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Temozolomide treatment alters mismatch repair and boosts mutational burden in tumor and blood of colorectal cancer patients

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Conflict of interest disclosure statement

A.Bardelli served in a consulting/advisory role for Illumina and Inivata. A.Bardelli and G.G. are cofounders and shareholders of NeoPhore. A.Bardelli is a member of the NeoPhore scientific advisory board. N.P. received consulting fees from Amgen, Merck Serono, Servier; lectures fees from AbbVie, Gilead, Lilly, Sanofi; travel support from Amgen, ArQule; and institutional research funding from Basilea, Merck Serono, Servier. A.S.B. is a member of advisory boards for Amgen, Bayer, Sanofi and Servier. S.S. is an advisory board member for AstraZeneca, Bayer, BMS, CheckmAb, Daiichi-Sankyo, Menarini, Merck, and Seattle Genetics. F.P. received honoraria from Merck-Serono, Amgen, Sanofi, Lilly, Servier, Bayer, Astrazeneca and

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Abstract

The majority of metastatic colorectal cancers (mCRC) are mismatch repair (MMR) proficient and unresponsive to immunotherapy, while MMR-deficient (MMRd) tumors often respond to immune-checkpoint-blockade. We previously reported that treatment of CRC preclinical models with temozolomide (TMZ) leads to MMR-deficiency, increased tumor mutational burden (TMB) and sensitization to immunotherapy. To clinically translate these findings, we designed the ARETHUSA clinical trial whereby O6-Methylguanine-DNA-methyltransferase (MGMT) deficient, MMR-proficient, *RAS* mutant mCRC patients received priming therapy with TMZ. Analysis of tissue biopsies and circulating tumor DNA (ctDNA) revealed the emergence of a distinct mutational signature and increased TMB after TMZ treatment. Multiple alterations in the nucleotide context favored by the TMZ signature emerged in MMR genes and the p.T1219I *MSH6* variant was detected in ctDNA and tissue of 94% (16/17) of the cases. A patient's subset whose tumors displayed the *MSH6* mutation, the TMZ mutational signature and increased TMB, achieved disease stabilization upon pembrolizumab treatment.

STATEMENT OF SIGNIFICANCE

Mismatch-repair (MMR) proficient mCRCs are unresponsive to immunotherapy. We provide the *proof-of-concept* that inactivation of the MMR genes can be achieved pharmacologically with temozolomide and molecularly monitored in tissue and blood of mCRC patients. This strategy deserves further evaluation in mCRC patients whose tumors have run short of SOC-treatments.

INTRODUCTION

Colorectal cancer (CRC) is one of the most common and lethal cancers, representing around 10% of new cancer diagnoses and 9% of cancer-related deaths

(1, 2). While the 5-year relative overall survival (OS) ranges between 68-90% in localized disease (stage I-III), in stage IV metastatic CRC (mCRC) it is still dismal, dropping to 11-14%(1, 2).

Cytotoxic combinations represent the main therapeutic options for most mCRC patients (3, 4). Despite recent progresses exploiting targeted therapies such as combination of BRAF and EGFR inhibitors for *BRAF*^{V600E} mutant tumors, or HER2-blockade in HER2-positive ones, treatment developments have been incremental rather than transformative (5-9).

The Mismatch Repair (MMR) system, which detects and corrects base mispairs, insertions and deletions (INDELs) that occur during DNA synthesis, is deregulated in approximately 15% stage I-III CRC and 4-5% mCRC (10, 11). Based on the MMR proficiency status, CRCs are classified into two molecularly distinct subgroups defined as mismatch repair proficient (MMRp) or deficient (MMRd) (12, 13). MMRp tumors include those that are usually microsatellite stable (MSS) or tumors with intact MMR proteins, accounting for around 95% mCRCs (14). MMRd tumors usually present microsatellite instability (MSI) as a consequence of genetic or epigenetic alterations leading to inactivation of MMR genes, such as *MLH1*, *MSH2*, *MSH6* and *PMS2* (15). As a result of a defective MMR machinery, MMRd tumor cells display a high number of genomic alterations leading to the production of non-self-peptides, which should be recognized by the immune system (16, 17). This hypothesis is consistent with the observation that MSI/MMRd CRCs are counter selected during progression towards metastatic disease and display an overall better prognosis with respect to the MSS/MMRp counterpart (18). Immune therapy based on anti-programmed death-1 (PD-1) agents is highly effective in MSI/MMRd mCRC patients. In first line, the anti PD-1 agent pembrolizumab led to superior progression-free survival (PFS) compared to chemotherapy for MSI/MMRd mCRC (19). In the same setting, a single-arm phase II trial found that also the combination of another anti PD-1, nivolumab, plus low-dose of the anti-cytotoxic T-lymphocyte antigen 4 (CTLA4) ipilimumab demonstrated an extremely high rate of durable clinical benefit (20). The latter combination is now being tested in a confirmatory randomized phase III trial versus nivolumab alone or physician's choice chemotherapy (Checkmate 8HW trial NCT04008030). In patients with chemo-refractory disease, results from phase II

trials with pembrolizumab (21) or the combination of nivolumab and ipilimumab (22) had also shown promising efficacy in terms of response rate (RR) and PFS providing the grounds for escalation to first-line. As a whole, these results are radically transforming treatment guidelines and impact on real-world MSI/MMRd mCRC patients (23)

A rare subset of MSS mCRCs harboring mutations in the exonuclease domain of DNA polymerase epsilon (*POLE*) gene display an ultra-mutated phenotype with significantly higher tumor mutational burden (TMB) than MSI/MMRd CRCs. *POLE* mutant MSS tumors are characterized by a high number of single nucleotide variants (SNVs) and have also been found exquisitely sensitive to immune checkpoint blockade (ICB) (14, 24). Interestingly, both MSI carrying elevated levels of indels/frameshifts and *POLE* mutant CRC (characterized by elevated SNVs and much less indels/frameshifts) benefit from immunotherapy. This indicates that both classes of genetic alterations can trigger an immune response.

While ICB dramatically impacted the prognosis of MSI/MMRd and MSS *POLE* mutant mCRC patients, MSS/MMRp mCRCs are intrinsically resistant to anti-PD-1-based regimens (25). Indeed, MSS/MMRp mCRCs are characterized by low TMB, an immune suppressive tumor microenvironment with low level of tumor infiltrating lymphocytes, and a reduced expression of checkpoint proteins (17). Thus, MSS/MMRp mCRCs are usually defined as “cold” as opposed to the “immunologically hot” MSI/MMRd counterpart (17). One of the current greatest challenges for translational research in mCRC is to understand how to switch immunologically “cold” into “hot” tumors.

Different combinations of checkpoint inhibitors with cytotoxic, anti-vascular endothelial growth factor (anti-VEGF), anti-EGFR agents or tyrosine kinase inhibitors have been tested in clinical trials in MSS/MMRp mCRCs, but overall results remain disappointingly inconclusive (14, 26-30).

The alkylating agent temozolomide (TMZ) is a treatment option in several solid tumors such as glioma, glioblastoma, neuroendocrine tumors, melanoma and sarcomas (31-37). Resistance to TMZ in *O(6)-methylguanine-DNA*

methyltransferase (MGMT) methylated glioblastomas is associated with the onset of inactivating mutations in MMR genes, such as *MSH6* (38-41). Recurrent tumors are more frequently hypermutated, which may potentially sensitize glioblastomas to ICB (42, 43). This observation led to a currently ongoing phase II trial assessing the effectiveness of ICB in recurrent hypermutated glioma and glioblastoma (NCT04145115 and NCT02658279).

Using a syngeneic CRC mouse model, our group previously demonstrated that TMZ treatment led to the emergence of MMRd cells among an otherwise MMRp cell population (44). Interestingly, these cells were more immunogenic and triggered immune surveillance in mice (44). Additionally, analysis of tumor biopsies from mCRC patients relapsing after TMZ-based therapeutic regimens revealed MMR mutations as a potential resistance mechanism in two out of five cases (44). Finally, our data suggested that MMR inactivation in mouse and human CRCs could lead to increased TMB and predicted neoantigens (44). These data led to the design of the ongoing ARETHUSA (NCT03519412), a *proof-of-concept* two-step clinical trial. During the first step – the *priming* phase - TMZ treatment is used both with therapeutic intent and to trigger a hypermutant status in MGMT-hypermethylated MSS mCRC patients. In the second step - the *immunotherapy* phase - the anti-PD-1 agent pembrolizumab is deployed as monotherapy in those patients who develops a TMB \geq 20 mut/Mb upon progression after TMZ treatment.

Here we present the analyses of tissue biopsies and circulating tumor DNA (ctDNA) obtained from an initial cohort of 21 ARETHUSA patients before and after the *priming* phase. We provide clinical *proof-of-concept* that targeting DNA repair processes can impact the mutational evolution of MSS/MMRp tumors and be potentially exploited as a non-canonical strategy to turn immunologically “cold” into “hot” tumors.

RESULTS

Clinical flow and logistics of the ARETHUSA trial

We selected *RAS* mutated mCRC patients who had progressive disease (PD) on or after prior systemic treatment including fluoropyrimidines, oxaliplatin, irinotecan, regorafenib, or trifluridine/tipiracil. All patients were screened for MMR and/or MSI status on archival formalin-fixed paraffin-embedded (FFPE) tumor tissues.

The status of the *MGMT* gene and protein is evaluated during the *screening* phase before enrolling the patient in the *priming* phase. To enter this phase, eligible patients must have tumors: i) with no or low expression of *MGMT* protein as defined by a negative IHC staining, and ii) with hypermethylation at the *MGMT* gene promoter level as defined by a positive MethylBEAming analysis. These are mandatory criteria for the molecular screening of patients before enrollment. We previously demonstrated that *MGMT* methylated mCRC are more likely to benefit from TMZ than those lacking *MGMT* methylation (45-49). Accordingly, TMZ priming was restricted to patients with *MGMT* defective tumors assessed by both protein expression and promoter methylation since this two-layer selection has been identified as the most effective by a large pooled cohort in this setting (49). Patients were also biopsied pre (non-mandatory) and post (mandatory) TMZ treatment, to determine the post-TMZ TMB and whenever possible, any changes in TMB over time (Figure 1). A post-TMZ threshold of 20 mutations/Mb (i.e. double that required for the Standard of Care (SOC) use of the anti-PD1 antibody pembrolizumab) (15, 50) was required to access the *immunotherapy* phase delivering pembrolizumab every three weeks until PD or unacceptable toxicity (Figure 1). The ARETHUSA clinical trial is currently ongoing and recruiting mCRC patients (NCT03519412), while the translational analyses of an initial cohort of 21 patients enrolled in the trial are presented here.

Clinical efficacy of TMZ in the priming phase of the ARETHUSA trial

From February 2019 to December 2021 (data lock for the present study), 473 MSS/MMRp *RAS* mutant mCRC patients were enrolled in the study, 442 patients were screened for *MGMT* status and 33 of 69 *MGMT* methylated patients received priming treatment with TMZ. Twenty-seven patients were treated with TMZ until PD, while treatment of 6 patients was currently ongoing at the time of data lock. We included in ARETHUSA three additional patients who had PD on TMZ-based regimens as part of other trials (51, 52) or on TMZ off-label treatment (Supplementary Figure S1). Of the 30 patients treated in the priming phase until PD,

TMZ was administered for a median of 3.0 months of treatment [range 0.6-7.5] (Figure 2). TMZ priming achieved a disease control rate (DCR) of 57% (17/30, 57%; 95%CI 39-74%). Unsurprisingly, in a heavily pre-treated *RAS* mutant patient population such as in ARETHUSA [median prior regimen N=3 (range 1-60); 63 % (19/30) of patients with previous ≥ 3 therapeutic line], DCR consisted of disease stabilization (SD) as RECIST1.1 best response, with a median PFS of 4.2 months (range 2.7-7.5; Figure 2). However, tumor growth stabilization lasting ≥ 4 months (corresponding to at least 5 cycles of TMZ) was achieved in 10 of 17 patients (10/17, 59%; 95% CI 35-82%). The median PFS in patients experiencing PD as best response was 2.0 months (range 0.6-2.4; Figure 2). A post-TMZ biopsy was performed in 21 patients at PD (Figure 2 and Supplementary S1 and Table S1). Biopsy at PD was not performed in 9 cases due to the deteriorating patients' clinical conditions (Figure 2).

