity of the p110 catalytic subunit via a helical domain interaction [10, 11]. The gene encoding the p110a catalytic subunit, PIK3CA, is frequently or infrequently mutated in a wide range of human cancers such as those from breast, colon and the stomach [12-15]. Most PIK3CA mutations occur in exon 9 and exon 20, which code for the helical and kinase domains, respectively [12]. Within these exons, recurrent (i.e., hotspot) mutations, including E545K and H1047R, have been reported for several tumor types [13-15], and these mutations may induce oncogenic effects [16, 17]. Although limited in $K R A S$ wild type tumors, these hotspot mutations are associated with resistance to EGFR-blocking therapies [18] and a poor prognosis in colorectal cancer patients who underwent surgery with curative intent [19].

Here we investigated whether PIK3CA hotspot mutations and PI3K pathway protein level are associated with the prognosis of advanced gastric cancer patients who received curative gastrectomy with/without adjuvant S-1 chemotherapy. We aimed to clarify the association between prognosis and: (i) PIK3CA hotspot mutations; (ii) PI3K pathway-related protein levels; and (iii) PIK3CA hotspot mutations and phospho-PI3K ( p -PI3K) levels.

## 2. Methods

### 2.1. Patients

This retrospective cohort included 160 patients with Stage IB/II/III gastric cancer (surgery only (Surgery) group, $n=115$; and surgery $+\mathrm{S}-1(\mathrm{~S}-1)$ group, $n=45$ ) who underwent R0 resection at the Iwate Medical University Hospital before November 2009. Stage IB was used to validate candidate biomarkers and protein analyses. All patients were categorized according to the Union for International Cancer Control (UICC) TNM Classification of Malignant Tumours (7 $7^{\text {th }}$ edition) [20]. The Iwate Medical University Ethics Committee approved this study (approval number H26-142,

HGH26-22).

### 2.2. Direct sequencing of PCR products

Genomic DNA was extracted from formalin-fixed paraffin-embedded (FFPE) tumor samples using a WaxFree ${ }^{\mathrm{TM}}$ DNA kit (TrimGen, Sparks, MD, USA) after malignant lesion microdissection. PCR amplification was performed for hotspot point mutations at PIK3CA codons 545 and 1047. MKN1 (E545K) and HCT116 (H1047R) were used as mutated (MT) controls, and GSS served as a wild type (WT) control. Cell line integrity was confirmed by short tandem repeat (STR) analysis [21]. PIK3CA is on chromosome 3,
but shares $98 \%$ homology with an approximately 7.0 kbp region on chromosome 22 q 11.2 [22]. Since codon 545 is located in this highly homologous region, the codon 545 PCR primer was designed to avoid amplification of this pseudogene. Two nucleotides, located 23 and 24 bp downstream from the $3^{\prime}$ end of codon 545, are unique to PIK3CA [22, 23]. As such, the codon 545 primer was specific for the $3^{\prime}$ end of the reverse primer to prevent annealing with the homologous sequence. PCR reactions contained $2 \times$ Emeraldamp ${ }^{\circledR}$ MAX PCR Master Mix (Takara Bio Inc., Otsu, Japan) (15 $\mu \mathrm{l}$ ), primers ( $0.6 \mu \mathrm{l}$ each), and template DNA ( 25 ng ) in $30 \mu \mathrm{l}$. Amplification was carried out in a TaKaRa PCR Thermal Cycler Dice ${ }^{\text {TM }}$ Version III TP600 (Takara Bio, Inc.) for 40 cycles of 10 seconds at $98^{\circ} \mathrm{C}, 30$ seconds at $60^{\circ} \mathrm{C}$, and 30 seconds at $72^{\circ} \mathrm{C}$. Primer sequences for codon 545 were 5'-GGGAAAATGACAAAGAACAGCTC-3' (sense) and 5'-TCCATTTTAGCACTTACCTGTGAC-3' (antisense), and codon 1047 primers were 5'-CTAGCCTTAGATAAAACTGAGCAAG-3' (sense) and 5'-AGAGTTATTAACAGTGCA GTGTGGA-3' (antisense).

### 2.3. Allele-specific quantitative real-time PCR

We performed allele-specific quantitative real-time $\operatorname{PCR}\left({ }_{q} \mathrm{PCR}\right)$ to validate the possible mutations found by direct sequencing [24]. qPCR reactions included $10 \mu \mathrm{LightCycler}{ }^{\circledR}$

480 Probe Master (Roche Applied Science, Penzberg, Germany), $1 \mu \mathrm{l}$ of $10 \times$ primer and hydrolysis probe solutions, 30 ng template DNA and $3 \mu \mathrm{l}$ sterile water ( $20 \mu \mathrm{l}$ total volume) in a Light Cycler ${ }^{\circledR}$ Nano (Roche Diagnostics, Risch-Rotkreuz, Switzerland) with 10 minutes at $95^{\circ} \mathrm{C}$, and 45 cycles of 10 seconds at $95^{\circ} \mathrm{C}, 30$ seconds at $60^{\circ} \mathrm{C}$, and 15 seconds at $72^{\circ} \mathrm{C}$. Primer sequences were the same as for direct sequencing. Probe sequences for WT (E545E) were HEX-CTCTGAAATCACTGAGCA GG-BHQ and FAM-TCTCTGAAATCACTAAGCAGG-BHQ for MT (E545K). The H1047R primer/probe was purchased from Bio-Rad (Hercules, CA, USA).

