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# Phage-Based Anti-HER2 Vaccination Can Circumvent Immune Tolerance against Breast Cancer

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## Abstract

$\Delta 16\text{HER2}$  is a splice variant of HER2 and defined as the transforming isoform in HER2-positive breast cancer. It has been shown that  $\Delta 16\text{HER2}$  promotes breast cancer aggressiveness and drug resistance. In the present work, we used *in silico* modeling to identify structural differences between  $\Delta 16\text{HER2}$  and the wild-type HER2 proteins. We then developed DNA vaccines specifically against the  $\Delta 16\text{HER2}$  isoform and showed that these immunotherapies hampered carcinogenesis in a breast cancer transplantable model. However, the vaccines failed to elicit immune protection in  $\Delta 16\text{HER2}$  transgenic mice because of tolero-

genic mechanisms toward the human HER2 self-antigen, a scenario commonly seen in HER2<sup>+</sup> patients. Thus, we engineered bacteriophages with immunogenic epitopes of  $\Delta 16\text{HER2}$  exposed on their coat for use as anticancer vaccines. These phage-based vaccines were able to break immune tolerance, triggering a protective anti- $\Delta 16\text{HER2}$  humoral response. These findings provide a rationale for the use of phage-based anti-HER2/ $\Delta 16\text{HER2}$  vaccination as a safe and efficacious immunotherapy against HER2-positive breast cancers. *Cancer Immunol Res*; 6(12): 1486–98. ©2018 AACR.

## Introduction

The high incidence of breast cancer makes the development of new therapies an urgent need. The tyrosine kinase (TK) receptor HER2 is overexpressed in roughly 20% to 30% of breast cancer patients and correlates with poor prognosis (1–3). HER2 is an ideal target for cancer immunotherapies. The introduction into the clinic of the HER2 monoclonal antibody (mAb) trastuzumab improved the overall survival and time-to-disease progression of patients with HER2-positive (+) breast cancer (4). However, many patients do not benefit from treatment because of therapy resistance (5). Active immunotherapy against HER2 might, thus, represent an alternative strategy (6). Unfortunately, despite the

promising results obtained in preclinical models, anti-HER2 vaccination has shown only modest clinical effects, and to date, there are no breast cancer vaccines approved by the FDA (7). Breaking immune tolerance represents a major obstacle in tumor vaccine technology. HER2 is a self-antigen, and effective immunization needs to overcome the patient's self-tolerance. A naturally occurring HER2 splice variant lacking exon-16 ( $\Delta 16\text{HER2}$ ) has emerged as the HER2 oncoprotein variant responsible for transformation (8–12). The deletion removes cysteine residues within the HER2 extracellular domain (ECD), disrupting the disulfide bond structure of the protein and fostering the formation of stable constitutively activated homodimers, which fuel downstream mitogenic signaling (13, 14).  $\Delta 16\text{HER2}$  is expressed in 52% to 90% of human HER2<sup>+</sup> breast cancers (9–11, 15). Of the patients expressing  $\Delta 16\text{HER2}$ , 90% suffer from metastatic disease. Increasing evidence points to a role for the  $\Delta 16\text{HER2}$  splice variant in resistance to trastuzumab (10) and lapatinib (16). Thus, a successful strategy against HER2<sup>+</sup> breast cancer implies the suppression of  $\Delta 16\text{HER2}$ . However, no specific  $\Delta 16\text{HER2}$  therapies are available yet.

Here, we unraveled structural differences between  $\Delta 16\text{HER2}$  and the wild-type (wt)HER2 proteins. We then generated DNA and phage-displayed vaccines against wtHER2 and  $\Delta 16\text{HER2}$  to optimize antigen presentation, break tolerance against HER2 self-protein, and induce selective immune responses discriminating between the two isoforms. The proposed antigen-delivery system derives from the Large Fragment Phage-Display (LFPD) technology (17). Briefly, benign filamentous bacteriophage M13 virions are engineered to display the extracellular and transmembrane (TM) domains of human wtHER2 or  $\Delta 16\text{HER2}$  (hECTM and  $\Delta 16\text{ECTM}$ , respectively) or specific HER2 epitopes on their surface as fusion proteins with the coat protein pIII. In particular, we

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focused on epitopes 6–11, which overlap the splicing region (between exons 15 and 17) and the adjacent trastuzumab binding site. The anticancer activity of these vaccines was assessed in  $\Delta 16\text{HER2}$  mice (18), which are suitable for testing anti-HER2 therapies (16, 19) because they develop spontaneous aggressive mammary carcinomas and exhibit immunologic tolerance to human HER2 antigen, mimicking what is encountered clinically.

## Materials and Methods

### *In silico* modeling

To identify the complete structure of wtHER2, we adopted the strategy of "building in blocks," taking advantage of PDB data bank structural information. In particular, PDB 3BE1 (20) and PDB 3N85 (21) files entirely contained the ECD, with two loops (aa 101–110 and aa 362–366) and the juxtamembrane region left out. The TM domain was completed in PDB 2JWA (22, 23). Because the TK domain has not been fully crystallized, the structure was truncated at residue Glu1028, the last available amino acid (PDB 3PP0; ref. 24). We obtained the juxtamembrane region via homology modeling using the highly homologous HER1 crystal structure (identity score of 75, 83%) as a template (PDB 3G0P; refs. 25, 26). 3D modeling was performed using Sculptor software implemented in the Schrödinger Suite 10. Moodloop (27), GalaxyWEB (28), and SWISS-MODEL (29) were used to model loops. DISULFINID (30) web server was used to score the probability of disulfide bonds to occur (score range 0–10, with higher values indicating higher probability). CHARMM-GUI membrane builder (31) was used to simulate the lipid bilayer. The simulation box was set to  $155 \times 155 \times 243 \text{ \AA}^3$ .

Preparation for the productive MD simulation on the wtHER2,  $\Delta 16\text{HER2}$  with the disulfide bond between Cys626 and Cys630 ( $\Delta 16\text{HER2-SS}$ ) and  $\Delta 16\text{HER2}$  with reduced Cys626 and Cys630 ( $\Delta 16\text{HER2-free}$ ), was carried out with a seven-step minimization and equilibration protocol with CHARMM 36 force field. Cycles (10,000) of steepest descent energy minimization, followed by a 5,000 step of conjugate gradient minimization, were sufficient for the maximum force to converge to the energy threshold of 1,000 (kJ/mol/nm). The following six equilibration steps were conceived to let the protein gradually accommodate within the lipidic and aqueous environment. In all runs, the Verlet cutoff scheme was used for neighbor searching, combined with PME for electrostatics. The cutoff for the calculation of Van der Waals forces was set to 1.2 nm, with the force smoothly switched to zero between 1.0 and 1.2 nm. Velocities were first generated at 310 K in the NVT ensemble, using a Maxwell distribution function with random seed, and a weak temperature coupling (Berendsen thermostat) with time constant of 1 ps was applied to maintain the reference temperature (310 K) for the whole run. Protein, membrane, and solvent were coupled in distinct groups. After two short simulation runs of 25 ps each, we shifted to the NPT ensemble maintaining the weak coupling also for pressure control (i.e., Berendsen barostat). For the third 25 ps long simulation run, semi-isotropic conditions were set, with a reference pressure of 1 bar and a time constant for coupling of 5 ps. For the three remaining equilibration runs, only the number of steps was changed, from 25 ps to 50 ps. Position restraints were applied to both protein and membrane. From step 1 to step 5, the protein and the membrane were slowly accommodated by gradually reducing the restraints force constants. We started with 1,000

kJ/mol nm<sup>2</sup> for lipid solvent and a stronger 4,000 kJ/mol nm<sup>2</sup> for protein, until we completely freed all particles at the beginning of the sixth equilibration step. The described protocol was applied to all three systems (wtHER2,  $\Delta 16\text{HER2-SS}$ , and  $\Delta 16\text{HER2-free}$ ). At the beginning of the production phase, we shifted to Nosé-Hoover for temperature control and Parrinello-Rahman algorithm for pressure coupling. Ten-nanosecond-long dynamic simulation was run for each system, implementing an accurate leapfrog algorithm or integrating Newton's equations of motion, with a time step of 0.002 ps.

### Mice

$\Delta 16\text{HER2}$  transgenic mice (18) and FVB mice (FVB/NCrl strain from Charles River) were housed under controlled temperature (20°C) and circadian cycle (12 hours light/12 hours dark) in the animal facility of University of Camerino. The animals were fed on chow diet (Mucedola) and tap water *ad libitum*. Female FVB mice were used in all experiments to match tumor prone  $\Delta 16\text{HER2}$  female mice according to genetic background and sex. All animal experiments were carried out in accordance with the U.K. Animals (Scientific Procedures) Act, 1986 and associated guidelines, EU Directive 2010/63/EU for animal experiments. All the procedures were approved by the Ethic Committee on Animal Use of the University of Camerino (protocol number 14/2012).

### Cell lines

Cam6 (16), N202.1A, and N202.1E cells (kindly provided by Prof. Pier Luigi Lollini, University of Bologna, Italy) were cultured in Dulbecco Modified Eagle Medium (DMEM) supplemented with 20% fetal bovine serum (FBS; Thermo Fisher Scientific) and 1% penicillin/streptomycin (P/S). HEK293-nontransfected cells were maintained in 10% FBS and 1% P/S DMEM. HEK293  $\Delta 16\text{HER2}$  and HEK293 wtHER2, a generous gift from the Unit Department of Experimental Oncology-Istituto Nazionale Tumori di Milano, were maintained in G418 antibiotic (Gold Biotechnology, 1 mg/mL). SKBR3 (ATCC) were maintained in McCoy's 5a Modified Medium (ATCC) enriched with 10% FBS. All the cell lines were maintained at 37°C in an atmosphere of 5% CO<sub>2</sub>.