TMZ was tolerated as expected in this setting, without drug-related serious adverse events (SAEs) except for hematological (neutropenia/thrombocytopenia; N=1) and gastrointestinal (N=1) toxicities, consistently with previous studies (45, 47). Particularly, neither death nor life-threatening serious adverse events (SAEs) have been reported. In summary, TMZ priming can be safely delivered as a third/fourth line treatment in *MGMT* hypermethylated, *RAS* mutated mCRC patients and tissue biopsies can be obtained at PD in most patients.

Identification of the TMZ signature in CRC cells treated with TMZ

Somatic mutations are caused by distinct mutational processes, generating characteristic mutational signatures which can be detected in the genome of cancer cells (53-56). The analysis of mutational signatures using the "fitting" method involves a sequence of mathematical steps designed to identify the best-known signatures (or combination of thereof) that can explain the observed mutational profile in an individual sample (57). Many of these signatures have been associated with a defined etiology, including exposure to a specific treatment, known carcinogens, defective or error-prone DNA repair proteins (53, 54, 58). Notably, previous works have shown that mutational signature analyses can readily identify the effect of alkylating agents such as TMZ (53, 54, 58). In particular, mutational

signature 11 (single base substitutions 11 or SBS11) was found in malignant melanoma or glioblastoma patients and was previously reported in experimental studies with alkylating agents (53, 54, 58). We reasoned that mutational signature assessment in tissue samples collected at the end of the priming phase could help to mechanistically determine the molecular impact and the functional implications of TMZ treatment and predict the efficacy of subsequent immunotherapies in ARETHUSA patients.

To assess the specificity of signature profile identification, we examined whole exome sequencing (WES) data from a panel of 12 cell lines, including MSS, MSI and *POLE*-mutated models. As shown in Supplementary Figure S2A, Signature 1 (age related) was readily identified in all cell lines, while signatures 6/15/26 (associated to MMR deficiency) and signature 10 (related to *POLE* mutations) were detected in MMRd/MSI and *POLE*-mutated cell models, respectively (Supplementary Figure S2A). Next, as positive control to demonstrate the proper identification of TMZ signature in the CRC genome, we treated two *MGMT* methylated CRC cell models (SKCO1 and SW620) with TMZ, as previously reported (44). For both parental and TMZ treated cells genetic analyses have been performed to systematically detect mutational signatures. As expected, the alkylating agent related signature 11 was evident only in CRC cells treated with TMZ, confirming the specificity of the approach (Supplementary Figure S2B).

Detection of the TMZ signature in tumor biopsies after treatment with TMZ

Upon validation in cell models, the approach was then employed to identify mutational signatures using WES data of post-TMZ tumor samples collected from all 21 biopsied patients (Supplementary Table S1 and Figure S1). Tumor biopsies obtained at TMZ progression were analyzed to evaluate TMB and establish the eligibility to pembrolizumab treatment (Figure 1). TMB analysis was also performed on samples from 5 patients with an available pre-TMZ tissue biopsy (Figure 1). Mutation calling was initially performed using a threshold variant allelic frequency (VAF) value $\geq 10\%$ to select molecular alterations occurring in a predominantly clonal fashion (as reported in (15)). Using this approach, two patients (AR02007 and AR01052) scored positive for the alkylating agent related signature 11 (Figure 3A). In

these two cases 78% and 77% of the mutations could be attributed to TMZ treatment, respectively (Figure 3A).

We reasoned that, as for other anticancer therapies, molecular changes triggered by TMZ treatment were likely to occur at subclonal levels and in a heterogeneous manner. To evaluate this possibility, we performed mutational signature analysis considering also somatic variants with variant allele frequency (VAF) < 10% (subclonal analysis). This was feasible considering that we sequenced high quality DNA obtained from fresh tissues and used a high-depth sequencing approach (median depth 376X with PhredScore \geq 30 and coverage \geq 96.82% at 100X depth) which gathered a median of 124 million reads per sample (Supplementary Table S1). Using clonal and subclonal combined TMZ mutational profiling, we found that CRC samples from ARETHUSA patients could be classified in two main categories, that we named Subtype A and B: Subtype A (N=4) encompasses tumor samples scoring negative for signature 11, and includes patients who received a few TMZ cycles (Figure 3A and B and Supplementary Table S2). Instead, Subtype B (N=17) features tissue samples collected from patients who received longer TMZ treatment and in which signature 11 can be identified (Figure 3A and B and Supplementary Table S2). Notably, according to the clonality score of the variants used to detect signature 11, the subtype B could be further subdivided in two sub-classes (Figure 3A and B). Subtype B1, including all those tumor samples in which signature 11 is detected at subclonal level (N=15), and subtype B2 in which the presence of signature 11 is defined at clonal level (N=2).

While in subtype B1 only a fraction of the cells evaluated in the biopsy are affected by the TMZ treatment and acquire signature 11, in subtype B2 a larger fraction of the tumor cells displays the characteristic molecular imprint of the TMZ treatment (Figure 3A and B). In five cases (AR02071, AR01032, AR01014, AR01069 and AR02064), the number of mutations was not sufficient to properly perform mutational analysis of clonal variants, and these samples were excluded from the analysis (cosine similarity lower than 0.9, see Figure S2C and D and method section for details).

To exclude that patient stratification in subtypes A, B1 and B2 could be affected by the reference signatures that were used for the mutational analysis fitting, we

performed clonal and subclonal scrutiny using three reference signature databases available in COSMIC (v 2.0, v 3.0 and v 3.2) and two distinct bioinformatic tools (see Methods for details). These analyses led to comparable results (Figure 3A and B and Supplementary Figure S3A and S3B).

To evaluate how patient stratification was affected by the heterogeneity of the tumor biopsy, we checked the performance of the clonal/subclonal analysis comparing the reconstructed mutational profile (after fitting) with the original mutational profile of the sample using the cosine similarity as parameter (59, 60). The cosine similarity parameter quantifies two-vector similarities and spans from 1 (identical) to 0 (distinct). A high cosine similarity value (closer to 1) indicates suitable reconstruction of the processes determining mutation accumulation (59, 60). We found that cosine similarity was always higher than 0.90 and 0.95 in the clonal and subclonal analyses, respectively (Supplementary Figure S2C and D). In summary, this observation supports the validity of the results obtained in the subclonal analysis, suggesting that it can confidently capture the relative contribution of each mutational signature (including the TMZ effect) and classify tumor samples based on the etiological origin of their mutations (Supplementary Figure S2C and D).

Assessment of Tumor Mutational Burden in tissue biopsies after TMZ priming

TMB was calculated on high-depth WES of tumor tissue biopsies using peripheral blood mononuclear cells (PBMCs) as normal matched sample (Supplementary Table S1). We applied the same workflow used for the mutational signature analyses initially considering mutations with VAF \geq 10%. Based on this cut off, patients AR02007 and AR01052 displayed 49 mut/Mb and 27 mut/MB respectively (Figure 3C); while all other cases displayed less than 10 mut/Mb (Figure 3C), a value commonly found in MSS CRCs (15). Interestingly, only the two patients with TMB \geq 20 mut/MB (AR02007 and AR01052) also displayed a high clonal score for signature 11 (Figure 3A), while the remaining patients had low clonal TMB (< 10 mut/MB) and low Signature 11 score in post TMZ biopsies (Figure 3A and C).

The availability of high depth NGS data (median depth 376X with PhredScore \geq 30 and coverage \geq 96.82% at 100X depth; Supplementary Table S1) allowed TMB

assessment also at subclonal level (considering mutations with VAF < 10%). Samples from subtype A mCRC had an average subclonal TMB post-TMZ of 24 mut/Mb, while samples from subtype B had a higher average subclonal TMB post-TMZ of 152 mut/Mb (p.value < 0.0007, Figure 3C).

We also evaluated the SNVs and INDELS contribution to TMB value (Figure 3D). Notably, a prominent impact of TMZ on the tumors (from left to right in the Figure 3) was paralleled by an increase of SNVs, while the absolute number of INDELS remained similar in all tumors. This is in line with previous reports from our group and others (44, 53, 54).

Next, we studied whether and to what extent the number of TMZ cycles impacted the molecular profiles of post-TMZ biopsies. We noted that patients with subtype B mCRC and higher subclonal TMB had disease control (SD) with longer TMZ treatment than patients with subtype A mCRC, who experienced PD as best response without benefiting from TMZ thus receiving lower drug exposure (Figure 3C-3E and Supplementary Table S2). Notably, a linear positive correlation between the number of mutations/megabase induced by TMZ Signature and cycles of TMZ treatment in patients was observed (Spearman rank correlation, $R=0.7847$, p.value $2.535e-5$, Pearson $R=0.6887$, p.value 0.00055 , inset of Figure 3C). This strongly suggests that molecular differences occurring in subtype B1/B2 could be attributed to the level of exposure to TMZ.

While a post-TMZ biopsy was mandatory for all ARETHUSA patients, an exploratory pre-TMZ biopsy was also performed in 5/21 patients (4 subtype B, 1 subtype A). These valuable samples allowed us to comparatively study the impact of TMZ on mutational signatures and TMB (Figure 4A-4C). In these cases, comparison between matched pre and post TMZ treatment biopsies confirmed that SBS11 was absent in all samples obtained before the TMZ treatment in both patients with subtype A (Figure 4A) and subtype B1 (Figure 4B). These analyses further corroborated the emergence of signature 11 post-TMZ in patients with subtype B1 (Figure 4B) and revealed that the increase of TMB was the highest in subtype B1 tumors (Figure 4C).

Assessment of Tumor Mutational Burden in blood before and after TMZ priming

Considering that tissue biopsies often represent only a spatial-temporal snapshot of the tumor genomic heterogeneity and that we detected molecular heterogeneity post-TMZ (subtypes A, B1 and B2), we also studied ctDNA, as this approach may more comprehensively capture the whole molecular profile of metastatic tumor (61, 62) and more easily integrate into the therapeutic path of patients than tissue biopsy. Conveniently, we had collected longitudinal blood samples including pre- and post-TMZ treatment for most patients (Figure 1). Blood tumor mutational burden (bTMB) was measured in plasma samples before and after TMZ treatment (Figure 1), using a validated assay for tissue/blood correlative analyses (63).

Median bTMB value evaluated in basal plasma samples was 18.18 mut/Mb (Figure 4D). Comparison of bTMB in matched pre-post TMZ plasma samples allowed to conclude that in most patients high TMB values assessed in tissue were indeed induced by TMZ and that the ARETHUSA priming phase significantly increases bTMB (p -value 0.002443, Wilcoxon rank sum test, Figure 4D and E).

Collectively, bTMB values were comparable to those of subclonal TMB calculated by WES on tissue biopsies (Figure 3C and 4E) except for patients with lesions localized mainly in lung and/or peritoneum. In fact, differently from cases carrying predominantly liver lesions, in these patients (AR02011, AR01015 and AR01034) the maximum VAF detected in both pre- and post-TMZ blood samples was below 10% thus affecting bTMB (Supplementary Table S2). This is likely related to the impact of metastatic sites on ctDNA release capacity and detection, as recently reported (64). Interestingly, the two subtype B2 patients (AR02007 and AR01052, subtype B2 with clonal TMZ signature, Figure 3C) showed a bTMB value of 2276 and 196 mut/Mb, respectively (AR02007 and AR01052, subtype B2, Figure 4E).

Mutations in MMR genes in post TMZ treatment biopsies

We and others have shown that secondary resistance to anti-cancer therapies is associated with changes in the tumor mutational profiles, including emergence of mutations in key effectors of the pathway targeted by the anti-cancer drug (65, 66).

Current knowledge on the resistance mechanisms to TMZ have been obtained studying glioma and glioblastoma (39), we were the first to report how secondary

resistance to TMZ in CRC preclinical models, selects tumor cells carrying alterations in other genes involved in DNA MMR system, such as *MHL1* or *MSH6* (44). Those findings laid the preclinical rationale of the ARETHUSA design that is aimed at therapeutically exploiting the mutations induced by TMZ treatment. To this end, we used an integrated bioinformatic pipeline to assess SNVs, INDELS and gene copy-number alterations starting from WES data (67, 68). By comparing somatic alterations emerged in tissue samples post-TMZ, we identified a list of recurrently mutated genes. Interestingly, *MSH6* gene mutations recur upon treatment in multiple patients (8/17, 47% subtype B tumors). In particular, three *MSH6* mutations (p.T1219I, p.G557D and p.G1139S) were present in six ARETHUSA subtype B tissue but not in subtype A samples (Supplementary Table S3). Functionally, these mutations have been found to decrease the efficiency of MMR machinery, as determined by *in-vitro* assays (69).