### 2.4. E545K digital PCR

The same set of primers and probes was used for E545K qPCR. Reactions included template genomic DNA ( $3 \mu \mathrm{l}$ of $10 \mathrm{ng} / \mu$ ) ), $10 \mu \mathrm{l}$ QuantStudio ${ }^{\text {TM }} 3 \mathrm{D}$ Digital PCR Master Mix (Thermo Fisher Scientific, Waltham, MA, USA), and $1 \mu$ l each of primer and probe. This mixture was applied to a ProFlex ${ }^{\text {TM }}$ System chip and analyzed with the following program: 10 minutes at $96^{\circ} \mathrm{C}$, 39 cycles of 2 minutes at $60^{\circ} \mathrm{C}$ and 30 seconds at $98^{\circ} \mathrm{C}$, and finally 2 minutes at $60{ }^{\circ} \mathrm{C}$. Absolute quantification was conducted using a QuantStudio ${ }^{\text {TM }}$ 3D Digital PCR system and analyzed with QuantStudio ${ }^{\text {TM }}$ 3D AnalysisSuite ${ }^{\text {TM }}$ Cloud Software (Thermo Fisher Scientific) [25].

### 2.5. Ultra deep sequencing for E545K

To confirm mutations with low allele frequency, a sequencing library was made from 5 samples with an insert size of the PCR product (111 bp) according to the protocol provided by Illumina (San Diego, CA, USA). The libraries were then sequenced using MiSeq2000 with approximately 111 bp paired-reads that represent the PCR product. Mapping and SNP/INDEL analysis was then performed to detect the PIK3CA codon 545 mutation [26].

### 2.6. Immunohistochemistry

Immunohistochemistry was performed on tissue microarrays made from tumor-rich areas taken from samples embedded in paraffin blocks [27]. Primary antibodies were incubated with the indicated dilution ratio: Phospho-PI3 Kinase p85 (Tyr458)/p55 (Tyr199), 1:100; Phospho-AKT (Ser473), 1:75; Phospho-mTOR (Ser2448) (49F9), 1:75; and PTEN (138G6), 1:450 (Cell Signaling Technology, Inc., Tokyo, Japan).

Phospho-PI3K and phosphor-AKT antibodies are polyclonal. After antigen retrieval (EDTA buffer pH 9 for 30 min at $95^{\circ} \mathrm{C}$ ), samples were incubated with primary antibody for 60 minutes at room temperature. Peroxidase-labeled anti-rabbit secondary antibody
(Histofine ${ }^{\circledR}$ Simple Stain MAX PO, Nichirei Biosciences, Inc., Tokyo, Japan) was then applied for 30 minutes at room temperature. Diaminobenzidine (DAB) was used for colorimetric detection. When anti p-AKT antibody was the primary antibody, samples after antigen retrieval were incubated overnight at $4^{\circ} \mathrm{C}$, followed by a 15 min incubation with peroxidase-labeled anti-rabbit secondary antibody at room temperature. Colorimetric detection was performed using the DAKO's catalyzed signal amplification (CSA) II Biotin-free Tyramide Signal Amplification System (Agilent Technologies, Santa Clara, CA, USA). Samples were deemed to have positive staining when more than $5 \%$ of cancer cells were stained. Three investigators independently scored the staining.

### 2.7. Statistical analysis

The distributions of overall survival (OS) and relapse-free survival (RFS) time were estimated using the Kaplan-Meier method. A log-rank test and Cox proportional hazards model was used to compare survival distributions and hazards ratio, respectively, of the two subgroups based on therapeutic or diagnostic parameters. Interaction $P$ values were calculated with the Likelihood ratio test. Statistical analysis was done with JMP, version 11 (SAS Institute Japan, Tokyo, Japan).

## 3. Results

### 3.1. Patient population

Study patient characteristics are listed in Table 1. Patients with stage II/III disease ( $n=$ 125) were primarily used for survival analysis. The 5 -year overall survival (OS) rate for the S-1 and Surgery groups was $75.0 \%$ and $66.2 \%$, respectively (Log-rank test, $P=0.26$; HR (Hazards Ratio), 1.47; 95\%CI (Confidence Interval), 0.76 to 2.99 ). The 5 -year relapse-free survival (RFS) rate was $68.4 \%$ for the S -1 group and $62.5 \%$ for the Surgery group (Log-rank test, $P=0.23 ; \mathrm{HR}, 1.48 ; 95 \% \mathrm{CI}, 0.79$ to 2.93) (Fig. 1). We considered these results were comparable to those from the ACTS-GC trial [4]. Stage IB patients were also analyzed to further validate candidate biomarkers.