### DNA vaccines

pVAX-hECTM and pVAX-HuRT were generated as previously described (32, 33). pVAX $\Delta 16\text{ECTM}$  was obtained by PCR and inserted in pVAX1 (Invitrogen), using standard cloning methods. *Escherichia coli* strain DH5a was transformed with the different plasmids and then grown in Luria-Bertani medium with kanamycin (Sigma-Aldrich). The sequences of the obtained plasmids were verified by sequencing (BMR Genomics). Large-scale preparation of the plasmids was carried out by alkaline lysis using Endofree Qiagen Plasmid-Giga kit (Qiagen Inc.) according to the manufacturer's instructions. Subsequently, DNA was resuspended in sterile bidistilled water and stored in aliquots at –20°C, after concentration determination using NanoDrop spectrophotometer (Thermo Scientific).

### DNA vaccination

The vaccination consisted of two intramuscular (i.m.) injections (into the tibial muscle) of 50  $\mu\text{g}$  of the plasmids described above, followed by electroporation using T820 electroporator (BTX), 2 square-wave 25 ms, 375 V/cm pulse. In wtFVB mice, immunization with the different DNA vaccines was carried out

21 and 7 days before retro-orbital bleeding (8 mice per group) to collect sera. One day after sera collection, mice were challenged with  $10^5$  Cam6 cells inoculated into the mammary fat pad. In  $\Delta 16\text{HER2}$ -transgenic mice, DNA vaccination was performed with two boosts at 8 and 10 weeks of age. Two weeks after the last boost, blood was collected from the orbital sinus under anesthesia. All of the animals were monitored weekly by palpation to assess tumor onset. Tumor diameter was measured by digital caliper. Masses greater than 2 mm in mean diameter were regarded as tumors.

#### Analysis of antibody response

In order to collect serum, whole blood samples were left to clot at room temperature for 20 minutes. Serum separation was accomplished by two subsequent centrifugations at  $2000 \times g$  at  $4^\circ\text{C}$ . Sera, collected 7 days after the second vaccination, from immunized mice were analyzed by flow cytometry (BD FACSCalibur), using HEK293  $\Delta 16\text{HER2}$  cells, and nontransfected HEK293 cells as negative controls.

Briefly, subconfluent HEK293  $\Delta 16\text{HER2}$  or HEK293 cells were detached and dispensed at a density of  $10^6$  cells per tube. After a 5-minute centrifugation at 800 rpm at  $4^\circ\text{C}$ , the obtained cell pellet was resuspended and washed twice in staining buffer (2% FBS-containing  $1 \times$  PBS, pH 7.4). Cells were incubated with sera of vaccinated mice (1:40 dilution in staining buffer) for 1 hour at  $4^\circ\text{C}$ . MGR2 antibody (kindly provided by E. Tagliabue, Department of Experimental Oncology-Istituto Nazionale Tumori, Milano) was used as positive control (10  $\mu\text{g}/\text{mL}$  in staining buffer). After incubation, cells were washed three times and incubated with the goat anti-mouse IgG (H+L) secondary antibody-FITC (Thermo Fisher Scientific, 1:200 dilution in staining buffer). Samples were washed twice, resuspended in 600  $\mu\text{L}$  of staining buffer and analyzed using BD FACSCalibur. Cell Quest Pro (version 6.0.2) and FlowJo (version 8.7) were used as acquisition and analysis software, respectively.

To verify the presence of antibodies against the rat-HER2/*neu* and the human-HER2 proteins in the sera of  $\Delta 16\text{HER2}$  transgenic mice, collected 14 days after the last immunization, we used N202.1A cells and SKBR3 cells, respectively. Ab4 (Oncogene Research Products/EMD Biosciences) and Ab5 (Calbiochem/EMD Millipore) monoclonal antibodies were used as positive controls.

#### Analysis of IgG isotypes

Sera collected from  $\Delta 16\text{HER2}$  transgenic mice 14 days after the second pVAX-HuRT immunization were pooled together and diluted 1:40 in staining buffer, as described in the above section. Antibody isotype was evaluated by FACS analysis (BD FACS Calibur). Briefly, N202.1A cells or SKBR3 cells were incubated with diluted sera for 1 hour at  $4^\circ\text{C}$ , washed, and stained with biotin-conjugated rat anti-mouse antibodies specific for IgA, IgM, IgG1, IgG2a, IgG2b, and IgG3 (Invitrogen Caltag Laboratories). Cells were further washed and incubated with streptavidin-phycoerythrin (PRE; Dako; 1:20 dilution) for the next 30 minutes.

#### Purification of IgG evoked by vaccination on FVB mice

IgGs were purified from sera of wtFVB vaccinated mice using the Melon Gel IgG Purification Kit (Thermo Fisher Scientific) and quantified using NanoDrop spectrophotometer using IgG settings (Thermo Scientific). Sample purity was in the range of  $A_{260}/A_{280} < 0.6$ .

#### Cellular ELISA assay

HEK293, HEK293  $\Delta 16\text{HER2}$ , and HEK293 wtHER2 cells were collected (5 minutes, 800 rpm centrifugation) and dispensed in 96-well polystyrene round-bottom microplates (Orange Scientific) at a cell density of  $2 \times 10^5$  cells/well. After a blocking step with 10% BSA-PBS, purified IgGs were added at different concentrations 30, 60, or 100  $\mu\text{g}/\text{mL}$ . The plates were left to incubate for 1 hour at  $37^\circ\text{C}$  and washed prior to a 1-hour incubation with the anti-mouse peroxidase-conjugated secondary antibody (Calbiochem, 1/3,000 dilution). Bound antibodies were detected adding 2,2'-azino-bis (3-ethylbenzothiazoline-6-sulfonic acid) substrate (Sigma), and the reaction was read at 405 nm. Wells, where only the secondary antibody was added, were used to measure the background noise. Each condition was repeated in triplicate.

#### Phages production and purification

All the HER2 and  $\Delta 16\text{HER2}$  fragments ( $\Delta 16\text{ECTM}$ , ECTM, Ep6-11 $\Delta 16\text{ECTM}$ , and Ep6-11ECTM) were cloned in frame with gIIIp of M13K07 Helper Phage (NEB) to generate phage-displayed clones, using the phage-display technique.

For this purpose, we adapted the previously described LFPD library (17) that is able to express large peptide sequences (100 amino acid-long) as fusions to the coat proteins of bacteriophages. Briefly, to produce the recombinant M13 phages, TG1 cells containing phagemids were grown in 2xYT medium with 100  $\mu\text{g}/\text{mL}$  ampicillin and glucose 1% w/v at  $37^\circ\text{C}$ . When optical density at 600 nm reached  $\text{OD} = 0.4$ , bacterial cells were infected by the phage KO7M13 (NEB) at a multiplicity of infection (moi) of 20, incubated for 30 minutes at  $37^\circ\text{C}$  without shaking and 30 minutes at  $37^\circ\text{C}$  with shaking. Bacterial cultures were then centrifuged for 15 minutes at 3,600 rpm. The pellets were resuspended in 2xYT medium with 100  $\mu\text{g}/\text{mL}$  ampicillin, 25  $\mu\text{g}/\text{mL}$  kanamycin, and IPTG 200  $\mu\text{mol}/\text{L}$  and incubated overnight at  $30^\circ\text{C}$ . Phages released overnight in the supernatant were purified by with 3:10 v/v ratio of PEG-NaCl. Phages were pelleted by centrifugation for 2 hours at 4,000 rpm and  $4^\circ\text{C}$ , and then resuspended in 2 mL of PBS. All eluates (approximately 2 mL/L of bacteria) were pooled and further centrifuged at 13,000 rpm for 2 minutes to pellet the remaining impurities. Phages were filtered through a 0.22- $\mu\text{m}$  Millipore filter and titrated by top-agar plaque assay. The concentration of virion particles was further verified by spectrometry, according to the following formula:  $\text{virions}/\text{mL} = [(A_{269} - A_{320}) / \times 6 \times 10^{16}] / (\text{number of bases}/\text{virion})$ .

#### Affinity phage ELISA assay

An ELISA assay was carried out using phages expressing whole hECTM and  $\Delta 16\text{ECTM}$  molecules or just epitopes 6 and 11 and pooled sera derived from immunized wtFVB mice.  $10^{11}$  phages/well were let to adsorb to 96-well microtiter plates (Maxisorb, NUNC) at  $4^\circ\text{C}$ , overnight. The day after, wells were blocked with 10% BSA-PBS, and increasing concentrations of IgGs purified from the pooled sera (from 0.5 to 100  $\mu\text{g}/\text{mL}$ ) were added. After 1 hour of incubation and 5 washings (PBS/Tween 20), peroxidase-conjugated goat anti-mouse secondary antibody (Calbiochem, 1:3,000) was added. Empty phages were used as negative controls, and phage-coated wells incubated with only the secondary antibody were included to identify background noise. Bound IgGs were detected with 2,2'-azino-bis (3-ethylbenzothiazoline-6-sulfonic acid) substrate (Sigma). Absorbance was read at 405 nm. Each experimental condition was tested in quadruplicate.



**Avidity phage ELISA assay**

The phage ELISA protocol was modified as follows: after incubation with IgGs (20, 60, or 100 µg/mL), half of the wells were rinsed with PBS, while urea at increasing concentrations (from 0.1 to 8 mol/L in PBS) was added in the others. Plates were incubated for 10 minutes at 37°C and washed 5 times before adding the goat anti-mouse secondary antibody (Calbiochem, 1:3,000). Phage-coated wells with just urea or PBS were used to normalize the data. Each experimental condition was tested in quadruplicate using the same parameters as above.

**Competitive phage ELISA assay**

Microplates were coated with 10<sup>11</sup> phages/well (either hECTM phages or Δ16ECTM phages). IgGs (60 µg/mL) were mixed with increasing amounts of competitor phage (10<sup>6</sup> to 5 × 10<sup>11</sup> per well): Δ16ECTM phages for hECTM phage-covered wells, and vice versa. Each experimental condition was tested in quadruplicate. A set of four wells, where the competitor phage with no primary antibody was added, was used to exclude false-positive results.