Recurrent *MSH6* mutations in mCRC treated with TMZ

Plasma samples collected at pre- and post-TMZ time-points were analyzed to evaluate the genetic profile of MMR genes. Mutational profiles of ctDNA revealed again two main categories of patients, confirming the previous stratification based on subclonal signature analysis. The *MSH6* gene alterations were not detected in plasma/tissue samples of subtype A cases, but, strikingly, they were found in 17/17 (100%) of subtype B cases, with high prevalence of the *MSH6* p.T1219I variant (16/17, 94%). Importantly, it was never detected in the 5 tissue biopsies and all 20 plasma pre-TMZ samples available for the analysis (Supplementary Table S3). Overall, these results indicate that in CRC the p.T1219I *MSH6* mutation emerges at very high frequency (94%) as a molecular response marker to extended exposure to TMZ. Given that the p.T1219I variant was never identified in subtype A cases (who also received TMZ), the occurrence of this variant does not simply reflect exposure to TMZ but it is also indicative of both molecular (TMB increase) and clinical (tumor response/stabilization) effects of TMZ treatment. Furthermore, the *MSH6* variant was exclusively detected in patients positive for signature 11 (subclonal score > 0, subtype B tumors, Supplementary Table S3).

Based on these findings, we formulated the hypothesis that the recurrent *MSH6* mutation was related to the TMZ mutational signature. To test this possibility, we

checked whether the genomic region encoding the p.T1219I variant lies in the nucleotide context favored by signature 11 and indeed found that this was the case (Figure 5A). To exclude that the *MSH6* gene was enriched in nucleotide contexts favored by the emergence of mutational signature 11 (triplets mutated with high probability), we compared the sequence context of the *APC* gene (which served as control) and other MMR genes (Supplementary Figure S4A). The analysis revealed the absence of biases towards the *MSH6* sequence as compared to other MMR genes (Supplementary Figure S4A). Next, we reanalyzed tissue and ctDNA mutational profiles for additional variants and found that *MSH6* mutations could be detected in both tissue and matched ctDNA only when obtained after TMZ. Notably, virtually all (100%) of these SNVs were always causally linked to signature 11 (Supplementary Table S3 and Figure 4A and B).

TMZ-Signature and TMB change as a function of heterogeneity in CRC treated with TMZ

Metastases are highly heterogeneous, and the impact of heterogeneity on the pharmacodynamic response to TMZ priming in CRC patients is unknown. With the aim of inferring how a subset of TMZ resistant CRC cells impacted the TMB value and Mutational Signature 11 of the overall population, we exploited two TMZ sensitive (TMZ-S) CRC cell lines (SKCO1 and SW620) and their TMZ resistant (TMZ-R) derivatives that were generated by long-term drug exposure. We performed a new high-depth WES of DNA pools of both TMZ-S and TMZ-R cells composed of different fractions including: 100% TMZ-R; 50% TMZ-S, 50% TMZ-R; 75% TMZ-S, 25% TMZ-R; 87.5% TMZ-S, 12.5% TMZ-R; 93.75% TMZ-S, 6.25% TMZ-R; and 100% TMZ-S. In parallel, the same populations were created *in-silico* (see methods for detail) using different ratios of sequencing reads from WES data for both TMZ-S and TMZ-R cells. The correlation between TMB obtained by cell-based and *in-silico* mixtures analyses was 0.9968 (Pearson's product-moment correlation with p-value = 2.34e-12, Supplementary Figure S5A), confirming the robustness of this approach.

We then studied the effect of population heterogeneity on TMB increase and TMZ-signature detection in the SKCO1 TMZ-S cell line and its TMZ-R derivative. The analysis revealed that at least 30% TMZ-R cells are required to reach the TMB cut-off of 20 Mut/Mb using the clonal analysis, while as few as 2% TMZ-R cells were

sufficient using the subclonal analysis (Supplementary Figure S5B). To be able to detect the TMZ-Signature, more than 25% of mutational signature 11 positive cells were required using the clonal analysis, while 6.25% cells were necessary to reach the sub-clonal threshold (Supplementary Figure S5C and D). In conclusion, based on these results, when a clonal effect was detected, we expected that a 25-30% fraction of tumor cells displayed the TMZ scar; while in case of subclonal effect, we expected a fraction between 2-6% and 25-30% to display the TMZ scar.

Finally, we analyzed the impact of heterogeneity in the cell populations that acquired TMZ-resistance through the co-presence of two different mechanisms: the re-expression of MGMT and the acquisition of MMR gene mutations with increase of TMB and switching from MMRp to MMRd phenotype in the SW620 cell line. In this case, when only clonal mutations were considered, there was a modest increase of TMB that did not reach the 20 mut/MB cut-off (orange line in the Supplementary Figure S5E). When considering subclonal mutations, more than 50% of TMZ-R cells were required to overcome the 20 mut/MB cut-off (Supplementary Figure S5E). Due to the low number of acquired mutations, TMZ mutational signature 11 could not be retrieved when we applied a VAF \geq 10% threshold (clonal mutations). For the same reasons, more than 25% of TMZ-R cells were required to detect the TMZ signature using subclonal alterations (Supplementary Figure S5F). Collectively, we showed how the mutational signature 11 and TMB change as function of heterogeneity of the population.

The previous preclinical results showed that the intratumor heterogeneity (ITH) plays a relevant role in the tissue analysis (TMB and genetic signatures), so we proposed that the differences between tissue tumor subtype B2 and B1 after TMZ treatment relies mainly on the fractional abundance of cells showing the TMZ genetic impact (Figure 6A). Next, we addressed the impact of ITH by analyzing three different regions (corings) from the same liver lesion biopsy collected from patient AR02005 at progression of TMZ treatment (Figure 6B). Interestingly, the three regions belonging to the same metastasis showed different TMB values: coring A and C had lower clonal TMB of 8 mut/MB while coring B displayed 16 mut/MB (Figure 6C). At subclonal level, the 3 TMB values were different, thus suggesting that heterogeneity

has a relevant role in the TMB evaluation by tissue biopsy analysis (Figure 6C). Of note, genetic signature analysis confirmed that the molecular effect of TMZ was clonal for coring B (Figure 6D) with higher TMB, while the effect was evident only at subclonal level for regions A and C (Figure 6D). Venn diagrams of all genetic alterations demonstrated that corings A and C were identical at clonal level and these were a subset of the coring B (Figure 6E, left). On the other hand, at subclonal level, all three regions displayed elevated heterogeneity, maintaining a core of 202 common mutations (Figure 6E, right).

Clinical and molecular monitoring of patients treated with pembrolizumab after TMZ priming

The planned accrual of 20 patients to be treated with immunotherapy was disrupted by the COVID19 pandemic. Since the trial proved lengthy, we present here the first six patients treated with the anti-PD-1 pembrolizumab. Although there were no objective partial or complete responses according to the iRECIST definition (70), four patients had sustained SD as best response, lasting for >2 years, 6.5 and 5.5 months (AR02007, AR01015 and AR03047, respectively), while the patient (AR01034) achieving SD died of myocardial infarction while still progression-free at 2.9 months (Figure 7A). We thus observed a disease control in 4 of 6 heavily pre-treated cases, corresponding to a disease control rate (DCR) of 67%. To exclude that DCR could be ascribed to differences in growth kinetics of individual tumors, independently of TMZ, we calculated the growth modulation index (GMI) of the overall treatment strategy in each patient, allowing intra-patient comparison of previous Time to Progression intervals (TTPs) (71, 72). Interestingly, the median GMI was 1.8 [range 1.2-7.0] and all patients treated with TMZ and pembrolizumab achieved a GMI > 1.33 (cut-off of clinical meaningfulness (73)) with exception of patient AR01034 who died for other causes without signs of progression (Figure 7B). To longitudinally monitor the effect of pembrolizumab on TMZ-primed patients, we performed serial molecular profiling of plasma collected at multiple time-points during anti-PD1 treatment (Figure 7C and Supplementary Figure S6A). In AR02007, who had long-lasting SD, we found that bTMB (at both clonal and subclonal level), increased during TMZ-based priming treatment, declining after pembrolizumab treatment (Cycle 10: clonal bTMB from 57 to 17 mut/MB; subclonal bTMB from 2276 to 50 mut/MB) with a stabilization of the clonal bTMB (at Cycles 10, 20 and 34,

bTMB clonal was always 17 mut/MB) and with bTMB subclonal returning approximately at baseline (pre-priming) levels in the last analyzed timepoint (subclonal bTMB from 26 mut/MB before the TMZ priming to 27 mut/MB after pembrolizumab discontinuation (Figure 7C)). Of note, bTMB high to low switch (at both clonal and subclonal level) is also accompanied by the emergence and decline of the *MSH6* p.T1219I variant and other MMR gene mutations, suggesting that the efficacy of ICB treatment was predominantly directed against the MMRd fraction of the tumor. Longitudinal plasma analysis of the AR02007 patient also showed that *MSH6* p.T1219I emerged in blood upon TMZ treatment, declined during immunotherapy treatment and eventually disappears after 9 pembrolizumab cycles (Figure 7C). Conversely, in other patients achieving shorter SD as best response to pembrolizumab (AR01015 and AR03047) or experiencing progressive disease (AR01013 and AR01052), no VAF decrease of trunk/driver mutations was observed. Longitudinal ctDNA analysis in these patients highlighted that bTMB clonal was stable during pembrolizumab treatment (AR03047: from 6 to 7 Mut/MB; AR01015: from 14 to 14 Mut/MB; AR01013: from 4 to 5 Mut/MB; AR01052 from 6 to 7 Mut/MB) (Supplementary Figure S6A) while longitudinal bTMB subclonal increased along anti-PD-1 treatment in 4/6 cases (AR03047, AR01015, AR01013 and AR01052). In this subset of cases, CEA levels were monitored at multiple longitudinal timepoints (baseline, best-response and progression/treatment discontinuation) during both priming and immunotherapy phases. In the two patients achieving durable SD, the CEA levels accordingly decreased (AR02007) or remained unchanged compared with baseline (AR01015), while in two patients displaying short-lived SD, CEA either increased (AR03047) or was not altered at baseline and remained unaltered until progression (AR01034). In the two remaining patients who had PD as best response, CEA levels rapidly increased as expected (Figure S6B). In AR01034, CEA levels were not indicative as they were within the range of physiological values (cut-off: 5 ng/ml). In the other patients, the trend of CEA levels paralleled the trend of tumor load during treatment (as assessed by radiological evaluation by RECIST 1.1 criteria). As expected, specific increase of CEA levels was observed concurrently with progressive disease. A specific response in CEA levels during pembrolizumab treatment was observed only in AR02007 patient in which long-SD is accompanied by shrinkage of the metastatic lesions (Supplementary Figure S6B).

DISCUSSION

In most solid tumors, TMB levels have been shown to correlate with response to ICB (74). Indeed, the FDA has approved a cancer type-agnostic use of the anti PD-1 pembrolizumab in patients with a TMB \geq 10 mutations/megabase (50, 74). Unfortunately, the vast majority of mCRC patients are MMRp, display a low TMB and do not respond to anti-PD(L)-1 therapies. The ARETHUSA trial was designed to test the concept that pharmacological inactivation of MMR pathways could be clinically actionable. Accordingly, ARETHUSA is a *proof-of-concept* phase II trial, testing whether a dynamic TMB increase in MSS mCRC can be obtained by therapeutic priming with the alkylating agent TMZ, potentially favoring response to ICB. This unconventional approach is based on our prior preclinical evidence showing that TMZ is active against mCRC (45, 46) and also targets the DNA repair processes resulting in both TMB and neoantigens increase in tumor cells (44). ARETHUSA was designed as a 2-step study taking advantage of our previous knowledge that optimal selection for efficacy of TMZ in mCRC is achieved by a two-layer molecular assessment of MGMT inactivation involving IHC and methylation assays (49). In the first phase of the trial, TMZ is used for both its direct antitumor effect, and as a ‘pharmacological primer’ by inactivating MMR genes thus leading to increased mutational burdens such as SNVs and indels. These could, in turn, lead to the generation of neoepitopes, thus sparking immune surveillance and boosting response to ICB.

