Table 1. Characteristics of subjects positive for EML4-ALK by the RT-PCR diagnostic system.

Identification number	Sex/ age, y	Pathologic classification	Specimen type	EML4-ALK variant	Smoking history (pack-years)	TNM classification	Clinical stage	iAEP	EGFR mutation	KRAS mutatio
·····				***************************************					mucation	matatio
J-#1	M/27	Adenocarcinoma	Spulum (2 different time points)	E13;A20	0	cT4N3M1	4	+	-	_
J-#4	F/39	Adenocarcinoma	Metastatic lymph node	E20;A20	NA	cTxN3M1	4	+		
J-#7	M/74	Adenocarcinoma	Bronchial washing fluid	E13;A20	50	cT4N3M1	4	ND	***	the .
J-#12	F/56	Adenocarcinoma	Resected tumor	E13;A20	0	cT1N0M0	1A	+		ND
J-#53	M/48	Adenocarcinoma	Tumor biopsy/sputum	E13;A20	0	cT3N2M1	4	+	an-	
J-#88	F/37	Adenocarcinoma	Pleural effusion	E13;A20	0	cT4N3M1	4	ND	149	1 ke
J-#127	F/49	Adenocarcinoma	Tumor biopsy	E6a/b;A20	0.9	cT1N2M1	4	+	res.	***
J-#189	F/37	Adenocarcinoma	Resected tumor	E14::ins2;	0	cT2N1M1	4	+	_	-
				ins56A20						
J-#210	F/37	Adenocarcinoma	Resected tumor	E13;A20	0	cT4N2M1	4	ND		***
J-#215	F/61	Adenocarcinoma	Sputum	E13;A20	82	cT4N2M1	4	ND		_
J-#330	M/72	Adenocarcinoma	Pleural effusion/resected	E13;A20	0	cT4N1M1	4	+		-
			tumor (2 different regions)							
J-#350	F/53	Adenocarcinoma	Pleural effusion	E13;A20	0	cT4N2M0	3B	ND		
J-#378	F/78	Adenocarcinoma	Resected tumor	E13;A20	0	cT1N0M0	1A	ND	985	****
J-#385	F/80	Adenocarcinoma	Pleural effusion	E6a/b;A20	0	cT4N3M1	4	ND	***	
J-#391	F/55	Adenocarcinoma	Tumor biopsy	E13;A20	16.5	cT2N2M1	4	-}-	*10*	ND
J-#392	F/38	Adenocarcinoma	Tumor biopsy	E13;A20	34	cT4N2M0	3B	+	***	ND
J-#393	F/42	Adenocarcinoma	Tumor biopsy	E13;A20	0	cT4N3M1	4			ND
J-#409	F/35	Adenocarcinoma	Tumor biopsy	E13;A20	0	cT4N0M0	3B	+	_	
J-#422	M/69	Adenocarcinoma	Tumor biopsy	E6a/b;A20	0	cT2N2M0	3A	ND	-	_
J-#450	F/30	Adenocarcinoma	Bronchial washing fluid	E6a/b;A20	0	cT4N2M1	4	+	-	****
J-#530	F/55	Adenocarcinoma	Bronchial washing fluid	E13;A20	0	cT1N1M1	4	+	+	ND
J-#646	F/36	Adenocarcinoma	Bronchial washing fluid	E6a/b;A20	0	cT2N3M0	3B	ND	200	
J-#657	F/62	Adenocarcinoma	Bronchial washing fluid	E13;A20	15	cT4N2M0	3B	ND	Wild .	
J-#759	F/32	Adenocarcinoma	Resected tumor	E13;A20	12	cT1N0M0	1A	ND	***	
J-#771	M/32	Adenocarcinoma	Tumor biopsy	E6a/b;A20	15	cT1N3M1	3B	ND	***	
J-#817	M/33	Adenocarcinoma	Pleural effusion	E13;A20	0	cT2N1M1	4	ND		
J-#848	M/57	Adenocarcinoma	Bronchial washing fluid	E18;E20	0	cT4N2M0	38	ND	***	10.0
J-#887	F/32	Adenocarcinoma	Bronchial washing fluid	E6a/b;A20	0	cTxN3M1	4	ND	ner-	ND
J-#927	M/36	Adenocarcinoma	Bronchial washing fluid	E6a/b;A20	30	cT4N3M1	4	-	-	_
J-#928	F/71	Adenocarcinoma	Bronchial washing fluid	E6a/b;A20	0	cT4N3M1	4	ND		
I-#996	M/52	Adenocarcinoma	Bronchial washing fluid	E6a/b;A20	0	cT3N3M0	3B	ND		
J-#1001	F/32	Adenocarcinoma	Bronchial washing fluid	E13;A20	6.5	cT2N2M1	4	+		

Abbreviations: F, female; M, male; NA, not available; ND, not determined

CTGTGGAGGCTGAACTGGATC-3' and 5'-TCATCAACAA-GCTCCACGGTG-3') specific for the human ribonuclease P (RNase P) gene (GenBank accession number NM_005837). Given that we previously showed that the abundance of RNase P mRNA is similar to that of *EML4-ALK* mRNA in NSCLCs (data not shown), we used the successful amplification of RT-PCR products for RNase P as a threshold for selection of specimens for further analysis. Exclusion of small cell lung cancer specimens and filtering on the basis of RNase P mRNA abundance resulted in the isolation of 808 specimens of primary NSCLCs obtained from 754 individuals.