**Bone marrow dendritic cell generation and transfection**

Cells (1 × 10<sup>6</sup>) derived from bone marrow of both FVB and Δ16HER2 mice were cultured in complete medium (10% FBS, 2 mmol/L L-glutamine, 1% P/S RPMI1640 100 supplemented with 20 µg/mL mouse granulocyte-macrophage colony-stimulating factor, mGM-CSF). Expression of CD11c was evaluated by flow cytometry (CD11c-PerCP/Cy5.5, clone N418, BioLegend; 1 µg/mL). DCs were harvested using Pan Dendritic Cell Isolation Kit mouse (MACS, Miltenyi Biotec) according to the manufacturer's instructions, resuspended in 100 µL of electroporation buffer (mouse Dendritic Cell transfection kit, Amaxa, Lonza), and mixed with 5 µg of plasmid DNA. After electroporation, cells were cultured at 37°C for 2 days before undergoing further applications.

**T-cell activation and flow-cytometric analysis for granzyme B and IFNγ on activated splenocytes**

DCs electroporated with pVAX-hECTM, pVAX-Δ16ECTM, or pVAX-HuRT were cultured with splenocytes recovered from Δ16HER2 transgenic mice immunized with the corresponding plasmid at 1:10 ratio in RPMI1640 medium with 10% FBS. Three days after, IL2 (10 UI/mL) was added to the culture. Seven days later, splenocytes were recovered, and 1 × 10<sup>6</sup> cells were restimulated with coated anti-CD3 (10 µg/mL; clone 17A2, BioLegend) in the presence of Brefeldin A (10 µg/mL; Sigma-Aldrich). After 18 hours, splenocytes were stained with anti-CD8 FITC (clone 53-6.7, BioLegend, 2 µg/mL) and anti-CD4 PerCP/Cy5.5 (clone GK1.5, BioLegend, 2 µg/mL). Following incubation with Brefeldin A (5 µg/mL; Sigma-Aldrich) intracellular cytokine staining for IFNγ and granzyme B was performed using a BD Fixation/Permeabilization kit (BD Biosciences) according to the manufacturer's instructions. Anti-IFNγ-PE (clone XMGI.2, BioLegend; 2 µg/mL) and anti-granzyme B-AlexaFluor 647 (clone GB11, BioLegend, 5 µg/mL) were used. Data were acquired by FACS analysis (BD FACS Calibur) and IFNγ- and granzyme B-positive cells were expressed as percentage of CD8<sup>+</sup> T cells using FlowJo software (version 8.7).

**CD107 mobilization assay**

DCs were transfected with pVAX-hECTM, pVAX-Δ16ECTM, or pVAX-HuRT. After 2 hours, splenocytes recovered from Δ16HER2

transgenic mice immunized with the corresponding plasmid were added to the transfected DCs with the splenocyte/DC ratio being 5:1. Anti-CD107 (clone 1D4B, BioLegend, 1 µg/mL) was simultaneously added, and mixed cells were allowed to incubate for 1 hour. After that, monensin (5 µg/mL) was added to prevent acidification of endocytic vesicles for additional 4 hours. After 5 hours of DC/splenocyte coculture, splenocytes were collected and stained with antibodies for specific regulatory T cell (Treg) markers: FITC-conjugated anti-CD4 (BioLegend, at 2 µg/mL), PerCP/Cy5.5-conjugated anti-CD25 (clone 3C7, BioLegend, at 2 µg/mL), and anti-Foxp3 PE (clone 150D/E4, eBioscience). In the latter case, samples were first fixed and permeabilized as described. The same experiments were carried out using wtFVB mice as negative controls.

**Adoptive transfer of immune sera**

Immune sera from previously immunized wtFVB mice, equal to 60 µg/mL IgG, were infused by intraperitoneal (i.p.) route in Δ16HER2 females, from the 10th week of age. The treatment was performed weekly until the mice were sacrificed (at 20 weeks of age).

**Phage immunization**

Δ16HER2 mice were inoculated intraperitoneally with 0.1 mL of phage preparation (1 × 10<sup>10</sup> PFU/mouse) at 8 and 10 weeks of age. Four experimental groups (8 mice/group) were designed, receiving Δ16ECTM phages, hECTM phages, Ep6-11 Δ16ECTM phages, or Ep6-11 hECTM phages. Control mice were injected with 0.1 mL of empty phages. Blood was collected from the retro-orbital plexus before and 2 weeks after the second boost to verify antigen-specific antibodies. Throughout the experiment course, mice were weekly monitored for tumor onset by palpation. Masses were measured by means of a digital caliper (masses greater than 2 mm in diameter were regarded as tumors).

**CD3<sup>+</sup> and CD8<sup>+</sup>T tumor-infiltrating cells upon phage vaccination**

Tumors removed from phage-vaccinated mice were fixed in 4% PFA and frozen in a cryo-embedding medium (OCT, BioOptica). Sections (5 µm thick) were stained with hematoxylin and eosin and immunostained with either anti-CD8α (BD Pharmingen) or rabbit polyclonal anti-mouse CD3 (ab828, Abcam). After incubation with the appropriate secondary antibody, immunostaining was developed with Vulcan Fast Red (Biocare) alkaline phosphatase method in the case of CD8 staining, whereas EnVision rabbit and DAB (DAKO, K4065) were used for CD3 staining. Intratumoral CD8- or CD3-positive cell count was performed in 10 microscopic fields (×200 magnification) per tumor.

**Antibody-dependent cell-mediated cytotoxicity (ADCC) on sera of Δ16HER2 mice vaccinated with either phages or DNA plasmids**

Cam6 cells were used as target cells. Briefly, Cam6 (10<sup>6</sup>/mL) were stained with carboxyfluorescein succinimidyl ester (CFSE, 5 µmol/L final concentration) at 37°C for 10 minutes in the dark. The next day, freshly isolated splenocytes (effector:target ratio of 1:2.25) and immune sera (1:200 dilution) were added to target cells and left to incubate at 37°C overnight. The following day, effector cells were washed out and target cells were incubated with propidium iodide (0.5 µg/mL), harvested, and analyzed by

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flow-cytometric analysis. Cells incubated with splenocytes (no serum) were used to normalize the results.

### Phage circulation in mice

Mouse serum was separated from blood by double centrifugation at  $2,250 \times g$ . Titers of viable phages were determined as described above by top-agar plaque assay plating serial serum dilutions (50  $\mu$ L) on bacterial cultures distributed on the surface of dried agar plates. The plates were incubated overnight at 37°C. All experiments were repeated three times.

### mRNA extraction from the thymus of $\Delta$ 16HER2 transgenic mice and PCR analysis

Total RNA was extracted and purified from thymuses of wtFVB and  $\Delta$ 16HER2 mice at 3 weeks of age using TRIzol reagent (Invitrogen Life Technologies). cDNA was synthesized with the High-Capacity cDNA Reverse Transcription Kit of Applied Biosystems SuperScript following the manufacturer's instructions. PCR was performed using the following  $\Delta$ 16HER2 specific pair of primers (10): Forward 5'-CACCCACTCCCCTCTGAC-3'; Reverse 5'-GCTCCACCAGCTCCGTTTCCTG-3'. Primers that amplify GAPDH (BD Clontech) were used as standard.

### mRNA extraction from mammary adenocarcinoma and PCR analysis

Tumor masses in  $\Delta$ 16HER2 mice were surgically excised, and their dimensions were evaluated by means of a caliper. In particular, the excised mammary adenocarcinomas were  $2 \times 2$  mm,  $3.6 \times 3.1$  mm, and  $6.2 \times 5.4$  mm in diameter. Total RNA was extracted, and cDNA was synthesized as described above. PCR was performed using the following pair of primers to specifically detect murine ecto-5'-nucleotidase CD73 (NM\_011851): Forward 5'-CAAATCCCACACAACCACTG-3'; Reverse 5'-TGCTC-ACCTGGTCACAGGAC-3'. Primers that amplify GAPDH (BD Clontech) were used as standard.

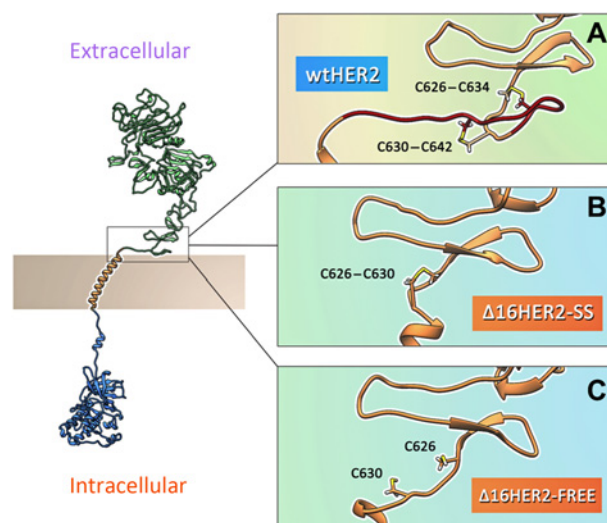
### Statistical analysis

Quantitative data are presented as means  $\pm$  SD from three independent experiments. The significance of differences was evaluated with an unpaired Student *t* test when two groups were compared, while one-way ANOVA test followed by the Tukey posttest was used to compare three or more groups. Two-way ANOVA test followed by the Tukey posttest was used to compare three or more groups over time. For Kaplan–Meier curves, a log-rank (Mantel–Cox) test was used. Statistical analysis was carried out with GraphPad Prism5. Detailed statistical analysis for each experiment is reported in the correspondent Supplementary Tables (S1–S25).