In the initial analysis reported here we studied how TMZ treatment affects the genome of MGMT-negative *RAS* mutated mCRC.

First, we found that the specific TMZ-signature 11 emerges in post-TMZ treatment samples of mCRC patients and the effect is dependent upon the number of cycles, suggesting that a minimum exposure level/time is required for detection of the TMZ genomic scar.

Second, we report that only patients whose tumors carried the characteristic TMZ-signature developed high subclonal or clonal TMB levels. However, post TMZ TMB measured in tissue from a single metastatic site might fail to fully capture the

heterogeneity of inter- and even intra-metastasis response to TMZ. Indeed, our results suggest that the molecular effect of TMZ differentially affects distinct regions of the same lesion. Therefore, to more comprehensively capture the mutational impact of TMZ more comprehensively, we thus measured TMB in ctDNA and found it largely comparable to the subclonal TMB calculated by WES data obtained by tissue biopsy. On the other hand, bTMB was influenced by ctDNA levels (see Supplementary Table S2 and Figure S4B). This finding tallies with the evidence that different tumors and/or metastatic sites may have a different ctDNA release capacity, thus potentially affecting bTMB analysis. Indeed, it was recently reported that both lung and peritoneum mCRC lesions have significantly lower maximum allele frequencies and lower number of cancer specific variants in blood as compared to patients with lesion in other metastatic sites, like the liver (64). Singularly, neither TMB (from tissue) nor bTMB (from blood) analysis are sufficient alone to correctly stratify the patients. Collectively these results suggest that an integrated analysis coupling both plasma and tissue TMB evaluation is more informative. Longitudinal CEA levels may correlate with disease burden in some patients, but they do not capture the clonal dynamics triggered by TMZ treatment.

Third, we revealed that the TMZ mutational signature is heralded by the presence in plasma and tissue of the p.T1219I variant of the MMR gene *MSH6*. Additional mutations in *MSH6* were also found exclusively in both tissue and plasma post TMZ treatment, further strengthening this association. In addition, we have highlighted the *MSH6* p.T1219I variant as a potential marker for TMZ molecular efficacy in CRC. Confirmation of this variant as a predictive marker of response should be assessed in further validation studies. In support of the 'predictive' relevance of this variant, we did not observe the p.T1219I in patients where mutational signature 11 was absent post-TMZ treatment whilst it emerged in 94% of patients who benefited from TMZ treatment (16/17 = 94%). Further analyses corroborated this notion by revealing additional mutations in *MSH6* detected only in both tissue and ctDNA post-TMZ samples. Notably, all *MSH6* SNVs (100%) are related to the nucleotide contexts favored by signature 11.

Tantalizingly, one of the patients (AR02007) who reached a major TMB increase upon TMZ priming and then treated with pembrolizumab achieved disease control lasting for over 2 years. The AR02007 disease stabilization was tracked in blood by

following specific trunk/driver mutations (*TP53* and *KRAS*) in longitudinal plasma samples collected during treatments. This analysis highlighted the onset of *MSH6* p.T1219I variant after TMZ-based treatment and its decline, until disappearing, during ICB treatment. Of interest, in this patient the trend of the *MSH6* variant mirrors that of bTMB (at both clonal and subclonal level).

While it is conceivable that pharmacological inactivation of the MMR pathway by TMZ is related to increased mutational and neoantigen burdens and therefore to immune modulation, other mechanisms linking DNA damage and immune surveillance also exists (75). These include, but are not limited to, activation of the cGAS/STING pathway by cytosolic DNA, as recently reported for MMRd tumors (76). It is therefore plausible that inactivation of MMR upon pharmacological treatment with alkylating agents such as TMZ could also trigger intracellular signaling pathways leading to innate antitumor immunity.

A major limitation of our current analysis is that owing to the limited amount of tissue available through post-TMZ biopsies, the investigations were limited to WES for TMB measurements as we were unable to perform other analyses on the same samples. In this regard, future studies may investigate whether TMZ treatment can induce up-regulation of PD-L1, and increased infiltration of IFN γ +CD8+ T cells in human tumors, as previously observed in animal models (44). Another limitation of our approach is the narrow, though existing, anti-tumor TMZ activity. We are planning to address this aspect by combinatorial studies in which TMZ will be associated with more active therapeutic regimens.

Finally, while we recognize that no conclusions can be made at this junction on the clinical utility of TMZ as an immune chemo-sensitizer, the wealth of pharmacodynamic data we produced as well as the GMI results are suggestive. The surprisingly long median TTP (the expected TTP in this population of mCRC patients pre-treated with 3 or more lines of therapies is ~ 2 months (77, 78)), is unlike due to the growth kinetics of the patients' cancer as suggested by the GMI > 1 values in all cases. Furthermore, our findings support the recent results from the MAYA trial (NCT03832621) in MGMT methylated MSS mCRC patients (79). MAYA, differently to ARETHUSA, exploited a 2-month TMZ priming phase, which was followed in

absence of PD by a combinatorial approach made of TMZ with low-dose ipilimumab plus nivolumab. Consistently with the ARETHUSA patient cohort, approximately one fourth of the MAYA patients primed with TMZ eventually received immunotherapy (79). The primary endpoint of 8-months PFS rate in MAYA trial was met, reaching a notable 32% compared to an historical 5%, and median PFS was 7.1 months possibly favored by the use of an anti-PD1 and anti-CTLA4 combination or to an earlier start of immunotherapy (80, 81). Interestingly enough, the analysis of tumor-paired biopsies, albeit limited to the TMB assessment and conducted only in four patients, showed an acquired high TMB (79).

In summary, we provide a *proof-of-concept* that the inactivation of genes involved in DNA repair can be achieved pharmacologically with TMZ treatment, while offering potential clinical benefit to *MGMT* methylated *RAS* mutant mCRC patients refractory to standard of care treatments. We also show that the priming process can be monitored in tissue and blood samples, providing initial evidence of a blood biomarker used to effectively measure the effectiveness of MMR inactivation. Although the ARETHUSA trial is not completed yet, the multidimensional translational analyses presented here show that increased mutational burdens can be achieved by pharmacological modulation in *RAS* mutant MSS CRCs with an initial low baseline TMB. Additional studies are needed to confirm the relevance and applicability of this approach for the treatment of *RAS* mutant MSS mCRC.

METHODS

The ARETHUSA trial

Institutional review boards of all participating institutions (Niguarda Cancer Center, Grande Ospedale Metropolitano Niguarda, Milan; Fondazione IRCCS Istituto Nazionale dei Tumori, Milan; HUMANITAS Research Hospital, Rozzano and IEO Istituto Europeo di Oncologia, Milano), approved the study procedure. All patients provided written informed consent for participation to the study and associated procedures. The study was conducted in accordance with the principles of the Declaration of Helsinki and the International Conference on Harmonization and Good Clinical Practice guidelines. The ARETHUSA trial (NCT03519412; EudraCT number

2018-001441-14) is sponsored by IFOM and has been approved by local Ethical Committee and Italian Competent Authority (AIFA) on 29/10/2018.

In the Screening Phase of ARETHUSA (NCT03519412), *RAS* extended (*KRAS* or *NRAS*, exons 2, 3, 4) mutant MSS/MMRp mCRC patients were tested for MGMT status in tissue by immunohistochemistry (IHC) (49) and methyl-BEAMing (see below, Methyl-BEAMing assay paragraph). Patients with MGMT IHC staining negative and methylated *MGMT* promoter were enrolled in the Priming phase and underwent treatment with oral TMZ (150 mg/m²/day; day1-5 q28, Figure 1) until disease progression or unacceptable toxicity. Disease progression was determined according to RECIST v1.1 (82).

At disease progression or treatment discontinuation, a mandatory biopsy was performed to evaluate the TMB. Only MSS/MMRp patients with tumor mutational load ≥ 20 mutations/Mb post TMZ treatment were enrolled in the Immunotherapy phase and received intravenous anti-PD1 blockade by pembrolizumab monotherapy (200mg q3w) until disease progression, unacceptable toxicity or up to 24 months in patients without disease progression (Figure 1).

Of note, two liquid biopsies for the experimental NGS-based determination of the molecular profiling and tumor mutational burden in the blood (bTMB) were collected pre- and post-treatments (Figure 1).

Methyl-BEAMing assay

Five hundred nanograms of DNA were used for bisulfite conversion using the EZ DNA methylation gold kit (Zymo Research), following manufacturer's protocol, with final elution in 70 μ L. Bisulfite converted DNA was assessed via methyl-BEAMing for the methylation status of MGMT gene. Methyl-BEAMing analysis is a multistep digital PCR based technique (83). A first amplification allows the enrichment of the locus of interest and is carried out using tagged-primers. Amplicons are then diluted (1/16000) and re-subjected to PCR amplification using the tag and tag-coated-beads. The second round of amplification is performed in emulsion allowing physical separation and independent amplification of the different templates. PCR mixes are prepared according to conditions described (84). Next, emulsion is broken using alcohol-based buffers (isopropanol/butanol) and amplicons are hybridized with fluorescent probes specific for the methylated or unmethylated bisulfite converted

templates. Fluorescence is then assessed on an Accuri C6 flow cytometer (BD) using the filters previously established with controls (scale of methylation). The percentage of methylation is calculated dividing the number of methylated specific events by the sum of methylated plus unmethylated specific events. A minimum of 200 cumulative events (methylated + unmethylated) is required for a result to be considered valid. Quantification ability and linearity of the Methyl-BEAMing assay was previously tested with a scale made of template corresponding to the fully methylated or unmethylated bisulfite converted sequence (84). Threshold for calling a sample positive was setup at 34.5% based on expected clinical benefit observed in MGMT IHC negative patients reported (49).

Cell lines and in vitro drug treatments

SKCO1 and SW620 CRC cell lines are part of a large collection that we previously described (85). Cells were routinely supplemented with FBS 10% 2mM L-glutamine, antibiotics (100U/mL penicillin and 100 mg/mL streptomycin) and grown in a 37°C and 5% CO₂ air incubator. Cells were routinely screened for absence of Mycoplasma contamination using the Venor® GeM Classic kit (Minerva biolabs). The identity of each cell line was checked using the PowerPlex® 16 HS System (Promega), through Short Tandem Repeats (STR) tests at 16 different loci (D5S818, D13S317, D7S820, D16S539, D21S11, vWA, TH01, TPOX, CSF1PO, D18S51, D3S1358, D8S1179, FGA, Penta D, Penta E, and amelogenin). Amplicons from multiplex PCRs were separated by capillary electrophoresis (3730 DNA Analyzer, Applied Biosystems) and analyzed using GeneMapper v.3.7 software (Life Technologies).

Cells were cultured with 100µM of TMZ until they acquired resistance as previously described (44). When resistance seemed acquired, a scalar concentration of drug was assessed to verify the increased in IC₅₀ compared to parental. At this point, identity of the cell line was checked through STR profiling (Promega). Then, in order to evaluate the mutational signature acquired post treatment refractoriness, two million resistant cells were seeded in 10 cm dish in media without drug for 21 days, then cells were collected and DNA was extracted for WES.

NGS workflow and WES data generation

QIAmp DNA and Blood mini kit (QIAGEN, Hilden, Germany) were used for DNA extraction from PBMC and fresh tissue. The preparation was performed following manufacturer's protocol. Starting from 200 ng of DNA from fresh tissue/PBMC, NGS libraries were prepared by means of Nextera DNA Flex Library Prep kit (Illumina Inc., San Diego, CA, USA), according to the manufacturer's protocol. Subsequent whole exome target enrichment has been performed following IDT xGen protocol (xGen Hybridization and Wash Kit, xGen Universal Blockers-NXT Mix, xGen Exome Research Panel v2; IDT, Inc. Coralville, Iowa, USA). Quality of libraries has been checked with High-Sensitivity DNA assay kit (Agilent Technologies, Santa Clara, CA). Library preparation, enrichment of whole exome regions, and sequencing of patient's samples were performed by Cogentech Società Benefit srl.

NGS libraries for cell line samples were prepared starting with 150ng of DNA and processed with Illumina DNA Prep with Enrichment and Exome Panel 45Mb (Illumina Inc., San Diego, CA, USA), according to the manufacturer's protocol. After fragmentation of gDNA with transposon enzyme and subsequent PCR to introduce unique sample indexes, DNA fragments' size distribution was assessed using the 2100 Bioanalyzer with a High-Sensitivity DNA assay kit (Agilent Technologies, Santa Clara, CA). Equal amounts of DNA libraries were pooled and subjected to targeted panel hybridization capture.