### 3.2. PIK3CA hotspot mutations

PIK3CA PCR products were obtained from 111 and 94 samples for codon 545 and codon 1047, respectively. With Sanger sequencing, suspected but consistent sequence histograms for codon 545 were obtained for 22 of 111 samples; this result may be due to the low allele frequency of this mutation [28, 29] (Fig. S1). Of those samples with good DNA quality, three were validated by ultra-deep sequencing whose total coverage was
$1,418,873$ to $1,494,814 \mathrm{bp}$ per amplicon with a mutant allele coverage of 22,613 to $71,026 \mathrm{bp}$ (Table S1). All three samples had the same mutations in codon 545. Because genomic DNA from one sample ran short, the remaining 18 samples were validated for the E545K mutation by digital PCR (dPCR). The dPCR was successful for 16 of 18 samples ( $88.9 \%$ ) and we detected the E545K mutation in 10 ( $62.5 \%$ ) of these samples (Table S2). Therefore, 13/19 ( $68.4 \%$ ) of informative cases with suspected mutation by Sanger sequencing were confirmed by independent methods. Meanwhile, one mutation in codon 1047 was detected by Sanger sequencing and allele-specific $q$ PCR with an estimated allele frequency of 5-10\%. Overall, 13 patients ( $11.7 \%, 13 / 111$ ) had E545K mutations, and one patient $(1.1 \%, 1 / 94)$ had an H1047R mutation.

### 3.3 PI3K pathway protein levels and prognosis

Samples used for immunohistochemistry were selected to have sufficient quality for tissue microarray sections from Stage II/III gastric cancer patients who underwent a gastrectomy with curative intent (Fig. 2). Several PI3K pathway proteins, including p-PI3K (p85(Tyr458)/p55(Tyr199)), p-AKT (Ser473), p-mTOR, and PTEN, were examined as potential prognostic markers.

In the $\mathrm{S}-1$ group, the 5 -year OS of p -AKT (+) was $74.0 \%$ and p -AKT ( - ) was $69.2 \%$
(Log-rank test, $P=0.85$ ), whereas the 5 -year RFS of p -AKT (+) was $61.2 \%$ and p -AKT ( - ) was $69.2 \%$ (Log-rank test, $P=0.80$ ) (Fig. 3A, B). In the Surgery group, the 5 -year OS of p-AKT (+) (77.4\%) was higher than that of p-AKT (-) (51.4\%) (Log-rank test, $P=0.03$; HR, $2.19 ; 95 \%$ CI 1.06 to 4.77 ), as was the RFS (p-AKT (+), $75.0 \%$, and p-AKT (-), $54.1 \%$; Log-rank test, $P=0.01 ;$ HR, 2.45; 95\%CI 1.20 to 5.28) (Fig. 3C, D).

In the S-1 group, both the 5 -year OS and RFS of PTEN (+) were higher than that for PTEN (-) (OS: $76.3 \%$ vs. $66.7 \%$; Log-rank test, $P=0.54 ; \mathrm{HR}, 1.42 ; 95 \% \mathrm{CI} 0.42-4.47$; and RFS: $67.3 \%$ vs. $60.0 \%$; Log-rank test, $P=0.30$; HR, $1.76 ; 95 \%$ CI $0.57-5.31$ ) (Fig. $3 \mathrm{E}, \mathrm{F}$ ). Similar differences in the the 5 -year OS and RFS of PTEN ( + ) and PTEN ( - ) were also seen for the Surgery group (OS: $71.7 \%$ vs. $60.5 \%$; Log-rank test, $P=0.16 ; \mathrm{HR}, 1.68$; $95 \%$ CI $0.81-3.58$; and RFS: $71.7 \%$ and $55.3 \%$; Log-rank test, $P=0.07$; HR, $1.90 ; 95 \% \mathrm{CI}$ $0.94-4.00$ ) (Fig. 3G, H). Both the 5-year OS and RFS of PTEN (+) patients showed similar survival curves up to 2 years post-operation, and separated thereafter. Although statistical differences have not been confirmed, PTEN status may be associated with a latent effect on patient survival.

Levels of other PI3K pathway proteins, including $\mathrm{p}-\mathrm{mTOR}$ and p -PI3K, showed no differences between the treatment groups (Fig. S2, S3). Patients with stage IB disease without adjuvant chemotherapy also had no difference in prognosis in terms of PI3K
pathway protein levels.

### 3.4. PIK3CA mutations and PI3K phosphorylation

Samples of all stages were compared. The low observed mutant allele frequency could indicate tumor heterogeneity [30] and thus may not be directly associated with the pathological scoring of p-PI3K. Among our 13 samples with the codon 545 mutation, only one was p-PI3K positive. The only sample with the codon 1047 mutation was p-PI3K negative. Hence, PIK3CA hotspot mutations likely do not give rise to PI3K phosphorylation in most tumor cells in these gastric cancer cases.