As shown in Supplementary Fig. S1, bronchial washing fluid, including bronchoalveolar lavage fluid and washing fluid for the brush, needle, forceps, and other implements used in bronchoscopy, constituted 66.3% of the 808 eligible samples, with the remaining specimens including pleural effusion (12.8%); surgically resected tumor (7.05%); sputum (4.33%); tumor biopsy tissue including that obtained

by transbronchial lung biopsy and transbronchial needle aspiration (3.71%); peripheral blood (3.71%); cardiac effusion, spinal fluid, or ascites (1.36%); and metastatic lesions of NSCLCs (0.74%).

Multiplex RT-PCR analysis of EML4-ALK and KIF5B-ALK

Each specimen (with the exception of resected tumors) was mixed with an equal volume of RLT buffer at the Institute at which it was harvested. The resulting mixture was sent to Jichi Medical University, where DNA and RNA were extracted with the use of an automated BioRobot EZ1 workstation (Qiagen). The isolated RNA was subjected to RT with a ReverTra Ace qPCR RT kit (Toyobo), and the resulting cDNA was subjected to PCR for 50 cycles of incubation at 94°C for 15 seconds, 60°C for 30 seconds, and 72°C for 1 minute with AmpliTAQ Gold DNA polymerase (Applied Biosystems) and with 2 µmol/L of each of the following

primers: F-1, 5'-GCTTTCCCCGCAAGATGGACGG-3'; F-2, 5'-TACCAGTGCTGTCTCAATTGCAGG-3'; F-3, 5'-GTGCA-GTGTTTAGCATTCTTGGGG-3'; F-4, 5'-AGCTACATCACA-CACCTTGACTGG-3'; F-5, 5'-TCAAGCACATCTCAAGAG-CAAGTG-3'; F-6, 5'-ATCCTGCGGAACACTATTCAGTGG-3'; F-7, 5'-GACAGTTGGAGGAATCTGTCGATG-3'; F-8, 5'-CAGCTGAGAGAGTGAAAGCTTTGG-3'; and R-1, 5'-TCTT-GCCAGCAAAGCAGTAGTTGG-3'. All PCR products were subjected to Sanger sequencing to confirm the presence of *EML4-ALK* or *KIF5B-ALK* cDNA.

Results

Multiplex RT-PCR system

In addition to the original *EML4-ALK* fusion cDNA in which exon 13 of *EML4* is fused to exon 20 of *ALK* in an inframe manner (designated the E13;A20 variant by analogy with karyotype nomenclature; see http://atlasgeneticsoncology.org/Tumors/inv2p21p23NSCCLungID5667.html), 14 different variants of *EML4-ALK* have been described (1, 14, 21–27). Seven exons of *EML4* are theoretically capable of in-frame fusion with exon 20 of *ALK* (Fig. 1A), and all but the E1;A20 variant would be expected to produce an oncogenic EML4-ALK protein, given that the coiled-coil domain encoded by exon 2 is required for constitutive dimerization of EML4-ALK. In addition, 6 different exons of *KIF5B* are theoretically capable of inframe fusion with exon 20 of *ALK* (Fig. 1A).

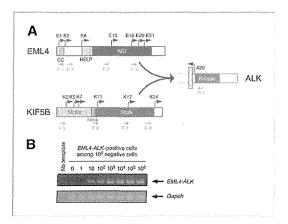


Figure 1. Multiplex RT-PCR system for detection of EML4-ALK and KIF5B-ALK. A, schematic representation of the structure of EML4, KIF5B, and ALK proteins. The positions of exons (E for EML4 and K for KIF5B) theoretically capable of fusing in-frame to exon 20 (A20) of ALK are indicated by arrows. The positions of 8 forward primers (F-1 to F-8) and 1 reverse primer (R-1) for PCR are also indicated below the corresponding proteins. EML4 contains a coiled-coil domain (CC), a hydrophobic EMAP-like protein domain (HELP), and WD repeats (WD). KIF5B consists of an amino-terminal ATP-dependent motor $\mathop{\mathtt{domain}}\nolimits$, a neck region, and a stalk region. B, various numbers (0 to 1 \times 10 6) of EML4-ALK (E13;A20)– positive BA/F3 cells (1) were mixed with a fixed number (1 × 10°) of EML4-ALK-negative BA/F3 cells, and each mixture was analyzed with our multiplex RT-PCR system. A cDNA for mouse glyceraldehyde-3phosphate dehydrogenase (Gapdh) was also amplified by PCR as an internal control with the primers 5'-TGTGTCCGTCGTGGATCTGA-3' and 5'-CCTGCTTCACCACCTTCTTGA-3'.