Final libraries were sequenced on NextSeq sequencer 500 or 550 DX (Illumina Inc., San Diego, CA, USA).

Genetic Analysis of Tissue: mutational profiling and TMB analysis

"Fastq files" were generated using bcl2fastq command and the high-depth sequencing data was obtained (Supplementary Table S1). Fastq files were processed using the genomic analysis workflow for precision oncology as earlier described (67, 68). BWA-mem algorithm was used to map reads to the human genome version 19 (hg19) and PCR duplicates were removed using the RMDUP command in the SAMtools bioinformatic suite. To delete NGS artifacts (86) reads having more than 3 different mismatches and bases with quality PhredScore < 30 were not considered in the mutations calling step. Mutations supported only by alteration fallen in the first/last reads position were filtered and strand bias correction was applied as earlier described (68). Pindel tool was used for the indels calling. After filtering step (where NGS artifacts were filtered out), a median depth 376X,

coverage $\geq 96.82\%$ at 100X depth with a median of 124 million reads per sample was obtained (Supplementary Table S1).

Alignments from PBMC and tissue tumor samples were compared to identify mutations/indels in tumor and matched normal samples. Germline mutations were common to both samples, while somatic alterations were present only in tumor. For cell lines analysis, mutation calling was performed using hg19 as reference and filtering out all mutations reported in the dbSNP (v147). In the section “Identification of the TMZ signature in CRC cells treated with TMZ”, in order to consider only the acquired mutations, two independent sequencing of the same parental cell line were performed in order to use one parental cell line as reference.

All the VAFs reported in the text were adjusted using the copy number variation data (Tumor vs Germinal). In order to verify the diploidy of the germinal DNA of each patient, the ploidy analysis was performed. Large copy number alterations were identified by the aneuploidy score (AS), defined as the sum of the number of altered chromosome arms (87). All chromosomes of 21 germinal PBMC obtained the lowest values (score 0, all arms of autosomal chromosomes were diploid). Focal ploidy was identified based on copy number analysis of germline DNA from PBMC in comparison with a metanormal built from 21 PBMC sequenced using the same “wet” procedures. This comparison was used for correction of different probes affinity.

Finally, tumor focal gene copy number variations analysis was performed in the matched samples (Tumor vs Germinal) for each patient. Gene copy number (CN) was calculated as the ratio of median gene depth and the median depth of all genes in the whole exome. For each gene, the copy number alteration (CNA) was calculated as the ratio between the CN of normal tissue and CN of the same gene in the tumor samples as previously reported (67, 68). Tumor copy number was considered altered when the log₂ value was higher than 1 or lower than -1. On the basis of the copy number variation, VAF of all the mutations fallen into altered regions were then normalized. Overall, as expected, no gene amplifications or deep deletions were reported in the tumor tissue biopsy collected after TMZ treatment. In detail, only slight and focal copy number increase/decrease were reported in the tumor patient cohort with a median value of 0.00696011% (or mean of 0.1820%) of altered genomic regions.

TMB was calculated from WES data taking into consideration nucleotide variants with 5% significance level obtained with a Fisher test and supported by a minimum of 4 mutated reads in regions with a minimum depth of 5X. We considered only mutations with adjusted allele frequency $\geq 10\%$ for clonal analysis and $\geq 1\%$ for subclonal analysis, excluding mutations annotated in dbSNP (v147). All data were normalized on the real target regions as previously described (6, 44, 68, 88).

We performed another type of normalization using a sliding cutoff (not the 10% fixed cutoff) in order to check if another method of cell purity calculation could influence our clonal/subclonal results. In detail, we normalized the TMB on the basis of the purity calculation as described in (89). The clonal/subclonal TMB and mutational signatures results were also confirmed using this alternative approach based on (89), with respect to manuscript method (Supplementary Figure S7A and S7B). In conclusion, using an alternative method the tumors patients' stratification in A, B1 and B2 subtypes based on clonal/subclonal results was confirmed.

Mutational Signature Analysis

Only alterations with fractional abundance $\geq 10\%$ were used for clonal analysis while alterations with fractional abundance $\geq 1\%$ were used for subclonal analysis. The matrix with mutation contexts was build using sigproflerMatrixGenerator (90).

Using the information of somatic SNVs in the matrix, a series of mutational profiles were extracted, and genetic signatures were calculated using the MuSiCa tool (91) and Mutational Patterns package (59). COSMIC signature references v. 2.0, v 3.0 and v. 3.2 were used for the fitting in the mutational signature analysis. For clonal analysis in five cases (AR02071, AR01032, AR01014, AR01069 and AR02064), the number of mutations was not sufficient to perform the supported mutational analysis (cosine similarity lower than 0.9) and these five samples were excluded. The clonal mutations (with VAF $\geq 10\%$) were not enough to perform signature analysis in some samples of the SW620/SKCO1 cell lines.

Cosine similarity between two vectors of the same length was calculated using the MUSICA (91) and Mutational Patterns tools (59). The cosine was used to evaluate the similarity between the original mutational profile (obtained by the mutations

identified in the sample) and the reconstructed mutational profile based on the optimal linear combination of all COSMIC signatures identified after fitting (59, 60). All mutations with allelic frequencies $\geq 1\%$ (for subclonal analysis) and $\geq 10\%$ (for clonal analysis) were also used to build a distance matrix that was starting point to build the agglomerative hierarchical clustering. The “Cluster” package of the R software (freely available at www.r-project.org) and unweighted pair group average method – UPGMA -- were used.

For the enrichment analysis of the Signature 11 contexts in *APC* and *MMR* genes, we started dividing the nucleotide sequence of each gene (sliding window) in the three nucleotides (triplets) contexts that then were extracted to considering the fractional abundance of each context in the genes. The following contexts (ACC; ACT; AGA; AGG; AGT; CAA; CCC; CCG; CCT; CGG; GCA; GCC; GGA; GGC; GGG; GGT; TCA; TCC; TGA; TGC; TGG) were considered “favored by Signature 11” on the base of the mutation probability reported for Signature 11 (57).

TMB/Signature detection in preclinical models

To simulate mixed population of CRC cell models (sensitive and resistant to TMZ) “*in-silico*” NGS databases were established. FastQ files for each population were created using different percentage of sequencing reads obtained by 100% TMZ-Sensitive (TMZ-S) parental and 100% TMZ-resistant (TMZ-R) cells from sequencing data by SW620 and SKCO1 cell lines. The six populations were composed as follows: 100% TMZ-R (1), 50% TMZ-R + 50% TMZ-S (2), 25% TMZ-R+ 75% TMZ-S (3), 12.5% TMZ-R + 87.5% TMZ-S (4), 6.25% TMZ-R and 93.75% TMZ-S (5) and 100% TMZ-S (6). A fixed number of 100.663.296 reads was always used as the total number of reads, while the ratio of reads derived from Resistance/Sensitive cells. With this method we created the paired fastQ files for each mixed population. Starting from *in-silico* fastQ files, each population was then analyzed as previously reported.

ctDNA mutational profiling and bTMB analysis

Whole-blood samples were collected in K2-EDTA tubes before patients started temozolomide treatment (baseline, pre-TMZ) and/or at the time of disease

progression (post-TMZ). Plasma was isolated from the cellular component and frozen. Frozen plasma samples were shipped to Guardant Health for cfDNA extraction and mutational profiling. Extracted cfDNA was analyzed using the GuardantOMNI research-use only (RUO) NGS assay (Guardant Health, Inc) to identify single nucleotide variations (SNVs), indels, gene fusions, copy number variants, microsatellite status, and blood tumor mutational burden (bTMB) across a 2.145 Mb panel. Blood TMB (bTMB) was reported as variations per megabase (mut/Mb) by the GuardantOMNI algorithm (63), which includes all somatic synonymous and nonsynonymous SNVs and indels filtering out and excluding germline, clonal hematopoiesis of indeterminate potential (CHIP), known driver and resistance variations. Statistical adjustment for sample-specific tumor shedding and molecular coverage, as well as normalization by panel size, were performed (63). Further details were available at (63).

bTMB was further divided in the clonal (using the sliding cutoff of 10% of the tumor content identified in the sample) and subclonal counterpart.

Growth modulation Index calculation

The growth modulation index (GMI) was defined as previously described (92). Briefly, comparison of Progression-Free survival (PFS) on overall ARETHUSA strategy treatment (TMZ and pembrolizumab; PFS_n) versus PFS on prior therapy (PFS_{n-1}) was performed. A GMI >1.33, i.e., an increase in the PFS_n/PFS_{n-1} ratio of 30%, was considered as clinically meaningful (72).

Statistical analysis

Statistical analysis was performed using R (version 3.6.3 and 4.0.3). The individual statistical tests used are specified in the relevant Results section and Figures legends.

Spearman rank correlation was performed between the number of mutations/megabase induced by TMZ Signature (normalized_score_SBS11 * TMB from only SNVs) and TMZ courses in patients (Figure 3C, p-value = 2.535e-5 and Cor = 0.7847) and in the methodologies' comparison in supplementary Figure S7B (Cor = 0.9653, p.value 2.2 e-16). Wilcoxon rank sum test was used to compare bTMB in matched pre-post TMZ plasma samples (p-value = 0.002443, Figure 4DE). Pearson's product-moment correlation (p-value = 2.34e-12, Supplementary Figure

S5A) was used for the correlation between TMB obtained by cell-based and *in-silico* analyses.

Data and Software Availability

Bioinformatic codes are available at <https://bitbucket.org/irccit/idea/src/master/>.

Human sequencing data are available at EGAS00001002694 (EGA; <https://www.ebi.ac.uk/ega/home>), PRJEB33045 and PRJEB46380 (ENA; <https://www.ebi.ac.uk/ena/browser/search>).

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Author Contributions

G.C., S.M., A.S.B., S.S., F.D.N. and A.Bardelli conceived the study. A.S.B., S.S., F.P., N.P., A.A., F.T., M.G.Z. G.C. and F.M. performed clinical studies, obtained tissue samples and performed patient data analysis. G.C. conducted bioinformatics data analyses. L.L and P.L. performed data analysis and monitoring. A.C. and L.I. provided clinical data and samples. M.M, L.B., A.Bartolini, P.B., V.P. E.V. and E.B. performed the experiments. G.G and P.P.V. contributed to data discussion. G.C. G.M. F.D.N. and A.Bardelli wrote the manuscript. A.Bardelli, S.M., A.S.B., S.S. and F.D.N. supervised the study. All the authors read and approved the final manuscript.

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Figures Legends

Figure 1: The ARETHUSA trial.

Graphical description of the ARETHUSA trial. (MGMT) deficient RAS mutant and MMR proficient mCRC patients received priming therapy with TMZ. A post-TMZ threshold of 20 mutations/Mb was required to access the immunotherapy phase delivering pembrolizumab every three weeks. *MMRp* = mismatch repair proficient; *MSS* = microsatellite stable; *IHC* = immunohistochemistry; *MB* = Methyl Beaming; *TMZ* = temozolomide; *LB* = liquid biopsy; *WES* = Whole Exome Sequencing; *TMB* = Tumor Mutational Burden; *PD* = progressive disease; *Pembro* = pembrolizumab; *mut* = mutations; *Mb* = Megabases.

Figure 2: Clinical response to TMZ in ARETHUSA patients

Swimmer plot of clinical time on treatment in the TMZ PRIMING phase: 27 patients were treated with TMZ monotherapy until clinical or radiological (based on RECIST 1.1 criteria) disease progression. 3 Patients AR02005, AR02007 and AR02011 were treated with TMZ-based regimens and enrolled in ARETHUSA according to protocol violation. Post-TMZ tissue for TMB evaluation were collected in 21 patients, 9 cases were excluded due to clinical condition worsening. *TMZ* = temozolomide; *TEMIRI* = TMZ + irinotecan combination; *CAPTEM* = capecitabine + TMZ combination; *mos* = months of treatment.

Figure 3: Mutational signature and TMB analysis in biopsies after TMZ treatment.