### 3.5. Subgroup analysis

OS and RFS in eligible patients were analyzed according to age, sex, histologic type, disease stage, PI3K signaling protein level, and PIK3CA genotype. In all parameter groups, both p-AKT (+) and PTEN (+) were a better prognostic factor for survival. There was no interaction between protein levels and any of these factors (Fig. 4, Fig. 5).

## 4. Discussion

Detection of mutations with low allele frequency is a challenging task in sequencing human tumor genomes. For PIK3CA hotspots, low allele frequency mutation (less than $10 \%$ ) in human tumors was previously reported [29, 30]. In terms of anti-cancer drug-resistance acquisition, PIK3CA mutations with low allele frequency may be associated with minor subclones [31-33]. Following principles of Darwinian evolution, advantageous phenotypes are selected, and disadvantageous phenotypes are eliminated to promote tumor survival [34]. Cells with PIK3CA hotspot mutations could be present as minor clones before antitumor drugs are given, and then become the majority under selection pressure brought by antitumor drugs [35]. As such, these minor clones can play a critical role in resistance to antitumor drugs and acquisition of metastatic potential [36, 37]. We identified PIK3CA mutations in surgical specimens with an allele frequency of 1.6 to $4.8 \%$. Although PIK3CA mutations did not appear to have a strong effect on prognosis, the significance of minor clones in the context of cancer recurrence in adjuvant chemotherapy should nonetheless be carefully investigated.

We found that p-AKT (+) had diagnostic power for favorable prognosis in the Surgery group but not the $\mathrm{S}-1$ group. The malignant features of p -AKT (-) tumors may be indicated by the favorable outcome of p -AKT (+) tumors from a wide range of origins, including gastric cancer [38-40]. Our results suggest that p-AKT (-) tumors are more
malignant than p -AKT (+) but are rescued by the adjuvant chemotherapy. We also identified PTEN as another prognostic marker for gastric cancer. In the Surgery group, OS/RFS of PTEN ( - ) was similar to PTEN $(+$ ) during the first two post-operative years, but thereafter the OS/RFS of PTEN $(-)$ was lower than PTEN (+). Indeed, our results are consistent with several reports showing that PTEN loss is associated with poor prognosis in pancreatic, prostate, ovarian, and gastric cancers [41-46]. Importantly, our results indicated that the OS/RFS of PTEN $(-)$ might be associated with the relative resistance of S-1 that results in a consistently lower survival rate. The PTEN-dependent mechanism affected by S-1 chemotherapy is unclear, but the distinct pattern of PI3K pathway protein expression in gastric cancer suggests that PI3K inhibitors could be useful for treating 5-FU-resistant gastric cancer.

PIK3CA oncogenic mutation is thought to be a major cause of PI3K activation [47]. However, in contrast to in vitro studies, in clinical samples PIK3CA mutations appear to make only limited contributions to PI3K activation [48-50]. Of the 14 PIK3CA hotspot mutations we identified, only one ( $7.1 \%$ ) case was p-PI3K (+) while most (22/23 95.7\%) p-PI3K (+) cases had no PIK3CA mutations. Although the E545K and H1047R amino acid substitutions may affect the p110a structure to influence phosphoryl group binding [51], our observations indicate that the PIK3CA mutations may not be
sufficient indicators of PI3K pathway activation. Therefore, in practice, a comprehensive examination of PI3K pathway activation at a post-translational level would be needed when using PI3K pathway inhibitors. The clinical significance of PIK3CA mutations in PI3K pathway activation would require further investigation.

## 5. Conclusions

The low allele frequency of PIK3CA mutations may have a limited effect in Stage II/III gastric cancer. The present results show that the clinical significance of the PI3K pathway in gastric cancer is represented by both p -AKT and PTEN. Further studies will provide insight into the potential utility of PI3K pathway molecules in differential diagnoses and molecular targeting therapies as part of multi-disciplinary gastric cancer treatments.

## Acknowledgements

We thank all participants who provided tissue samples for this study. We also thank Drs. Kaoru Ishida, Kohei Kume, Takeshi Iwaya, Takehiro Chiba, Masanori Takahashi, Hisataka Fujiwara for providing reagents/clinical information; Dr. Daphne W. Bell for PCR primer design; Drs. Atsushi Shimizu and Tsuyoshi Hachiya for critical advice on
the sequencing results; and Ms. Chihiro Sumida for helping artwork.

Funding: This work was supported by Keiryokai Collaborative Research Grant [grant number \#131 (S.S.N.)]; Grants-in-Aid for Scientific Research KAKENHI [grant number JP16H01578 (S.S.N.)]; and Grants-in-Aid for Scientific Research KAKENHI [grant number JP15K10114 (Ke. K.)].

## Disclosure

All authors declare no conflict of interest.