## Results

### Loss of exon 16 enhances flexibility and mobility of $\Delta$ 16HER2 isoform

Leveraging *in silico* modeling, we first completed the wtHER2 structure (Fig. 1A). We then moved to  $\Delta$ 16HER2, and we considered the possibility that the cysteine residues left unpaired upon the deletion form novel disulfide bonds. The DISULFINID webserver (31) provided low output scores, 2 and 3 over 10, for Cys623–Cys600 and Cys626–Cys630, respectively. Although Cys623–Cys600 interaction was excluded, we did not completely rule out the occurrence of a Cys626–Cys630 bond



**Figure 1.**

*In silico* prediction of  $\Delta$ 16HER2 and wtHER2 interactions with the cell membrane. The figure shows the front view of the three models of HER2 taken into consideration. **A**, The wild-type form (wtHER2). **B**, The  $\Delta$ 16HER2 splice variant with the disulfide bond between Cys626 and Cys630 ( $\Delta$ 16HER2-SS). **C**,  $\Delta$ 16HER2 with reduced Cys626 and Cys630 ( $\Delta$ 16HER2-free). The juxtamembrane domain is firmly secured within the membrane in wtHER2, considerably limiting its mobility, while in both  $\Delta$ 16HER2-SS and  $\Delta$ 16HER2-free it sets free from stabilizing interactions with the membrane components.

(score 3 = mild confidence). Accordingly, we obtained three models: the wtHER2,  $\Delta$ 16HER2 with the disulfide bond between Cys626 and Cys630 ( $\Delta$ 16HER2-SS), and  $\Delta$ 16HER2 with reduced Cys626 and Cys630 ( $\Delta$ 16HER2-free; Fig. 1A–C, respectively).

The three models were oriented using the OMP server and inserted into the virtual membrane; we looked at the dynamic behavior of the 641-CPAEQRASP-650 sequence, which connected the ECD to the TM domain (Fig. 1). In wtHER2, polar (Gln629, Gln646, Thr631, and Ser649) and basic (Arg647 and His632) residues placed this stretch within the phospholipid heads. Principal component analysis suggested that this sequence secured the ECD within the membrane, limiting its mobility with just a bending of the I/II/III subdomains toward the IV subdomain. Consequently, the dimerization arm in this subdomain constantly faced the TM domain, immobilized in the initial alignment throughout the 10 ns of run. Arguably, the stability of the ECD was compromised upon the deletion of exon16 in both  $\Delta$ 16HER2-SS and  $\Delta$ 16HER2-free—the dimerization arm lost its alignment to end over the N-terminus, with the shortened connecting sequence completely extending into the solvent medium, free of the stabilizing interactions with membrane components. Hence, the ECD, aside from the minor twisting observed for the canonical protein, gained a considerable degree of rotation of almost 60° (Supplementary Video S1 *in silico* simulation comparing wtHER2 vs.  $\Delta$ HER2).

### Protective immunity elicited by anti- $\Delta$ 16HER2 DNA vaccination in wtFVB mice

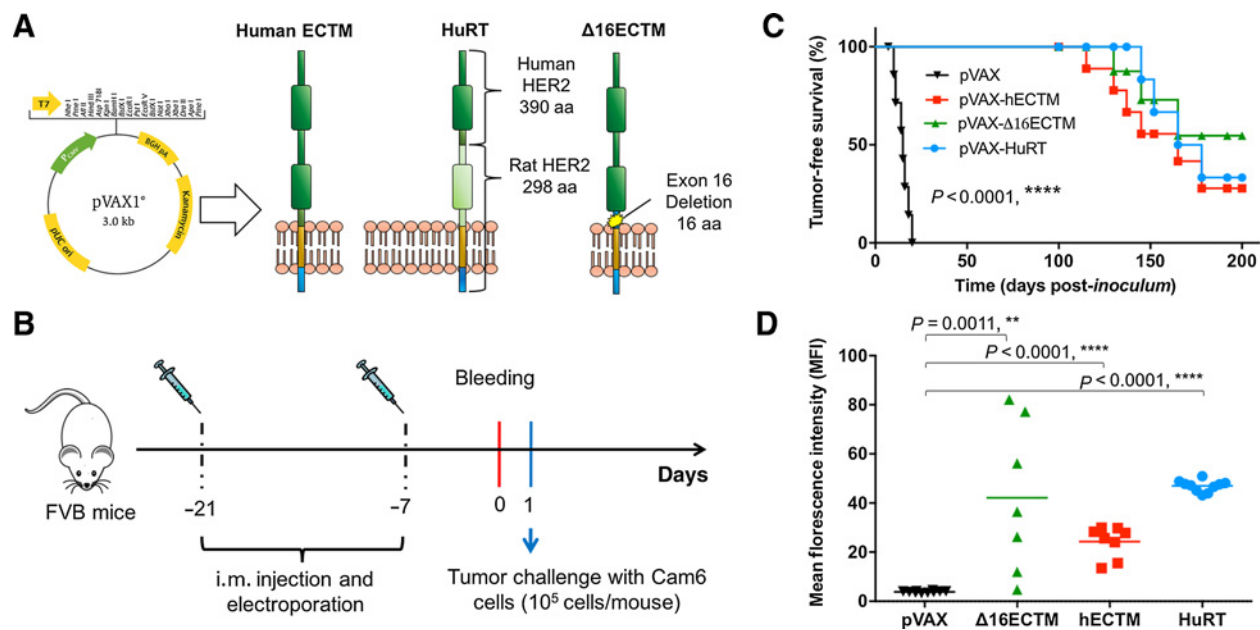
We first verified the protective efficacy of pVAX-hECTM and pVAX- $\Delta$ 16ECTM DNA vaccines in a transplantable tumor

model using  $\Delta 16\text{HER2}$ -expressing Cam6 cells (16). pVAX-hECTM encodes the EC and TM domains of wtHER2, whereas pVAX- $\Delta 16\text{ECTM}$  encodes the EC and TM domains of  $\Delta 16\text{HER2}$  (Fig. 2A). The empty pVAX vector and pVAX-HuRT were used as negative and positive controls, respectively. pVAX-HuRT encodes for a human-rat chimeric protein composed by the first and second human (Hu) EC subdomains of HER2 protein and by the third and fourth rat (R) EC subdomains plus rat TM region. The syngeneic portion of the sequence ensures the specificity of the immune response, and the xenogeneic part ensures a better suppression of tolerance (refs. 32, 33; Fig. 2A). The regimen comprised two boosts, performed 21 and 7 days before bleeding (Fig. 2B). Kaplan-Meier curves showed that all the tested vaccines (pVAX- $\Delta 16\text{ECTM}$ , pVAX-hECTM, and pVAX-HuRT) completely inhibited tumor development up to 100 days after tumor challenge, leading to 100% tumor-free survival, whereas all the control mice vaccinated with pVAX empty vector developed tumors within 25 days, as expected (Fig. 2C; \*\*\*\*,  $P < 0.0001$ ; for detailed statistical analysis, refer to Supplementary Table S1). Extending the follow-up to 200 days after tumor challenge, pVAX- $\Delta 16\text{ECTM}$  emerged as the most effective vaccine. Almost 60% of the immunized mice remained protected until the end of the experiment (Fig. 2C). Consistently, serum screening for  $\Delta 16\text{HER2}$  antibodies on HEK293 cells stably transfected with  $\Delta 16\text{HER2}$  (HEK293  $\Delta 16\text{HER2}$ ) revealed that all three DNA vaccines (pVAX-hECTM, pVAX- $\Delta 16\text{ECTM}$ , and pVAX-HuRT) were able to induce an antibody response that significantly correlated with the observed anticancer protection. In particular, despite the intragroup variability, sera from mice vaccinated with pVAX- $\Delta 16\text{ECTM}$  had higher antibody titers than the cohort of mice vaccinated with pVAX-

hECTM (Fig. 2D; \*\*\*\*,  $P < 0.0001$ ; for detailed statistical analysis, refer to Supplementary Table S2).

#### pVAX- $\Delta 16\text{ECTM}$ and pVAX-hECTM evoked antibodies with different properties

To explain the differential efficacy displayed by pVAX- $\Delta 16\text{ECTM}$  and pVAX-hECTM, we took into consideration the antibody-antigen interaction. Specifically, we focused on immunoglobulin G (IgG) because it contributes to antibody-based immunity. We set up a cellular ELISA incubating HEK293 cells stably transfected with either  $\Delta 16\text{HER2}$  (HEK293  $\Delta 16\text{HER2}$ ) or wtHER2 (HEK293 wtHER2) with IgGs purified from sera of mice vaccinated with pVAX (IgG pVAX), pVAX-hECTM (IgG hECTM), or pVAX- $\Delta 16\text{ECTM}$  (IgG  $\Delta 16\text{ECTM}$ ). In this *in vitro* system, IgG  $\Delta 16\text{ECTM}$  and IgG hECTM showed differing results. On HEK293 wtHER2 cells, the binding of IgG hECTM significantly outweighed IgG  $\Delta 16\text{ECTM}$  (Supplementary Fig. S1A, central panel; \*\*\*\*,  $P < 0.0001$ ). Binding curves of IgG hECTM and IgG  $\Delta 16\text{ECTM}$  almost overlapped with each other on HEK293  $\Delta 16\text{HER2}$  cells with no significant differences (Supplementary Fig. S1A, right; Supplementary Table S3). We hypothesized that the higher flexibility of  $\Delta 16\text{HER2}$ , in comparison with wtHER2, interfered with the stability of the antibody binding, so that it was difficult to identify specific  $\Delta 16\text{HER2}$  antibodies using this analytical system. Consistent with our hypothesis, the kinetics of the antibody-antigen interaction showed that the binding occurred very rapidly in HEK293 wtHER2, especially for IgG hECTM. According to the modeling data herein described, we concluded that the rigid distribution of the wtHER2 antigen in the plane of the membrane promoted the binding of specific antibodies. Thus, IgG hECTM binds to wtHER2 antigen more rapidly than IgG