A-B): Mutational signature analysis measuring the impact of TMZ priming on tissue biopsies assessed by NGS. Patients were classified in three subtypes A, B1 and B2 based on the score of the mutational signature 11 and TMB value. In panel **A**, only clonal mutations (adjusted fractional abundance $\geq 10\%$) were used to generate the heatmap. In five cases (AR02071, AR01032, AR01014, AR01069 and AR02064) the number of mutations was not sufficient to properly perform mutational analysis (cosine similarity lower than 0.9) and these five samples were excluded. In panel **B**, all mutations (adjusted fractional abundance $\geq 1\%$) were considered for heatmap generation. **C):** TMB expressed as mut/MB after the priming phase for the three groups of patients. The relative contribution of clonal (yellow) and subclonal (blue) alterations to TMB is listed for each patient. **Inset panel C):** Positive linear correlation between mutations induced by Signature 11 (TMZ) normalized for megabases and temozolomide cycles of treatment. Spearman's rank correlation is listed (p -value = $2.535e-5$ and $Cor = 0.7847$). **D)** TMB expressed as mutations/megabases after the priming phase for the three groups of patients. The relative contribution of SNVs and INDELs to TMB is listed for each patient. **E)** The best response to TMZ treatment is also reported for each patient. *SUBTYPE A (yellow): patients with no molecular evidence of TMZ treatment. SUBTYPE B1 (blue): patients with subclonal molecular evidence of TMZ treatment. SUBTYPE B2 (green): patients with clonal molecular evidence of TMZ treatment. TMZ= temozolomide; TMB= Tumor Mutational Burden; Mut/MB = mutations for megabases. Sig= Signature, SNV = single nucleotide variant; INDEL = insertions and deletions; SD = Stable disease; PD = progressive disease.*

Figure 4: Comparison of signature and TMB analysis of tissue/blood samples before and after TMZ priming

A): Signature contribution before and after TMZ priming in tissue sample of subtype A patients; **B):** Signature contribution before and after TMZ priming in tissue samples of the subtype B patients; **C):** TMB in tumor tissue before and after TMZ priming; **D-E):** Blood Tumor Mutational Burden (bTMB) expressed as Mut/MB before and after the TMZ priming phase in aggregate (**D**) and in detail for each patient (**E**). Wilcoxon rank sum test, p.value = 0.002443. *Subtype A: patients with no genetic evidence of Temozolomide treatment. Subtype B1: patients with subclonal genetic evidence of Temozolomide treatment; Subtype B2: patients with clonal genetic evidence of Temozolomide treatment; TMZ= temozolomide; TMB= Tumor Mutational Burden; Mut/MB = mutations for megabases; Sig= Signature; BASAL= analysis of tumor before Priming Phase of ARETHUSA trial; Post-TMZ= analysis of tumor after Priming Phase of ARETHUSA trial. N.A. = Not Available.*

Figure 5: MSH6 genetic alterations in ARETHUSA patients and their genetic context

A): Mutation type probability according to Signature 11 and *MSH6* mutations emerged after TMZ treatment. The contexts of each mutation in *MSH6* gene in both tissue biopsy and blood post-TMZ priming were shown; mutations which are likely to inactivate MMR are reported in bold. **B):** *MSH6* genetic alterations identified in tissue and blood after TMZ priming. Mutations potentially affecting the MMR status (MMRp to MMRd) are listed in bold. *dMMR =deficient Mismatch Repair.*

Figure 6. Molecular intra-lesion heterogeneity was induced by TMZ, affecting distinct regions of the same lesion at different manner.

A): Scheme of proposal tumor response to TMZ treatment, the percentage of cell showing TMZ genetic effect was different in three different tumor subtypes. **B):** scheme of the experiment. **C):** TMB in the three corings with relative contribution of SNV/Indel was reported at clonal (upper) and subclonal level (below). **D):** Signature analysis at clonal (upper) and subclonal level (below) of three corings **E):** Venn diagram of common, shared and private genetic alterations in the three corings at clonal (left) and subclonal (right) level. Variants *MSH6* p.T1219I and p.G557D were shown in the private mutations of subclonal coring B. *TMZ= temozolomide; TMB= Tumor Mutational Burden; Mut/MB = mutations for megabases; Sig= signature; SNV = single nucleotide variant; INDEL = insertions and deletions.*

Figure 7: Clinical impact of pembrolizumab on MMRp mCRC patients after TMZ priming

A): Swimmer plot of 6 patients that achieved high TMB after TMZ priming and were treated with pembrolizumab monotherapy until progression; two patients had progressive disease after 3 and 4 cycles, while three patients were treated for 7, 9 and 33 cycles with long-lasting disease stabilization before progression. 1 patient died for unrelated cause with tumor stabilization after 5 cycles. **B):** Growth modulation index (GMI) for each patient primed with TMZ and treated with Pembrolizumab. Red bar indicates the cut-off of 1.33 considered as clinically meaningful. **C)** Graph shows longitudinal, liquid biopsy-based ctDNA monitoring of the patient AR02007 during priming (TMZ-based therapy) and immunotherapy (pembrolizumab) phases of ARETHUSA. Colored lines indicate clonal evolution of trunk/driver mutations (*KRAS* and *TP53*; black) and *MSH6* p.T1219I variant (red) detected by ctDNA analysis at the indicated time-points. TMB in blood (clonal and subclonal bTMB) at each time-point is also reported (dark and light gray bar). *mos =*

months of treatment; bTMB = blood Tumor Mutational Burden; ctDNA = circulating tumor DNA; TMZ-based = Temozolomide-based treatment; VAF = Variant Allele Frequency; TLT = Treatment Limiting Toxicity.