## References

[1] Macdonald JS, Smalley SR, Benedetti J, Hundahl SA, Estes NC, et al. Chemoradiotherapy after surgery compared with surgery alone for adenocarcinoma of the stomach or gastroesophageal junction. N Engl J Med 2001:345:725-730.
[2] Cunningham D, Allum WH, Stenning SP, Thompson JN, Van de Velde CJ, et al. Perioperative chemotherapy versus surgery alone for resectable gastroesophageal cancer. N Engl J Med 2006:355:11-20.
[3] Sakuramoto S, Sasako M, Yamaguchi T, Kinoshita T, Fujii M, et al. Adjuvant chemotherapy for gastric cancer with S-1, an oral fluoropyrimidine. N Engl J Med 2007:357:1810-1820.
[4] Sasako M, Sakuramoto S, Katai H, Kinoshita T, Furukawa H, et al. Five-year outcomes of a randomized phase III trial comparing adjuvant chemotherapy with $\mathrm{S}-1$ versus surgery alone in stage II or III gastric cancer. J Clin Oncol 2011:29:4387-4393.
[5] Terashima M, Kitada K, Ochiai A, Ichikawa W, Kurahashi I, et al. Impact of expression of
human epidermal growth factor receptors EGFR and ERBB2 on survival in stage II/III gastric cancer. Clin Cancer Res 2012:18:5992-6000.
[6] Sasako M, Terashima M, Ichikawa W, Ochiai A, Kitada K, et al. Impact of the expression of thymidylate synthase and dihydropyrimidine dehydrogenase genes on survival in stage II/III gastric cancer. Gastric Cancer 2015:18:538-548.
[7] Cantley LC. The phosphoinositide 3-kinase pathway. Science 2002:296:1655-1657.
[8] Singh SS, Yap WN, Arfuso F, Kar S, Wang C, et al. Targeting the PI3K/Akt signaling pathway in gastric carcinoma: A reality for personalized medicine? World J Gastroenterol 2015:21:12261-12273.
[9] Salmena L, Carracedo A, Pandolfi PP. Tenets of PTEN tumor suppression. Cell 2008:133:403-414.
[10] Liu S, Knapp S, Ahmed AA. The structural basis of PI3K cancer mutations: from mechanism to therapy. Cancer Res 2014:74:641-646.
[11] Vadas O, Burke JE, Zhang X, Berndt A, Williams RL. Structural basis for activation and inhibition of class I phosphoinositide 3-kinases. Sci Signal 2011:4:re2.
[12] Samuels Y, Wang Z, Bardelli A, Silliman N, Ptak J, et al. High frequency of mutations of the PIK3CA gene in human cancers. Science 2004:304:554.
[13] Ligresti G, Militello L, Steelman LS, Cavallaro A, Basile F, et al. PIK3CA mutations in human solid tumors: role in sensitivity to various therapeutic approaches. Cell Cycle 2009:8:1352-1358.
[14] Kandoth C, McLellan MD, Vandin F, Ye K, Niu B, et al. Mutational landscape and significance across 12 major cancer types. Nature 2013:502:333-339.
[15] Samuels Y, Waldman T. Oncogenic mutations of PIK3CA in human cancers. Curr Top Microbiol Immunol 2010:347:21-41.
[16] Kang S, Bader AG, Vogt PK. Phosphatidylinositol 3-kinase mutations identified in human cancer are oncogenic. Proc Natl Acad Sci U S A 2005:102:802-807.
[17] Samuels Y, Diaz LA, Jr., Schmidt-Kittler O, Cummins JM, Delong L, et al. Mutant PIK3CA promotes cell growth and invasion of human cancer cells. Cancer Cell 2005:7:561-573.
[18] Sartore-Bianchi A, Martini M, Molinari F, Veronese S, Nichelatti M, et al. PIK3CA mutations in colorectal cancer are associated with clinical resistance to EGFR-targeted monoclonal antibodies. Cancer Res 2009:69:1851-1857.
[19] Ogino S, Nosho K, Kirkner GJ, Shima K, Irahara N, et al. PIK3CA mutation is associated with poor prognosis among patients with curatively resected colon cancer. J Clin Oncol 2009:27:1477-1484.
[20] Sobin LH, Gospodarowicz MK, Wittekind Ch (eds). International Union against Ccacer
(UICC) TNM classification of malignant tumours. 7th ed. Oxford: Wiley-Blackwell; 2010.
[21] Reid Y, Storts D, Riss T, Minor L. Authentication of Human Cell Lines by STR DNA Profiling Analysis. In: Sittampalam GS, Coussens NP, Nelson H, Arkin M, Auld D, et al. eds., Assay Guidance Manual. Bethesda (MD): Eli Lilly \& Company and the National Center for Advancing Translational Sciences, 2004.
[22] Baker CL, Vaughn CP, Samowitz WS. A PIK3CA pyrosequencing-based assay that excludes pseudogene interference. J Mol Diagn 2012:14:56-60.
[23] Rudd ML, Price JC, Fogoros S, Godwin AK, Sgroi DC, et al. A unique spectrum of somatic PIK3CA (p110alpha) mutations within primary endometrial carcinomas. Clin Cancer Res 2011:17:1331-1340.
[24] van Eijk R, Licht J, Schrumpf M, Talebian Yazdi M, Ruano D, et al. Rapid KRAS, EGFR, BRAF and PIK3CA mutation analysis of fine needle aspirates from non-small-cell lung cancer using allele-specific qPCR. PLoS One 2011:6:e17791.
[25] Conte D, Verri C, Borzi C, Suatoni P, Pastorino U, et al. Novel method to detect microRNAs using chip-based QuantStudio 3D digital PCR. BMC Genomics 2015:16:849.
[26] Betge J, Kerr G, Miersch T, Leible S, Erdmann G, et al. Amplicon sequencing of colorectal cancer: variant calling in frozen and formalin-fixed samples. PLoS One 2015:10:e0127146.
[27] Honda T, Tamura G, Endoh Y, Nishizuka S, Kawata S, et al. Expression of tumor suppressor and tumor-related proteins in differentiated carcinoma, undifferentiated carcinoma with tubular component and pure undifferentiated carcinoma of the stomach. Jpn J Clin Oncol 2005:35:580-586.
[28] Arsenic R, Treue D, Lehmann A, Hummel M, Dietel M, et al. Comparison of targeted next-generation sequencing and Sanger sequencing for the detection of PIK3CA mutations in breast cancer. BMC Clin Pathol 2015:15:20.
[29] Grunewald I, Vollbrecht C, Meinrath J, Meyer MF, Heukamp LC, et al. Targeted next generation sequencing of parotid gland cancer uncovers genetic heterogeneity. Oncotarget 2015:6:18224-18237.
[30] Haley L, Tseng LH, Zheng G, Dudley J, Anderson DA, et al. Performance characteristics of next-generation sequencing in clinical mutation detection of colorectal cancers. Mod Pathol 2015:28:1390-1399.
[31] Janiszewska M, Liu L, Almendro V, Kuang Y, Paweletz C, et al. In situ single-cell analysis identifies heterogeneity for PIK3CA mutation and HER2 amplification in HER2-positive breast cancer. Nat Genet 2015:47:1212-1219.
[32] Normanno N, Rachiglio AM, Lambiase M, Martinelli E, Fenizia F, et al. Heterogeneity
of KRAS, NRAS, BRAF and PIK3CA mutations in metastatic colorectal cancer and potential effects on therapy in the CAPRI GOIM trial. Ann Oncol 2015:26:1710-1714.
[33] Yates LR, Gerstung M, Knappskog S, Desmedt C, Gundem G, et al. Subclonal diversification of primary breast cancer revealed by multiregion sequencing. Nat Med 2015:21:751-759.
[34] Eirew P, Steif A, Khattra J, Ha G, Yap D, et al. Dynamics of genomic clones in breast cancer patient xenografts at single-cell resolution. Nature 2015:518:422-426.
[35] Aparicio S, Caldas C. The implications of clonal genome evolution for cancer medicine. N Engl J Med 2013:368:842-851.
[36] Wu X, Northcott PA, Dubuc A, Dupuy AJ, Shih DJ, et al. Clonal selection drives genetic divergence of metastatic medulloblastoma. Nature 2012:482:529-533.
[37] Kreso A, O'Brien CA, van Galen P, Gan OI, Notta F, et al. Variable clonal repopulation dynamics influence chemotherapy response in colorectal cancer. Science 2013:339:543-548.
[38] Shah A, Swain WA, Richardson D, Edwards J, Stewart DJ, et al. Phospho-akt expression is associated with a favorable outcome in non-small cell lung cancer. Clin Cancer Res 2005:11:2930-2936.
[39] Baba Y, Nosho K, Shima K, Hayashi M, Meyerhardt JA, et al. Phosphorylated AKT expression is associated with PIK3CA mutation, low stage, and favorable outcome in 717 colorectal cancers. Cancer 2011:117:1399-1408.
[40] Nam SY, Lee HS, Jung GA, Choi J, Cho SJ, et al. Akt/PKB activation in gastric carcinomas correlates with clinicopathologic variables and prognosis. Apmis 2003:111:1105-1113.
[41] Garcia-Carracedo D, Turk AT, Fine SA, Akhavan N, Tweel BC, et al. Loss of PTEN expression is associated with poor prognosis in patients with intraductal papillary mucinous neoplasms of the pancreas. Clin Cancer Res 2013:19:6830-6841.
[42] Ahearn TU, Pettersson A, Ebot EM, Gerke T, Graff RE, et al. A Prospective Investigation of PTEN Loss and ERG Expression in Lethal Prostate Cancer. J Natl Cancer Inst 2016:108.
[43] Oki E, Kakeji Y, Baba H, Tokunaga E, Nakamura T, et al. Impact of loss of heterozygosity of encoding phosphate and tensin homolog on the prognosis of gastric cancer. J Gastroenterol Hepatol 2006:21:814-818.
[44] Oki E, Baba H, Tokunaga E, Nakamura T, Ueda N, et al. Akt phosphorylation associates with LOH of PTEN and leads to chemoresistance for gastric cancer. Int J Cancer 2005:117:376-380.
[45] Kang HJ, Lee IS, Park YS, Ho WJ, Sohn D, et al. Biomarkers of EBV-positive Gastric