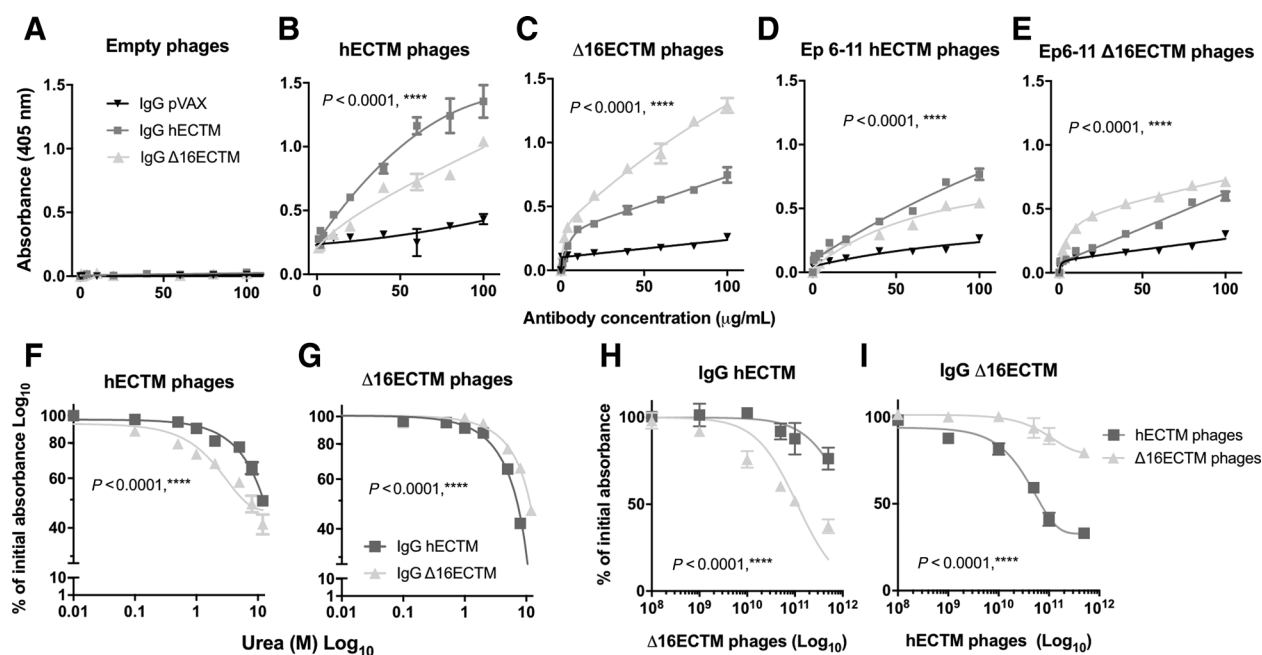


**Figure 2.** Immunogenicity of anti-HER2 and anti- $\Delta 16\text{HER2}$  vaccines in wtFVB mice transplanted with  $\Delta 16\text{HER2}^+$  mammary tumor cells. **A**, Tested vaccines: pVAX-hECTM, pVAX- $\Delta 16\text{ECTM}$ , pVAX-HuRT, and pVAX empty vector. **B**, Vaccination regimen. Mice ( $n = 8$  mice/group) underwent two DNA vaccine boosts at 7 and 21 days before the tumor cells challenge. **C**, Kaplan-Meier curves of pVAX- $\Delta 16\text{ECTM}$ , pVAX-hECTM, and pVAX-HuRT vaccinated mice (log-rank test, \*\*\*\*,  $P < 0.0001$ ; see Supplementary Table S1). **D**, Screening of sera from vaccinated mice for the presence of anti- $\Delta 16\text{HER2}$  by flow-cytometric analysis (see Supplementary Table S2).

$\Delta 16\text{ECTM}$ , saturating the absorbance signal in 10 minutes of incubation (Supplementary Fig. S1B, left; \*\*\*\*,  $P < 0.0001$ ; Supplementary Fig. S1C). For detailed statistical analysis, refer to Supplementary Tables S4 and S5. However, when we turned to HEK293  $\Delta 16\text{HER2}$ , the binding of both IgG hECTM and IgG  $\Delta 16\text{ECTM}$  peaked lower values, even after 60 minutes (Supplementary Fig. S1B, right). It was possible that the high flexibility permitted cross-reactivity (both IgG hECTM and IgG  $\Delta 16\text{ECTM}$  equally bind to HEK293  $\Delta 16\text{HER2}$ ) but at the expense of low-affinity binding interactions because of the unfavorable entropy changes (34). Because antigen-antibody binding is mediated by noncovalent interactions (35), the change in the conformational freedom might pose a selective pressure on the repertoire of bound IgGs.

We suggest that only the high-affinity antibodies are selected for clonal expansion *in vivo*. This data interpretation would reconcile with the enhanced protection offered by pVAX- $\Delta 16\text{ECTM}$  vaccine. Thus, we used the LFPD library, a cell-free IgG screening method, to better analyze the properties of IgG binding excluding the effects due to the plasma membrane itself. As previously described (17), we used the M13K07 Helper Phage and the pIF6 phagemid vector to generate phages carrying sequences in-frame encoding both their pIII protein and the amino acid sequence of interest (Supplementary Fig. S2A). We generated phages exposing the whole EC and TM domains of wtHER2 or  $\Delta 16\text{HER2}$  (hECTM phages and

$\Delta 16\text{ECTM}$  phages, respectively) and phages harboring the epitopes 6–11 (Ep6–11 hECTM phages and Ep6–11  $\Delta 16\text{ECTM}$  phages) because these epitopes cover the splice junction of  $\Delta 16\text{HER2}$  (between exons 15 and 17; Supplementary Fig. S2B; ref. 17). Once quantified using traditional plaque assay and UV absorbance spectra (Supplementary Fig. S2C), phage particles were used as immobilized antigens to analyze affinity, avidity, and specificity of the antibody-antigen interaction. We evaluated the affinity as the increase in the fraction of antigen-bound antibodies over a range of antibody concentrations (Fig. 3A–E; Supplementary Table S6). On the empty phages, no signal was recorded (Fig. 3A). The absorbance values ( $\text{Abs}_{405}$ ) measured for IgG hECTM outweighed those related to IgG  $\Delta 16\text{ECTM}$  in wells where hECTM phages were previously adsorbed (Fig. 3B, at 60, 80, and 100  $\mu\text{g/mL}$ ; \*\*\*\*,  $P < 0.0001$ ), and the result was reversed for  $\Delta 16\text{ECTM}$  phages (Fig. 3C). Ep6–11 phages mirrored the trends seen for their respective whole-molecule counterparts, although with lower absorbance values. On Ep6–11 hECTM phages, the saturation binding curve for IgG hECTM had a significantly sharper slope and peaked higher than the IgG  $\Delta 16\text{ECTM}$  (at 2  $\mu\text{g/mL}$ ;  $P = 0.002$ , Fig. 3D), with the opposite scenario on Ep6–11  $\Delta 16\text{ECTM}$  phages (Fig. 3E). To evaluate the avidity, the phage ELISA was modified adding increasing concentrations of urea after antibody binding. The dissociation curves point to a tighter binding of distinct IgG to their specific antigen. Greater concentrations of urea were