Figure 1

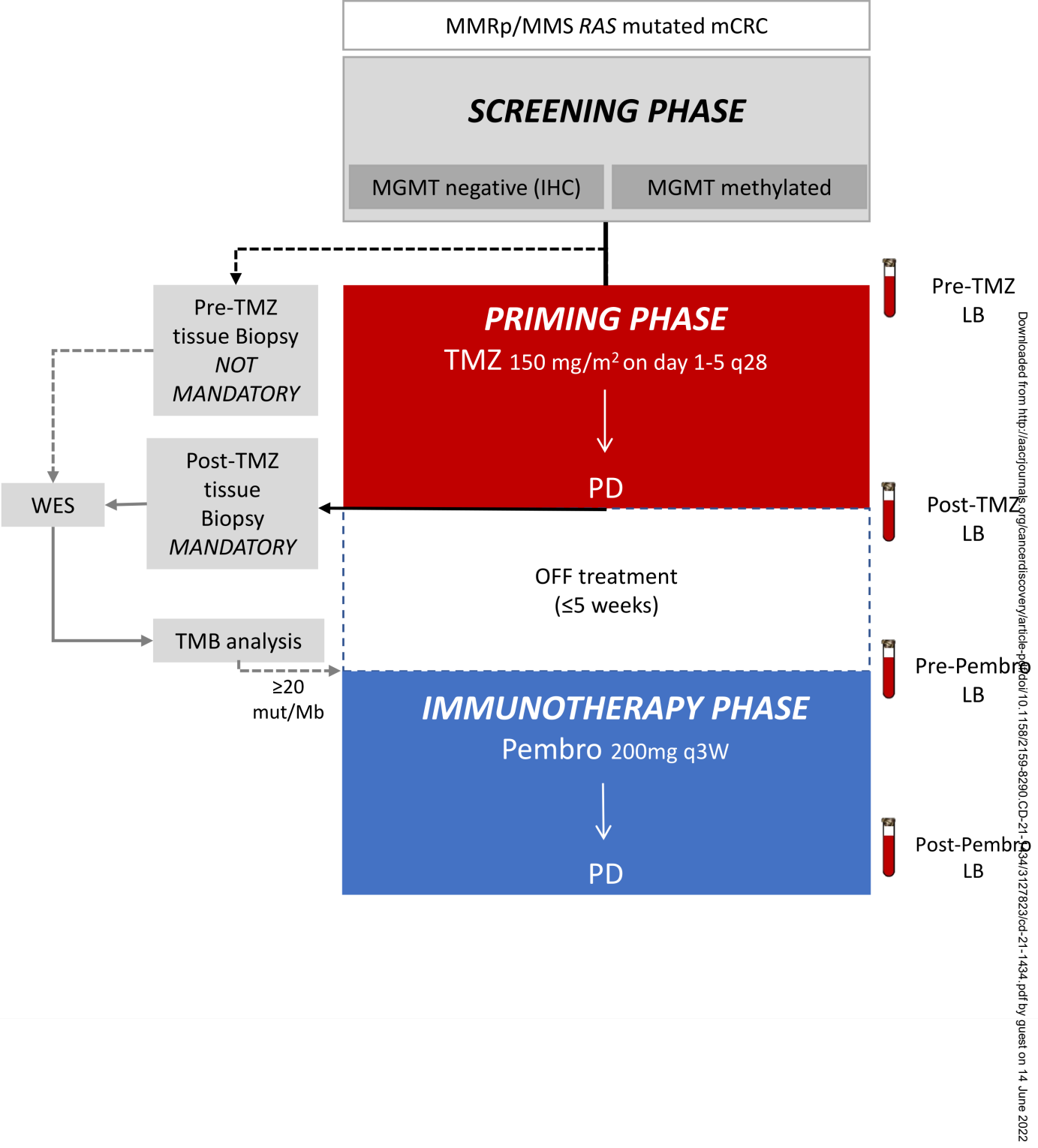


Figure 2

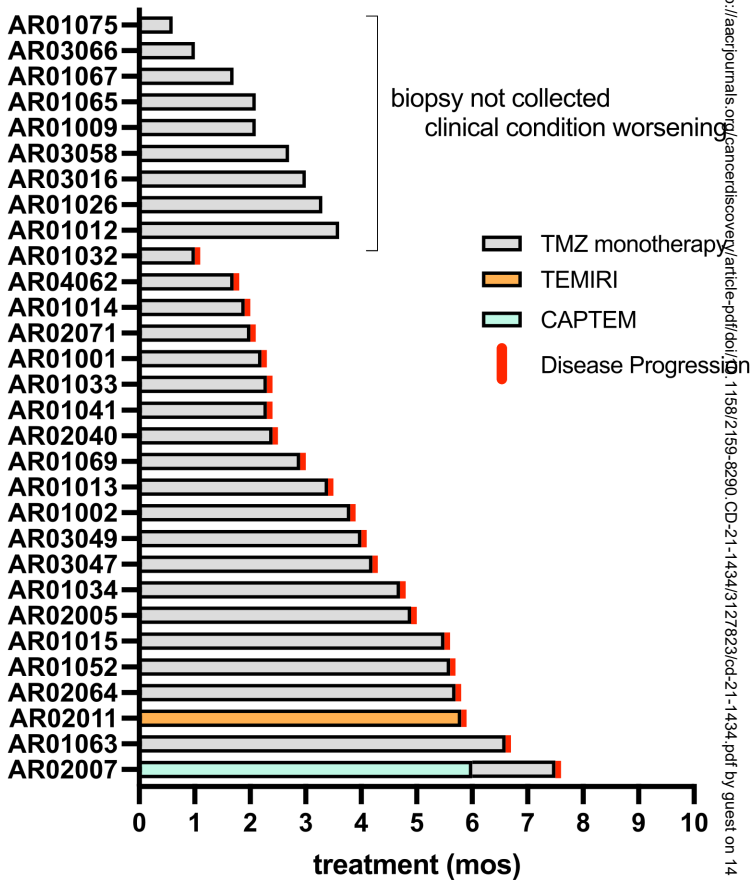
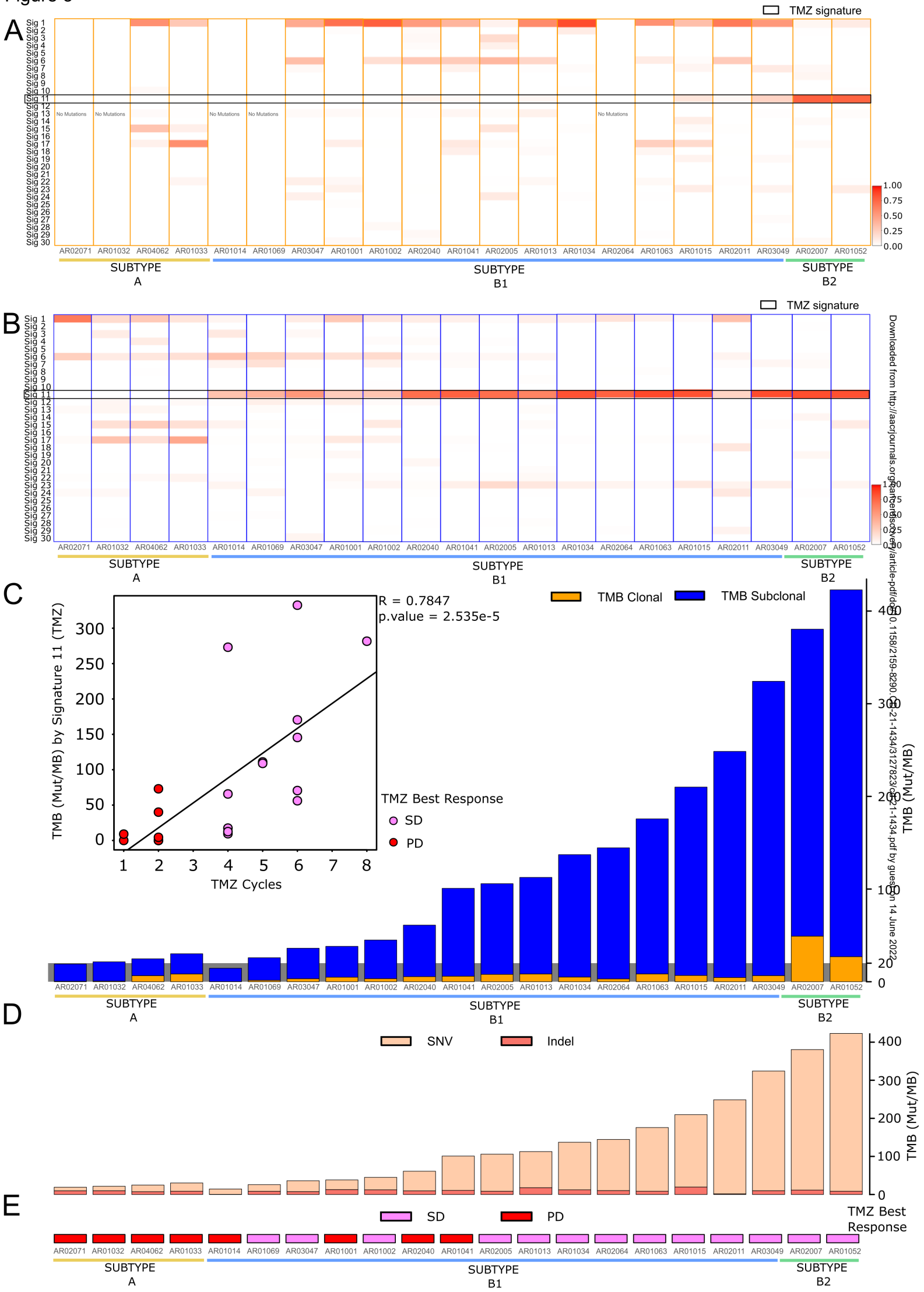
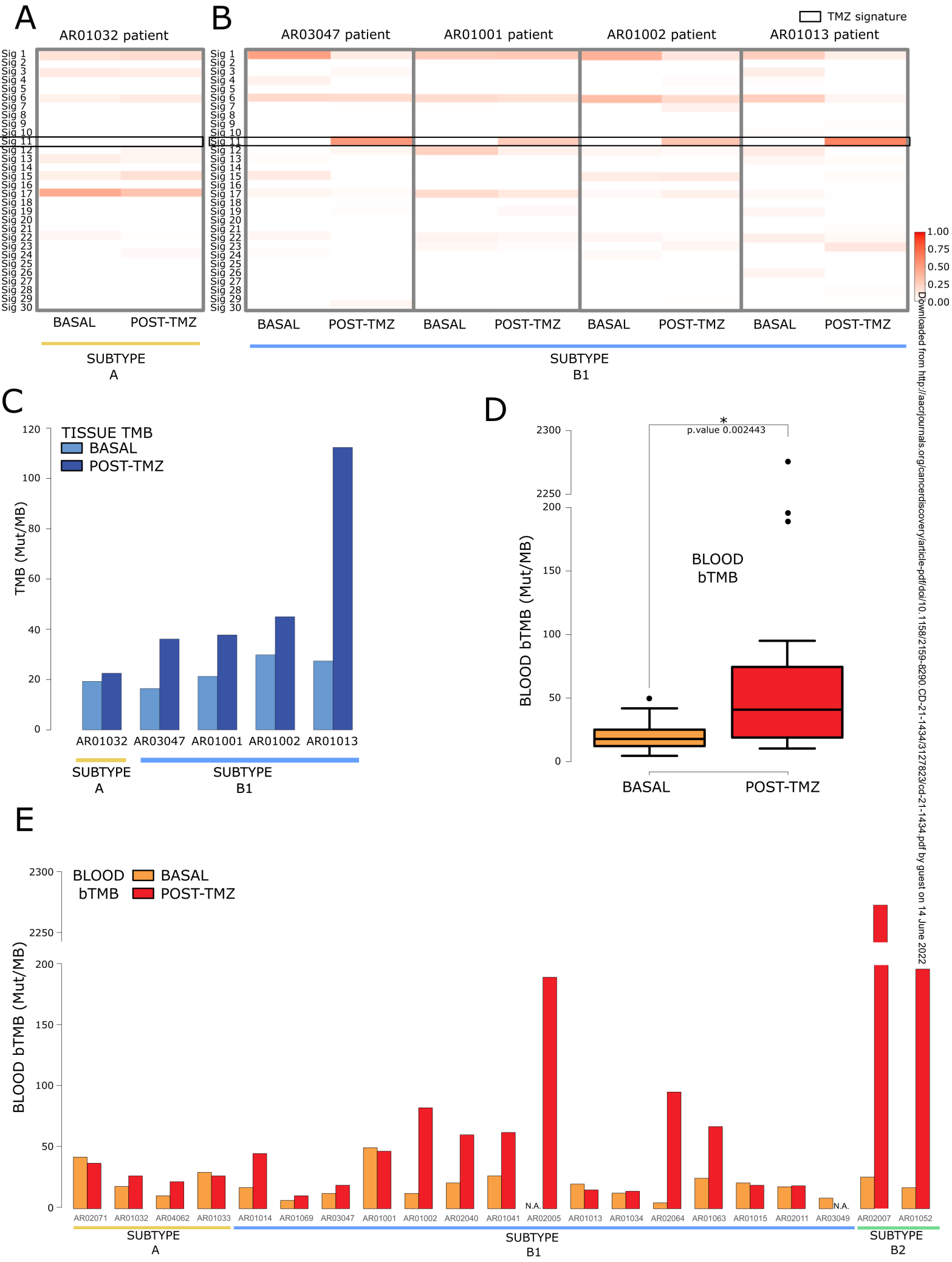


Figure 3



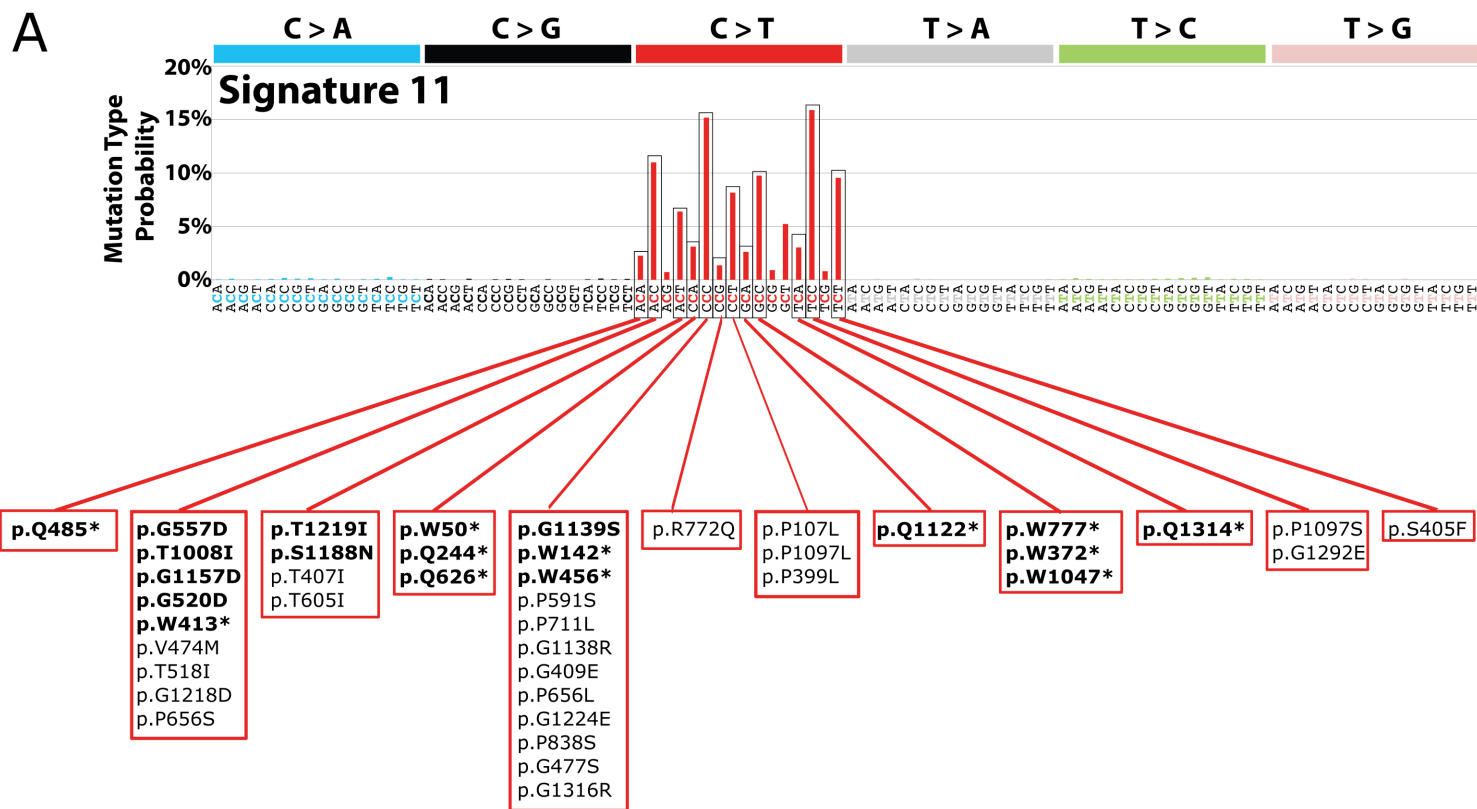
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Figure 4