Cancers: Loss of PTEN Expression is Associated with Poor Prognosis and Nodal Metastasis. Ann Surg Oncol 2016; e-pub ahead of print, 24 May 2016.
[46] Martins FC, Santiago I, Trinh A, Xian J, Guo A, et al. Combined image and genomic analysis of high-grade serous ovarian cancer reveals PTEN loss as a common driver event and prognostic classifier. Genome Biol 2014:15:526.
[47] Hennessy BT, Smith DL, Ram PT, Lu Y, Mills GB. Exploiting the PI3K/AKT pathway for cancer drug discovery. Nat Rev Drug Discov 2005:4:988-1004.
[48] Hafner C, Landthaler M, Vogt T. Activation of the PI3K/AKT signalling pathway in non-melanoma skin cancer is not mediated by oncogenic PIK3CA and AKT1 hotspot mutations. Exp Dermatol 2010:19:e222-227.
[49] de Vries M, Bruijn IB, Cleton-Jansen AM, Malessy MJ, van der Mey AG, et al. Mutations affecting BRAF, EGFR, PIK3CA, and KRAS are not associated with sporadic vestibular schwannomas. Virchows Arch 2013:462:211-217.
[50] Bumrungthai S, Munjal K, Nandekar S, Cooper K, Ekalaksananan T, et al. Epidermal growth factor receptor pathway mutation and expression profiles in cervical squamous cell carcinoma: therapeutic implications. J Transl Med 2015:13:244.
[51] Miled N, Yan Y, Hon WC, Perisic O, Zvelebil M, et al. Mechanism of two classes of cancer mutations in the phosphoinositide 3-kinase catalytic subunit. Science 2007:317:239-242.