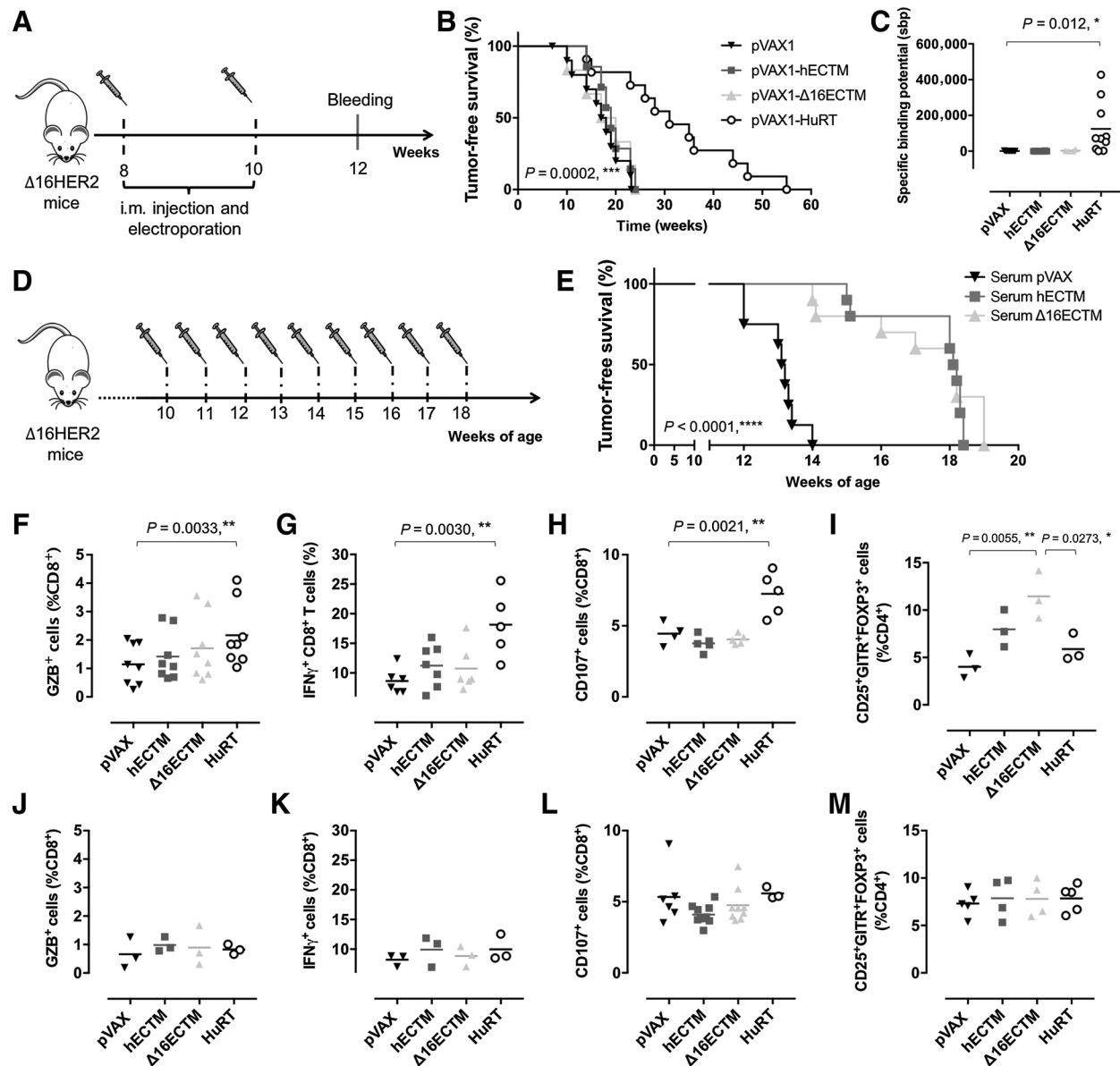
**Figure 3.**

Antigen-binding properties of IgGs elicited in wtFVB mice by DNA vaccination. **A–E**, IgG pVAX, IgG hECTM, and IgG  $\Delta 16\text{ECTM}$  from sera of vaccinated FVB mice were added to wells coated with phages ( $n = 8$  mice/group pooled and assayed in quadruplicates). **A**, IgGs binding curve to empty phages. **B–E**, IgG hECTM and IgG  $\Delta 16\text{ECTM}$  binding curves to hECTM phages,  $\Delta 16\text{ECTM}$  phages, Ep6–11 hECTM phages, and Ep6–11  $\Delta 16\text{ECTM}$  phages (see Supplementary Table S6). **F and G**, Avidity ELISA assay. **F**, IgG hECTM and IgG  $\Delta 16\text{ECTM}$  dissociation curves from hECTM phages in the presence of urea. Data are reported as percentage of the initial absorbance (i.e., without urea; see Supplementary Table S7). **H and I**, Competitive ELISA assay. IgGs were mixed with increasing amounts of the competitor phages. **H**, Binding curves for IgG hECTM to hECTM phages in the presence of increasing  $\Delta 16\text{ECTM}$  phages. **I**, Binding curve of IgG  $\Delta 16\text{ECTM}$  to  $\Delta 16\text{ECTM}$  phages in the presence of increasing hECTM phages. Experiments were performed in quadruplicate. Data are reported as percentage of the initial absorbance (i.e., without the competitor phages) (see Supplementary Table S8 for statistics). Data of each panel are representative of three independent experiments.



required to dissociate IgG hECTM from hECTM phages and IgG  $\Delta$ 16ECTM from  $\Delta$ 16ECTM phages (Fig. 3F and G; Supplementary Table S7). To address the antibody specificity, we performed a competitive phage ELISA to assess which antigen

between  $\Delta$ 16HER2 or wtHER2 more successfully competed for the binding of the antibodies. The inhibition curves showed that IgG  $\Delta$ 16ECTM binding to  $\Delta$ 16ECTM phages outweighed their interaction with hECTM phages (Fig. 3H; Supplementary



**Figure 4.**

Immune tolerance impairs DNA vaccination in  $\Delta$ 16HER2 mice. **A**, DNA vaccination schedule on  $\Delta$ 16HER2 mice. Mice ( $n = 8$ –14/group) received two i.m. DNA vaccinations at 8 and 10 weeks of age. **B**, Kaplan–Meier curves of  $\Delta$ 16HER2 mice vaccinated with pVAX–HuRT ( $n = 14$ ), pVAX–hECTM ( $n = 8$ ), pVAX– $\Delta$ 16ECTM ( $n = 8$ ), and pVAX empty vector ( $n = 8$ ; see Supplementary Table S9 for statistics). **C**, Screening for HER2 antibodies in the sera of immunized mice (pVAX–HuRT \*,  $P = 0.012$ ; see Supplementary Table S10). **D**, Adoptive serum transfer to  $\Delta$ 16HER2 mice ( $n = 8$  mice/group). Ten-week-old  $\Delta$ 16HER2 mice received weekly (for 8 weeks) intraperitoneal injections of immune sera obtained from vaccination of wtFVB mice with pVAX–hECTM, pVAX– $\Delta$ 16ECTM, and pVAX. **E**, Kaplan–Meier curves of  $\Delta$ 16HER2 mice that received immune pVAX–hECTM, pVAX– $\Delta$ 16ECTM, and pVAX sera of vaccinated wtFVB mice (log-rank; \*\*\*\*,  $P < 0.0001$ ; see Supplementary Table S12 for multiple comparisons). **F**, Immunization-induced granzyme B (GZB) expression by T cells. DCs transfected with pVAX, pVAX–hECTM, pVAX– $\Delta$ 16ECTM, or pVAX–HuRT were incubated with splenocytes isolated from transgenic mice immunized with the corresponding vaccine ( $n = 8$  mice/group; pVAX–HuRT; \*\*,  $P = 0.0033$ ; Supplementary Table S13). **G**, Immunization-induced IFN $\gamma$  expression by T cells (pVAX–HuRT \*\*,  $P = 0.0030$ ; see Supplementary Table S14). **H**, Immunization-induced CD107 exposure on T cells (pVAX–HuRT; \*\*,  $P = 0.0021$ ; see Supplementary Table S15). **I**, Assessment of the Treg compartment. FACS analysis of the CD4<sup>+</sup>CD25<sup>+</sup>FOXP3<sup>+</sup> Treg frequency (pVAX– $\Delta$ 16ECTM and pVAX–hECTM; \*\*\*\*,  $P < 0.0001$ ; see Supplementary Table S16). **J–M**, Negative control for GZB assay, IFN $\gamma$  and CD107 using wtFVB splenocytes ( $P > 0.05$ ; n.s.). Data of each panel are representative of three independent experiments.

Table S8), although these latter phages more effectively competed with  $\Delta 16\text{ECTM}$  phages for capturing IgG hECTM (Fig. 3I; Supplementary Table S8). These data demonstrate that it is possible to induce a specific antibody response against  $\Delta 16\text{HER2}$ , although it is only 16 residues shorter than wtHER2.

#### Immune tolerance impairs DNA vaccination in $\Delta 16\text{HER2}$ transgenic mice

Because pVAX- $\Delta 16\text{ECTM}$  and pVAX-hECTM elicited protective immunity against transplantable  $\Delta 16\text{HER2}^+$  tumors, we asked whether they also triggered protection against autochthonous carcinogenesis in  $\Delta 16\text{HER2}$  transgenic mice. These mice, which express the human  $\Delta 16\text{HER2}$  transgene and develop spontaneous mammary carcinomas at 15 weeks of age on average (18), were vaccinated at 8 and 10 weeks of age, when they were still free from mammary lesions (Fig. 4A). pVAX-HuRT was the only vaccine able to delay tumor onset until 25 weeks of age in 50% of animals. However, such protection declined thereafter, and all the mice developed mammary carcinomas at about 9 months of age (Fig. 4B; Supplementary Table S9). pVAX-hECTM and pVAX- $\Delta 16\text{ECTM}$  vaccines failed to elicit a protective immunity leading to 100% tumor penetrance within 25 weeks of age (Fig. 4B). In agreement, HER2 antibodies were detected only in sera collected from pVAX-HuRT immunized mice (Fig. 4C, \*,  $P = 0.012$ ; see Supplementary Table S10), and consistent with the chimeric nature of the vaccine, these antibodies were directed against both the human and the rat HER2 protein. In particular, antibodies specific for the human HER2 were the most abundant, with the IgG2a subtype being predominant and the IgG1 class being the dominant subtype (Supplementary Fig. S3A). We also evaluated the ADCC of the sera of DNA-vaccinated mice, using the carboxyfluorescein succinimidyl ester (CFSE)-based method and Cam6 cells as target cells. Consistent with the *in vivo* observations, pVAX-HuRT (blue) was the only vaccine to significantly induce ADCC activity (Supplementary Fig. S3B, \*\*,  $P = 0.0025$ ; see Supplementary Table S11).  $\Delta 16\text{HER2}$  mice, which weekly received immune sera from wtFVB mice vaccinated with pVAX- $\Delta 16\text{ECTM}$  or pVAX-hECTM (Fig. 4D), experienced a significant delay in the tumor onset (\*\*\*\*,  $P < 0.0001$ ; Fig. 4E; Supplementary Table S12). In particular, mice treated for 8 weeks with sera derived from pVAX-vaccinated wtFVB mice developed at least one palpable mammary tumor within the 15th week of age, whereas administration of immune sera from wtFVB mice vaccinated with pVAX- $\Delta 16\text{ECTM}$  or pVAX-hECTM resulted in a 4-week delayed tumor onset (Fig. 4E). These results confirm the role of antibodies against HER2-driven carcinogenesis (36) and suggest that tolerogenic mechanisms are operating in  $\Delta 16\text{HER2}$  mice.