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Figure 5

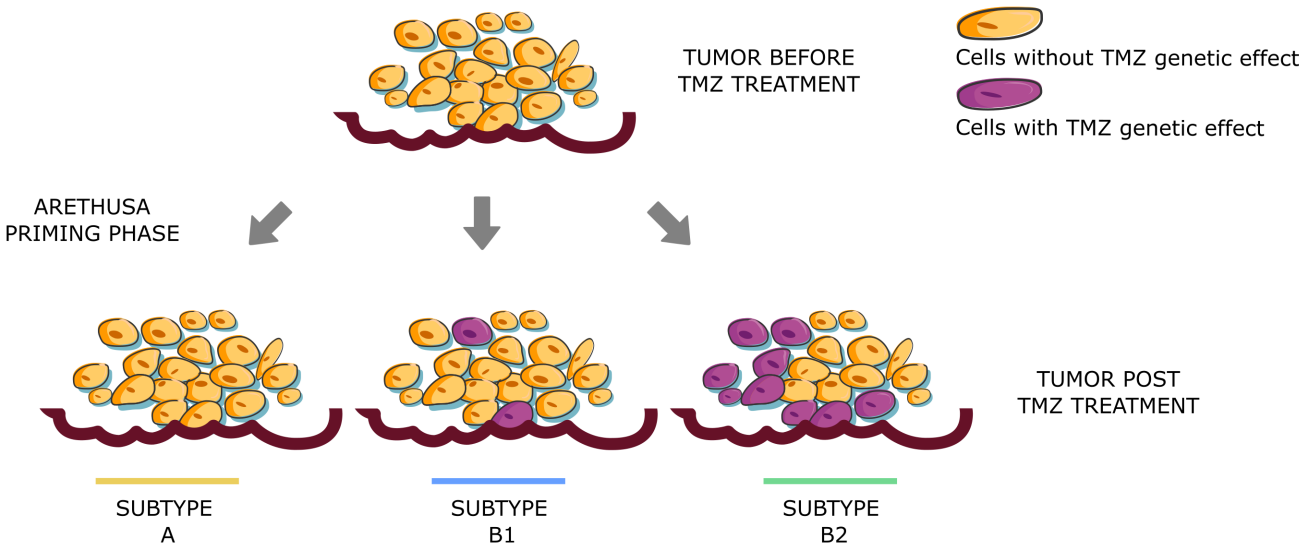


B

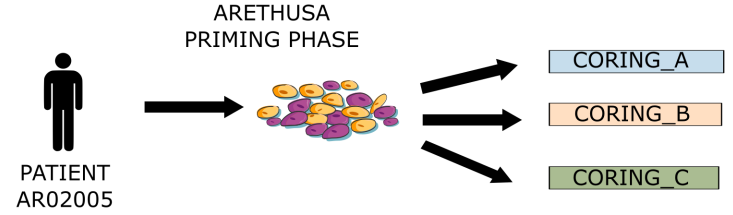
<i>MSH6</i> alteration	coord	Patient	Patient_ID	dMMR status
p.T1219I	chr2:48033352	16	AR01014; AR01001; AR01002; AR02005; AR010013; AR01015; AR01034; AR01041; AR02040; AR02011; AR02007; AR03049; AR01052; AR01063; AR02064; AR03047	Drost et al., 2020
p.G557D	chr2:48026792	2	AR01034; AR02005	Drost et al., 2020
p.T1008I	chr2:48028145	2	AR02005; AR01052	Drost et al., 2020
p.Q1122*	chr2:48030750	2	AR02007; AR02064	STOP codon acquisition
p.W777*	chr2:48027453	1	AR01034	STOP codon acquisition
p.W50*	chr2:48010521	1	AR01034	STOP codon acquisition
p.G1139S	chr2:48030801	1	AR02007	Drost et al., 2020
p.W142*	chr2:48018231	1	AR02007	STOP codon acquisition
p.Q1314*	chr2:48033729	1	AR02007	STOP codon acquisition
p.W372*	chr2:48026238	1	AR02007	STOP codon acquisition
p.Q244*	chr2:48025852	1	AR02007	STOP codon acquisition
p.G1157D	chr2:48032080	1	AR02005	Drost et al., 2020
p.G520D	chr2:48026681	1	AR02005	Drost et al., 2020
p.W413*	chr2:48026361	1	AR02005	STOP codon acquisition
p.W456*	chr2:48026490	1	AR02005	STOP codon acquisition
p.Q626*	chr2:48026998	1	AR02005	STOP codon acquisition
p.W1047*	chr2:48028263	1	AR01063	STOP codon acquisition
p.S1188N	chr2:48032763	1	AR01063	Drost et al., 2020
p.Q485*	chr2:48026575	1	AR01063	STOP codon acquisition
p.K301fs*12	chr2:48026024	1	AR01069	STOP codon acquisition
p.G409E	chr2:48026348	2	AR02040; AR01063	
p.P591S	chr2:48026893	1	AR02005	
p.P107L	chr2:48018125	1	AR02005	
p.P711L	chr2:48027254	1	AR02005	
p.P1097S	chr2:48030675	1	AR02005	
p.V474M	chr2:48026542	1	AR01013	
p.P1097L	chr2:48030676	1	AR01015	
p.G1292E	chr2:48033664	1	AR01015	
p.R772Q	chr2:48027437	1	AR01015	
p.G1138R	chr2:48030798	1	AR01034	
p.S405F	chr2:48026336	1	AR02040	
p.P656L	chr2:48027089	1	AR02011	
p.P656S	chr2:48027088	1	AR02064	
p.P399L	chr2:48026318	1	AR02064	
p.P838S	chr2:48027634	1	AR01063	
p.T518I	chr2:48026675	1	AR01063	
p.G477S	chr2:48026551	1	AR01063	
p.G1218D	chr2:48033349	1	AR01063	
p.G1316R	chr2:48033735	1	AR01063	
p.T407I	chr2:48026342	1	AR02007	
p.G1224E	chr2:48033367	1	AR02007	
p.T605I	chr2:48026936	1	AR02007	

Figure 6

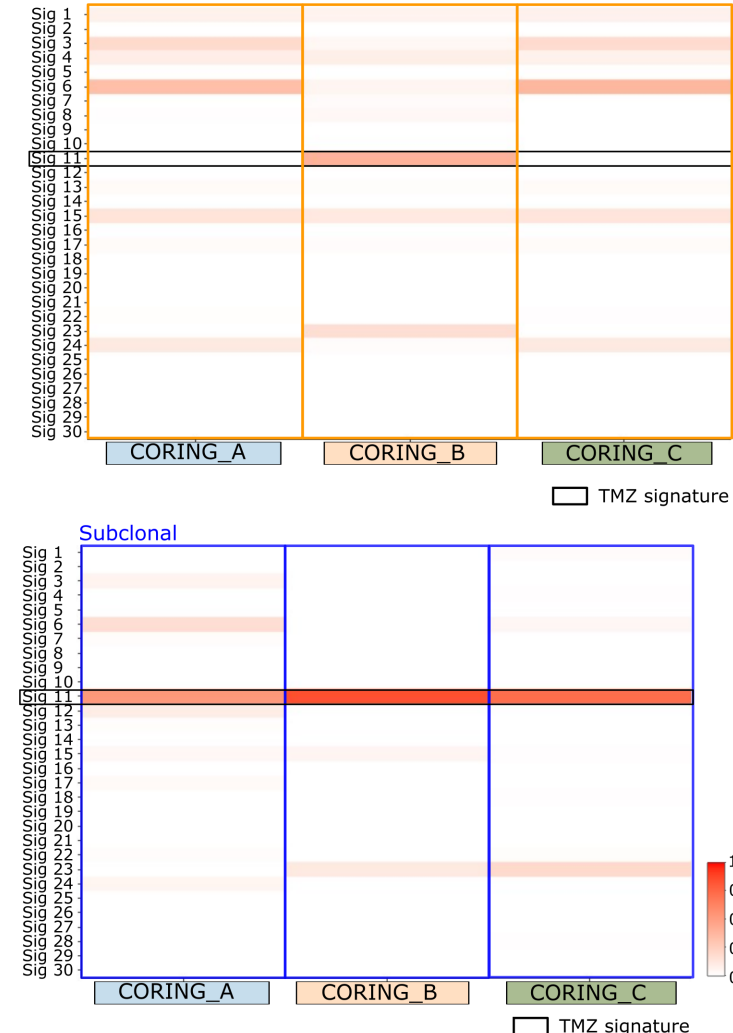
A



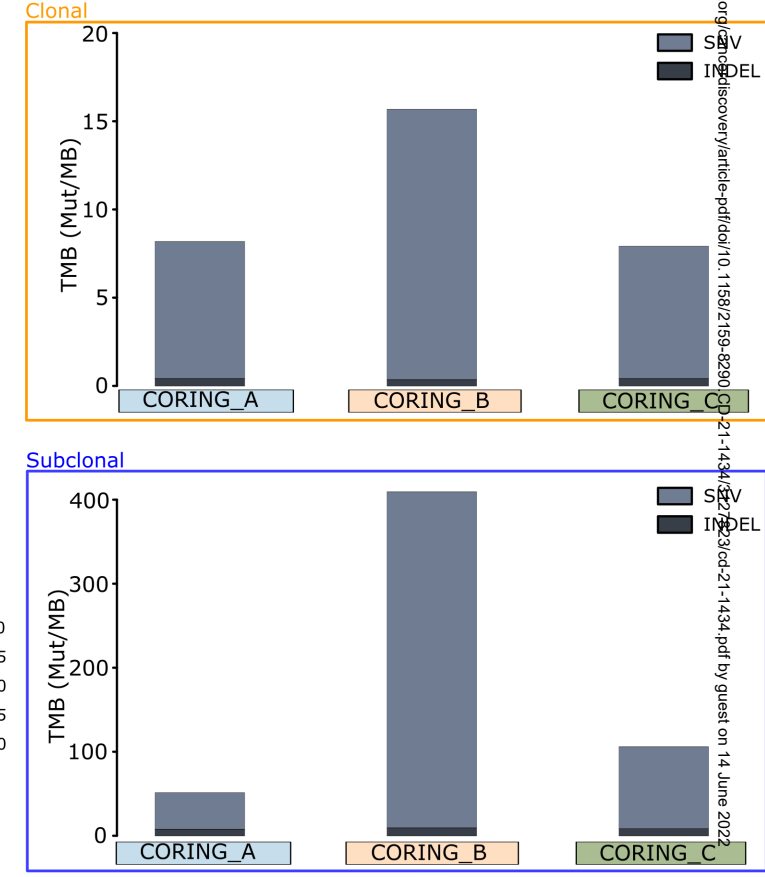
B



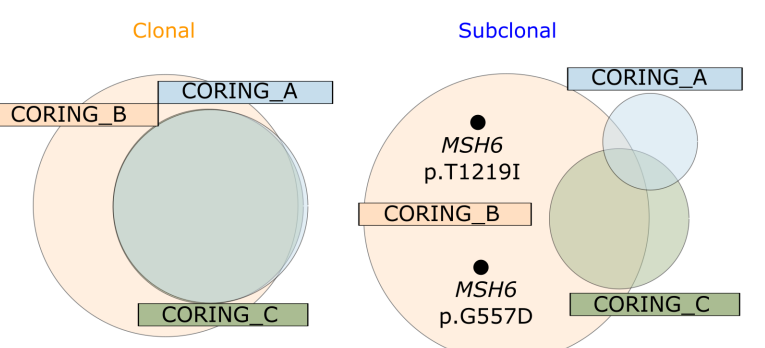
D



C



E

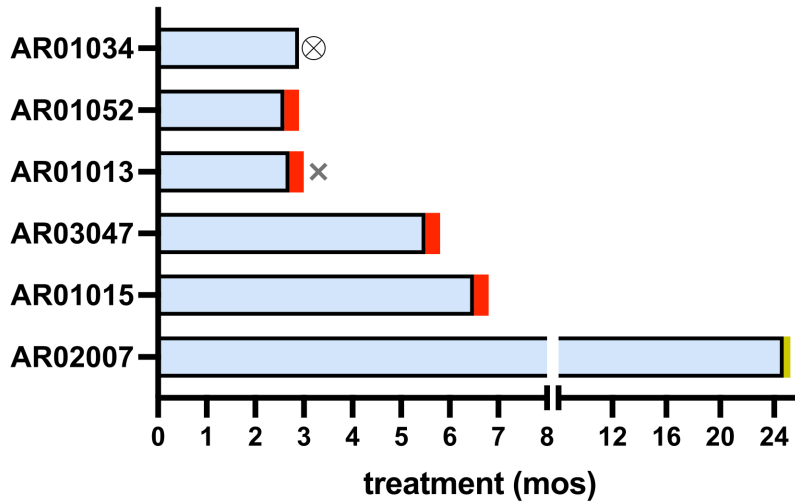


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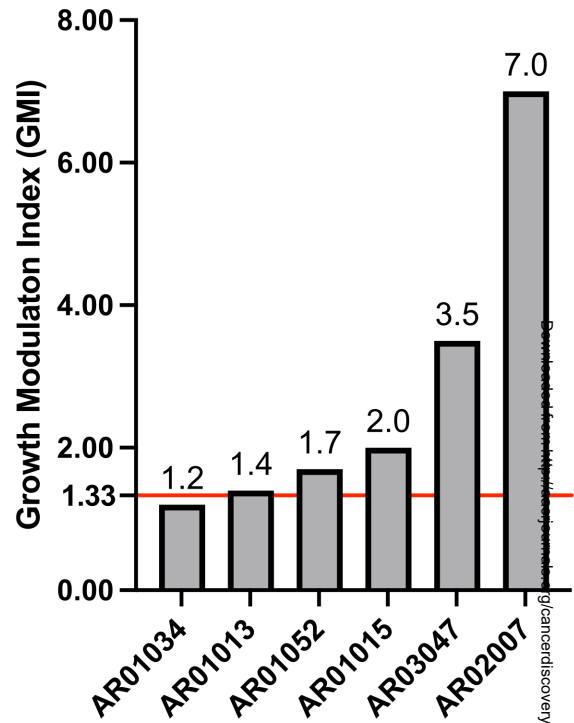
Figure 7

A

- Pembrolizumab
- Disease Progression (PD)
- treatment discontinuation in absence of PD/TLT
- × patient death
- ⊗ patient death unrelated to treatment



B



C

AR02007