Figure Legends
Fig. 1. Kaplan-Meier estimates. (A) OS and (B) RFS for gastric cancer patients with stage II/III disease. $\mathrm{S}-1$, surgery $+\mathrm{S}-1$ group; Surgery, surgery-only group; $P$, P value of Log-rank test; HR, hazards ratio; CI, confidence interval. Vertical dashed line indicates 5 years.

Fig. 2. Immunohistochemistry of PI3K pathway-related proteins.
(A) p -PI3K ( - ), negative; (B) p -AKT ( - ), negative; (C) p -mTOR ( - ), negative; (D) PTEN ( - ), negative; (E) p-PI3K (+), positive; (F) p-AKT (+), positive; (G) p-mTOR (+), positive; and (H) PTEN (+), positive. Scale bar, $100 \mu \mathrm{~m}$.

Fig. 3. Kaplan-Meier survival curves stratified by p-AKT and PTEN levels.
(A) OS and (B) RFS of $\mathrm{p}-\mathrm{AKT}(+)(n=28)$ and $\mathrm{p}-\mathrm{AKT}(-)(n=13)$ in the $\mathrm{S}-1$ group. (C) OS and (D) RFS of p -AKT ( + ) ( $n=40$ ) and p -AKT $(-)(n=37)$ in the Surgery group. (E) OS and (F) RFS of PTEN (+) ( $n=26$ ) and PTEN ( - ) ( $n=15$ ) in the S -1 group. (G) OS and (H) RFS of PTEN $(+)(n=39)$ and PTEN $(-)(n=38)$ in the Surgery group. S-1, surgery + S-1 group; Surgery, surgery-only group; $P, \mathrm{P}$ value of Log-rank test; HR , hazards ratio; CI, confidence interval. Vertical dashed line indicates 5 years.

Fig. 4. Subgroup analysis based on hazards ratios for OS/RFS and $P$ values for the interaction between p-AKT level and baseline characteristics. HR, hazards ratio; CI, confidence interval; IHC, immunohistochemistry.

Fig. 5. Subgroup analysis based on hazards ratios for OS/RFS and $P$ values for the interaction between PTEN level and baseline characteristics. HR, hazards ratio; CI,

Ito, et al.
confidence interval; IHC, immunohistochemistry.

Table 1. Patient characteristics

| Characteristics | $N(\%)$ |
| :--- | :---: |
| All patients | 160 |
| Age (years), median | 68.6 |
| Gender |  |
| Male | $113(70.6)$ |
| Female | $47(29.4)$ |
| Histologic type |  |
| Differentiated | $79(49.4)$ |
| Undifferentiated | $81(50.6)$ |
| Stage (TMN7) |  |
| IB | $35(21.9)$ |
| IIA | $38(23.8)$ |
| IIB | $37(23.1)$ |
| IIIA | $18(11.2)$ |
| IIIB | $19(11.9)$ |
| IIIC | $13(8.1)$ |
| Type of lymph node dissection | $2(1.2)$ |
| D1 |  |
| D2 | $43(27)$ |
| D3 | $112(70)$ |
| Lodality | $5(3)$ |
| Surgery (surgery only) | $123(71.9)$ |
| S-1 (surgery + S-1) | $75(4.4)$ |
| Lesions of relapse | $15(9.4)$ |
| NA | $13(8.1)$ |
| Lymph nodes | $23.9)$ |
| Hematogenous |  |
| Peritoneum |  |
| Local |  |

a


| No. at risk |  |  | Months from surgery |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| S-1 | 45 | 43 | 331652 | 1 |  |  |
| Surgery | 80 | 62 | 54472913 | 5 | 4 | 2 |

b


No. at risk
S-1
Surgery 80

Months from surgery
3115421
$58 \quad 504528124 \quad 3 \quad 2$

Figure2


PTEN


Fig. 2.