We then investigated the functional status of  $\text{CD8}^+$  T cells upon DNA vaccination. To reproduce antigen presentation *in vitro*, we first transfected dendritic cells (DCs) with pVAX, pVAX-hECTM, pVAX- $\Delta 16\text{ECTM}$ , or pVAX-HuRT, and then we cocultured them with  $\text{CD8}^+$  T cells isolated from  $\Delta 16\text{HER2}$  mice immunized with the corresponding vaccine. Upon activation with DCs, granzyme B (GZB)- and interferon- $\gamma$  (IFN $\gamma$ )-positive  $\text{CD8}^+$  T cells (Fig. 4F and G) showed a significant increase uniquely in the pVAX-HuRT group but not in pVAX-hECTM and pVAX- $\Delta 16\text{ECTM}$  immunized mice (Fig. 4F and Supplementary Table S13; Fig. 4G and Supplementary Table S14, respectively). We also measured the exposure of CD107 on  $\text{CD8}^+$  T cells as readout of cytotoxic granules degranulation (Fig. 4H and Supplementary Table S15; ref. 37).  $\text{CD107}^+\text{CD8}^+$  T cell amounts were the same as the negative

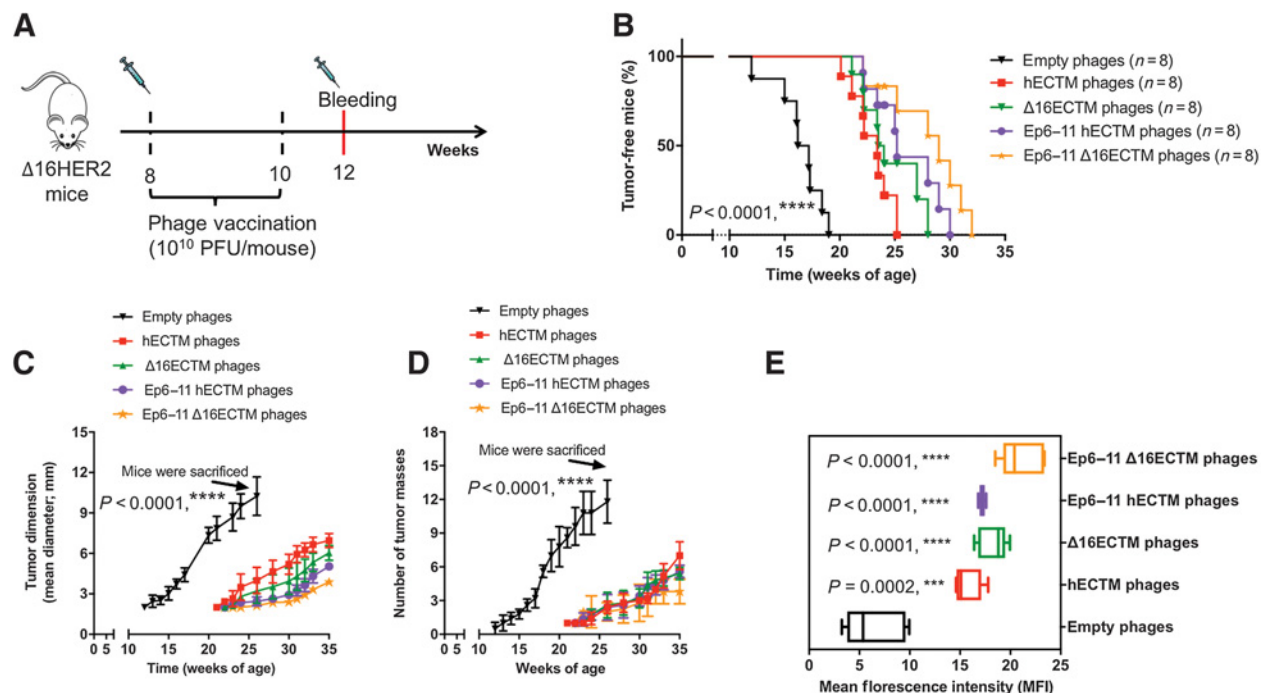
controls after coculture with DCs transfected with pVAX-hECTM and pVAX- $\Delta 16\text{ECTM}$ , suggesting impaired degranulation. As expected, only DCs transfected with pVAX-HuRT were able to activate  $\text{CD8}^+$  T cells (from pVAX-HuRT vaccinated mice), leading to an increase in the percentage of  $\text{CD107}^+\text{CD8}^+$  T cells (\*\*,  $P = 0.0021$ ; Fig. 4H). Then, we verified the contribution of FOXP3 $^+$  regulatory T cells (Treg) because they are indispensable for the maintenance of self-tolerance (38). The percentage of  $\text{CD25}^+\text{FoxP3}^+\text{CD4}^+$  Tregs was increased in splenocytes derived from mice immunized with pVAX-hECTM and pVAX- $\Delta 16\text{ECTM}$  (Fig. 4I; Supplementary Table S16). Splenocytes from wtFVB mice were taken as control for all the above-mentioned experiments (Fig. 4J–M).

We also investigated Th1/Th2/Th17  $\text{CD4}^+$  T cells in immunized mice. We cocultured DCs with lymphocytes from immunized  $\Delta 16\text{HER2}$  mice upon stimulation with anti-CD3 and stained for different markers: IFN $\gamma$ , IL17, or IL4 (Supplementary Fig. S3C–S3E; Supplementary Table S17). DNA vaccines administered by electroporation induce Th1 response. In accordance, we found a significant increase in T-helper cell type1 (Th1) activity in  $\Delta 16\text{HER2}$ -transgenic mice vaccinated with pVAX-HuRT (Supplementary Fig. S3C). This result was expected, considering that  $\Delta 16\text{HER2}$  mice mimic the immunologic tolerance to human HER2 self-antigen. Only the chimeric vaccine pVAX-HuRT broke immune tolerance and induced some immune protection by activating Th1 cells. It is in accordance with the isotype profile associated with pVAX-HuRT immunization, as Th1 polarization has been associated with the production of IgG2a subtype in mice (Supplementary Fig. S3A). The exon deletion itself could not affect MHC sites on  $\Delta 16\text{HER2}$ , whether class I, or class II: when aligned by ClustalW, wtHER2, and  $\Delta 16\text{HER2}$  protein sequences shared the same MHC epitopes (Supplementary Fig. S3F).

To investigate central immune tolerance contribution to the failure of pVAX-hECTM and pVAX- $\Delta 16\text{ECTM}$  vaccination in  $\Delta 16\text{HER2}$  mice, we assessed the expression of the human  $\Delta 16\text{HER2}$  transgene in the thymus of 3-week-old mice.  $\Delta 16\text{HER2}$  mRNA was detected in the thymus of transgenic pups, explaining why human  $\Delta 16\text{HER2}$  protein is considered a self-antigen in  $\Delta 16\text{HER2}$  mice (Supplementary Fig. S4A). To consider peripheral tolerogenic mechanisms, we analyzed the expression of CD73, an ectonucleotidase that promotes immunosuppression through adenosine production (39). CD73 was expressed in tumors derived from  $\Delta 16\text{HER2}$  females, and CD73 mRNA positively correlated with tumor size (Supplementary Fig. S4B).

#### Phages displaying antigen sequences can overcome immune tolerance

To break tolerance and elicit an anticancer immunity, we turned to bacteriophages, which combine high immunogenicity with specificity (40, 41). The phage-treatment regimen comprised of two intraperitoneal injections of  $10^{10}$  PFU/mouse of four different phage preparations— $\Delta 16\text{ECTM}$ , hECTM, Ep6-11  $\Delta 16\text{ECTM}$ , or Ep6-11 hECTM phages—performed at 8 and 10 weeks of age (Fig. 5A). Kaplan–Meier curves showed a significantly prolonged tumor latency period (\*\*\*\*,  $P < 0.0001$ ) in all the groups, and in particular, in mice administered with Ep6-11  $\Delta 16\text{ECTM}$  phages (Fig. 5B; Supplementary Table S18, hECTM phages vs. Ep6-11 hECTM phages; \*,  $P = 0.0359$ ;  $\Delta 16\text{ECTM}$  phages vs. Ep6-11  $\Delta 16\text{ECTM}$  phages; \*,  $P = 0.0204$ ). Mice immunized with engineered phages developed

**Figure 5.**

Phage treatment bypasses immune tolerance and provides protection from  $\Delta 16\text{HER2}$ -driven tumorigenesis. **A**, Phage-based vaccination.  $\Delta 16\text{HER2}$  mice ( $n = 8$  mice/group) were administered with  $10^{10}$  phages (i.p.) at 8 and 10 weeks of age, prior to tumor onset (8 mice/group). Bleeding occurred at the 12th week of age for antibody screening. **B**, Kaplan-Meier curves of the phage-based vaccines (log-rank; \*\*\*\*,  $P < 0.0001$ ; see Supplementary Table S18). **C**, Tumor growth curves of mice treated with the phage-based vaccines (see Supplementary Table S19). **D**, Tumor multiplicity of mice treated with the phage-based vaccines (see Supplementary Table S20 for statistics). **E**, Antibody detection. Sera of mice (8 mice/group) were pooled together and analyzed by FACS. The *in vivo* outcome correlates with the presence of specific  $\Delta 16\text{HER2}$  antibodies in the sera of treated mice (see Supplementary Table S21).

smaller and fewer tumor masses as compared with the control group (Fig. 5C; Supplementary Table S19; Fig. 5D; Supplementary Table S20; Supplementary Fig. S5A). Because the IgG humoral response to phages has elsewhere been found to peak after the second phage application (42), two weeks after the second administration, sera were collected and screened for the presence of  $\Delta 16\text{HER2}$  antibodies. Although serum antibodies toward  $\Delta 16\text{HER2}$  were detected in all the treated mice (apart from control cohort), mice receiving Ep6-11 $\Delta 16\text{ECTM}$  phages showed the most antibodies (Fig. 5E; Supplementary Table S21), in agreement with the conferred antitumor protection.

To analyze the activation status of the other immune compartments in phage-vaccinated mice, we looked at infiltrating  $\text{CD3}^+$  cells in the tumors (Supplementary Fig. S5B). The count of intratumoral  $\text{CD3}^+$  cells suggested that phages specific for  $\Delta 16\text{HER2}$  effectively broke the immunotolerance in  $\Delta 16\text{HER2}$  transgenic mice and raised an immune response. Mice given either  $\Delta 16\text{ECTM}$  phages or Ep6-11  $\Delta 16\text{ECTM}$  phages had significantly higher numbers of tumor-infiltrating  $\text{CD3}^+$  cells (Supplementary Fig. S5C; Supplementary Tables S22 and S23). On the contrary, no difference was detected in mice receiving hECTM phages. Among the total infiltrating  $\text{CD3}^+$  cells, the highest numbers of  $\text{CD8}^+$ T cells were found in the  $\Delta 16\text{ECTM}$  phages and Ep6-11  $\Delta 16\text{ECTM}$  phages experimental groups (\*\*,  $P = 0.0025$  and \*\*\*,  $P = 0.0007$ , respectively). Mice vaccinated with hECTM and Ep6-11 hECTM phages displayed significantly higher numbers of infiltrating cells than controls (\*,  $P = 0.034$  and \*,  $P = 0.0327$ , respectively). These data might

explain the protection observed *in vivo* with phages targeting wtHER2, especially with Ep6-11 hECTM phages. However, these findings may also imply that  $\text{CD3}^+$  cells, other than  $\text{CD8}^+$ T cells, might account for the different specificity between hECTM phages and  $\Delta 16\text{ECTM}$  phages.

Hence, we evaluated the ADCC response in phage-vaccinated mice as well (Supplementary Fig. S5D). In accordance with data herein reported, only sera from mice which were immunized with  $\Delta 16\text{ECTM}$  phages or Ep6-11  $\Delta 16\text{ECTM}$  phages held a significant increase in the ADCC activity (\*\*,  $P = 0.0009$  and \*\*,  $P = 0.0092$ , respectively; Supplementary Table S24). No significant ADCC activity was detected using sera of mice given hECTM phages or Ep6-11 hECTM phages, suggesting that mechanisms other than ADCC account for the *in vivo* protection of these phages. These data further confirm that phages circumvented immunotolerance in  $\Delta 16\text{HER2}$  mice and that  $\Delta 16\text{HER2}$  isoform is immunologically different from wtHER2.

Phage clearance caused a decrease in the viremia of  $\Delta 16\text{HER2}$  transgenic mice 24 hours after phage injection for all the phages under investigation, independently from the exposed antigen sequences (Supplementary Fig. S5E; Supplementary Table S25). These results exclude any interference due to different clearance of phage-based vaccines (Supplementary Fig. S5F). No signs of toxicity (i.e., anaphylactic reactions, changes in core body temperature, etc.) were observed in phage-vaccinated mice. These data demonstrate that phage-displayed vaccines can both overcome immune tolerance and induce a specific antibody response against the  $\Delta 16\text{HER2}$  isoform.

## Discussion

Among strategies to undermine cancer morbidity and mortality, DNA vaccines hold considerable potential, combining some of the most desirable features of standard vaccines: they are stable, relatively inexpensive, simple to purify, and able to elicit both cellular and humoral responses (43, 44). The functional and structural characteristics of the TK receptor HER2 make it a good target for cancer DNA vaccination. HER2 is a TM receptor selectively overexpressed in several carcinomas and plays a causal role in oncogenic transformation. HER2 can be readily targeted both by antibodies and cell-mediated immunity, minimizing the risk of autoimmune attack on healthy tissues (45). On the other hand, HER2 is a self-molecule. Therefore, triggering a stable and strong immune response to it must circumvent tolerance mechanisms (33, 46).

DNA vaccines against HER2 succeeded in the prevention of tumor growth in both transplantable tumor models and HER2 transgenic mice (36, 47). DNA vaccination with plasmids, encoding soluble or membrane-bound forms of HER2/neu, led to promising results (36, 48, 49). The present study investigated the feasibility of a DNA vaccine-based strategy against the  $\Delta 16\text{HER2}$  isoform. This goal required insights into the target antigen. Although wtHER2 structure has been characterized (50), the knowledge of  $\Delta 16\text{HER2}$  structure is limited. Using *in silico* techniques, we showed how the deletion of 16 amino acids changes HER2 structure, rendering the ECD of  $\Delta 16\text{HER2}$  more flexible and mobile than the ECD of wtHER2. These structural differences between  $\Delta 16\text{HER2}$  and wtHER2 provide the rationale to design specific therapies targeting  $\Delta 16\text{HER2}$ . Thus, we constructed and tested anti- $\Delta 16\text{HER2}$  DNA vaccines, demonstrating that DNA vaccination is effective against  $\Delta 16\text{HER2}$ -expressing Cam6 cells transplanted in syngeneic wtFVB mice. Taking advantage of the LFPD technology, we analyzed the antigen-binding properties of the IgGs induced by vaccination of wtFVB mice with plasmids encoding wtHER2 or  $\Delta 16\text{HER2}$  immunogenic portions. The data prove that IgGs purified from sera of pVAX- $\Delta 16\text{ECTM}$  vaccinated mice bind more often and with greater affinity to  $\Delta 16\text{HER2}$  than the IgGs elicited by pVAX-hECTM, indicating that it is possible to induce a specific anti- $\Delta 16\text{HER2}$  response. However, these DNA vaccines failed to induce immune protection in  $\Delta 16\text{HER2}$  transgenic mice, suggesting that  $\Delta 16\text{HER2}$  mice recapitulate patients' immunotolerance (32). We found that  $\Delta 16\text{HER2}$  transgenic mice express the transgene early in life in their thymus and develop mammary adenocarcinomas enriched in CD73, which can be considered hallmarks of central (51, 52) and peripheral tolerance (39, 53), respectively. Accordingly, neither pVAX- $\Delta 16\text{ECTM}$  nor pVAX-hECTM was able to elicit antibody production and trigger the ADCC activity. Vaccination with these plasmids failed to activate cytotoxic CD8<sup>+</sup> T cells and CD4<sup>+</sup> T cells. The chimeric plasmid pVAX-HuRT was the only vaccine able to evoke an immune response in  $\Delta 16\text{HER2}$  mice. It stimulated a humoral response characterized by high production of IgG2a subclass antibodies through activation of Th1 CD4<sup>+</sup> repertoire. pVAX-HuRT also triggered a cytotoxic T-cell functional status (i.e., production of GZB and IFN $\gamma$ , and exposition of CD107). However, due to its structural characteristics, HuRT does not induce a specific, long-lasting immune response against  $\Delta 16\text{HER2}$ , and all the mice developed mammary carcinomas by 9 months of age. To overcome the immune tolerance and trigger a stronger anti-

cancer protective immunity, we leveraged phage-based vectors to deliver anti-HER2 vaccines, as they combine high immunogenicity, characteristic of viruses, with the great advantage of specificity.

The proposed system derives from the LFPD technology (17), as it is based on filamentous bacteriophage M13 virions engineered to display on their surface the ECTM domains or specific epitopes of HER2 or  $\Delta 16\text{HER2}$ . M13 filamentous bacteriophages are reliable immunogen carriers: they are nonpathogenic, nonlytic viruses that infect and replicate only in *Escherichia coli* cells carrying an F' episome, and, at the same time, they are immunogenic in absence of adjuvants (54). Phages are taken up and processed by antigen-presenting cells (55), eliciting both B cell- and T cell-mediated immunity. Previous reports on anti-MAGE vaccination indicate that engineered filamentous bacteriophage virions increase the immunogenicity of delivered tumor-associated antigens (56). The host cell wall-derived lipopolysaccharide (LPS) and the CpG motifs contained in the phage's genome render the phage particles self-adjuvating (57). Accordingly, phage idiotype vaccination demonstrated to be safe and capable of evoking tumor-specific immune responses in multiple myeloma patients (58, 59). Here, we reported that anti-HER2 phage-based vaccination significantly extended the tumor latency, reduced the growth rate, and decreased tumor multiplicity in  $\Delta 16\text{HER2}$  mice. Vaccination with phages carrying just the two epitopes 6 and 11 (overlapping the splicing region and the adjacent trastuzumab binding site in  $\Delta 16\text{ECTM}$ ) had a better result than the immunization with phages displaying the whole ECTM molecule. Sera of vaccinated mice carried  $\Delta 16\text{HER2}$  antibodies in amounts that correlated with the anticancer protective efficacy of the different phage-based vaccines. Sera of mice immunized with Ep6-11  $\Delta 16\text{ECTM}$  phages showed antibody titers higher than those detected in mice of the Ep6-11 hECTM group. Consistently, we reported that sera of mice vaccinated with  $\Delta 16\text{ECTM}$  phages and Ep6-11  $\Delta 16\text{ECTM}$  phages hold a significant ADCC activity. Vaccination with  $\Delta 16\text{ECTM}$  and Ep6-11  $\Delta 16\text{ECTM}$  phages also recruited CD3<sup>+</sup> cells to the tumor.

The phage-based vaccines that we developed and described here specifically target  $\Delta 16\text{HER2}$ . Although the antitumor performances of anti-HER2 phage-based vaccines might be further improved by increasing the number of boosts or combining DNA and phage administration, these data support the use of phage-display systems in the clinical management of HER2<sup>+</sup> breast cancer patients, both as anticancer vaccines and for diagnostic analytics to detect  $\Delta 16\text{HER2}$  antibodies in the serum of breast cancer patients.

## Disclosure of Potential Conflicts of Interest

No potential conflicts of interest were disclosed.

## Authors' Contributions

**Conception and design:** C. Bartolacci, C. Andreani, C. Marchini, A. Amici  
**Development of methodology:** C. Bartolacci, C. Andreani, C. Curcio, S. Occhipinti, L. Massaccesi, C. Marchini, A. Amici  
**Acquisition of data (provided animals, acquired and managed patients, provided facilities, etc.):** C. Bartolacci, C. Andreani, C. Curcio, R. Galeazzi, M. Iezzi, M. Tilio, V. Gambini  
**Analysis and interpretation of data (e.g., statistical analysis, biostatistics, computational analysis):** C. Bartolacci, C. Andreani, C. Curcio, L. Massaccesi, M. Giovarelli, R. Galeazzi, M. Iezzi, C. Marchini, A. Amici



**Writing, review, and/or revision of the manuscript:** C. Bartolacci, C. Andreani, S. Occhipinti, L. Massaccesi, M. Giovarelli, R. Galeazzi, J. Wang, C. Marchini, A. Amici

**Administrative, technical, or material support (i.e., reporting or organizing data, constructing databases):** C. Bartolacci

**Study supervision:** C. Marchini, A. Amici

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## Correction: Phage-Based Anti-HER2 Vaccination Can Circumvent Immune Tolerance against Breast Cancer



In the original version of this article (1), Cristina Marchini and Augusto Amici were not properly credited as co-last authors. This error has been corrected in the latest online HTML and PDF versions of the article. The publisher regrets this error.

### Reference

1. Bartolacci C, Andreani C, Curcio C, Occhipinti C, Massaccesi L, Giovarelli M, et al. Phage-based anti-HER2 vaccination can circumvent immune tolerance against breast cancer. *Cancer Immunol Res* 2018;6:1486–98.

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