C


No. at risk p-AKT(+) $40 \quad 383433 \quad 3127 \quad 16 \quad 8 \quad 4 \quad 3$ p-AKT(-) $\begin{array}{llllllllll}37 & 34 & 26 & 24 & 21 & 19 & 12 & 4 & 1\end{array}$
e

g

b

d

h


Fig. 3.


Fig. 4.

| Total No. | OS |  |  | RFS |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  | HR | 95\% CI | interaction $P$ | HR | 95\% CI | interaction $P$ |




Fig. 5.

## Supplementary material

Table S1. Next generation sequencing of codon 545

|  | Reference <br> Position | Type | Reference | Allele | Variant <br> Count | Coverage | Frequency (\%) |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| MKN1* | 1633 | SNV | G | A | 1,257,031 | 1,925,310 | 65.30 |
| HA20** | 1633 | SNV | G | A | 22,613 | 1,482,130 | 1.53 |
| HD7** | 1633 | SNV | G | A | 38,275 | 1,418,873 | 2.70 |
| HE2** | 1633 | SNV | G | A | 71,026 | 1,494,814 | 4.75 |

*Cell line for positive control; **Patient tumor samples

Table S2. Validation of E545K status

| Assay | Sample |  |  |  |
| :--- | :---: | ---: | ---: | ---: |
|  | ID | Copies/ $\mu \mathrm{l}$ <br> $(\mathrm{WT})$ | Copies/ $\mu \mathrm{l}$ <br> $(\mathrm{MT})$ | Allele <br> frequency (\%) |
| E545K | HA1 | 17.29 | 0.15 | 0.88 |
| E545K | HA6 | 3.04 | 0 | 0 |
| E545K | HA7 | 49.00 | 0 | 0 |
| E545K | HA8 | 13.11 | 1.37 | 9.49 |
| E545K | HB7 | NA | NA | NA |
| E545K | HB8 | 6.97 | 0.16 | 2.17 |
| E545K | HC3 | 56.97 | 0.08 | 0.14 |
| E545K | HC4 | 65.62 | 0.56 | 0.84 |
| E545K | HD3 | 5.70 | 0 | 0 |
| E545K | HD8 | 87.55 | 0.32 | 0.37 |
| E545K | HE1 | 81.81 | 0.23 | 0.28 |
| E545K | HE3 | 45.32 | 0.23 | 0.51 |
| E545K | HE5 | 47.19 | 1.57 | 3.22 |
| E545K | HF2 | NA | NA | NA |
| E545K | HA12 | 4.91 | 0.08 | 1.61 |
| E545K | HA18 | 1.30 | 0 | 0 |
| E545K | HA25 | 5.27 | 0 | 0 |
| E545K | HB28 | 14.88 | 0 | 0 |

WT, wild type; MT, mutant type; NA, not applicable.


Fig. S1. Direct sequencing histogram of codon 545.
(A) The sense strand of the WT control (GSS) and (B) MT control (MKN1).
(C) A gastric cancer patient sample considered to be WT. (D) Two gastric cancer patient samples suspected to have the MT allele. The arrows indicate c. $1633 \mathrm{G}>\mathrm{A}$ substitution at codon 545.


Fig. S2. Kaplan-Meier survival curves stratified by p-PI3K level.
(A) OS and (B) RFS of p-PI3K (+) $(n=5)$ and $\mathrm{p}-\mathrm{PI} 3 \mathrm{~K}(-)(n=36)$ in the $\mathrm{S}-1$ group. (C) OS and (D) RFS of p-PI3K $(+)(n=10)$ and p-PI3K $(-)(n=67)$ in the Surgery group.

Dashed vertical line indicates 5 years. $P, \mathrm{P}$ value of Log-rank test; HR, hazards ratio; and CI, $95 \%$ confidence interval.


Fig. S3. Kaplan-Meier survival curves stratified by p-mTOR level.
(A) OS and (B) RFS of $\mathrm{p}-\mathrm{mTOR}(+)(n=27)$ and $\mathrm{p}-\mathrm{mTOR}(-)(n=14)$ in the $\mathrm{S}-1$ group. (C)

OS and (D) RFS of p-mTOR (+) $(n=55)$ and $\mathrm{p}-\mathrm{mTOR}(-)(n=22)$ in the Surgery group.

Dashed vertical line indicates 5 years. $P$, P value of Log-rank test; HR, hazards ratio;
and CI, $95 \%$ confidence interval.