To detect any such EML4-ALK or KIF5B-ALK fusion mRNAs, we developed a multiplex RT-PCR system. We had previously screened our archive of frozen tumors by RT-PCR analysis with 2 forward primers targeted to EML4 and 1 reverse primer targeted to ALK (24), but such PCR conditions resulted in the amplification of products as large as \sim 1,300 bp for some variants. In this prospective study, we were faced with the analysis of a large number of samples with different levels of RNA quality. If the size of PCR products varied substantially among different EML4-ALK or KIF5B-ALK variants, some variants with large PCR products might not be amplified efficiently from specimens with low RNA quality. To be able to diagnose all possible fusions even with such samples, we therefore designed 4 forward primers for each of EML4 and KIF5B so that the size variation among all possible RT-PCR products is minimal (Fig. 1A). This new multiplex system faithfully detected all known fusion variants from EML4-ALK-positive specimens in our previous archive of NSCLCs (data not shown)

To examine the sensitivity of our RT-PCR system, we mixed *EML4-ALK*—expressing BA/F3 cells (0 to 1×10^6) with *EML4-ALK*—negative cells (1×10^6) and then subjected them to RT-PCR analysis. A fusion cDNA was readily identified even with 10 positive cells (0.001%) among 1×10^6 negative cells (Fig. 1B), showing the high sensitivity of the RT-PCR system.

To confirm the potential of our RT-PCR-based system, we compared it with a sensitive immunohistochemical approach and with FISH for the diagnosis of our archive of surgically resected and freshly frozen tumors with high RNA quality. Fifteen NSCLC specimens that previously stained positive by our sensitive immunohistochemical approach, which is based on an intercalated antibodyenhanced polymer (iAEP) method (14), were analyzed by RT-PCR and FISH together with 96 iAEP-negative specimens in a blinded manner. RT-PCR analysis of all these specimens (n = 111) yielded a diagnosis identical to that obtained with the iAEP method ($P = 7.3 \times 10^{-19}$, Fisher exact test; data not shown). Analysis of the same sample set by a split FISH assay with Vysis probes (Abbott Laboratories) revealed that all of the iAEP-positive cases showed a rearranged ALK locus, whereas one iAEP-negative sample gave a discordant result (negative by iAEP and RT-PCR but positive by FISH; Supplementary Fig. S2). The reason for this discrepant result remains unclear, but the multiple signals obtained with the 3'-ALK probe in the FISH analysis are indicative of amplification of the ALK gene or its adjacent region. Despite this discrepancy, the RT-PCR and iAEP data were highly concoordant with the FISH results ($P = 1.2 \times 10^{-17}$, Fisher exact test). Compared with the iAEP method, therefore, both the sensitivity and specificity of our RT-PCR system were 100%. In comparison with the Vysis FISH, the sensitivity and specificity of RT-PCR were 93.8% and 100%, respectively.

Detection of EML4-ALK

Screening of the 808 eligible specimens with our multiplex RT-PCR system identified positive products in 36 samples (4.46%) obtained from 32 different individuals

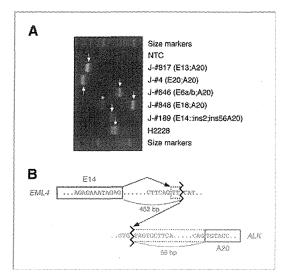


Figure 2. Multiplex RT-PCR detection of EML4-ALK-positive NSCLCs. A, RT-PCR products for each of the EML4-ALK variants identified in our cohort were separated by agarose gel electrophoresis. RT-PCR products spanning the EML4-ALK fusion points are indicated by arrows; the asterisk indicates a nonspecific product. An NSCLC cell line, H2228, harboring the E6a/b;A20 variant of EML4-ALK was used as a positive control for the PCR reaction. Size markers include a 50-bp DNA ladder (Invitrogen). NTC, no-template control. B, genomic structure of the fusion point for a novel variant of EML4-ALK. Nucleotide sequencing of the genomic PCR and RT-PCR products from patient J-#189 revealed that exon 14 of EML4 (blue) was spliced to a TT sequence adjacent to the genomic ligation point, with transcription continuing in an in-frame manner into intron 19 and exon 20 of ALK (fed).

(4.24%; Table 1, Fig. 2A). Nucleotide sequencing of each PCR product identified 19 cases positive for the E13;A20 variant, 10 cases for E6a/b;A20, a single case each for E18; A20, E20;A20, and a novel variant. *EML4-ALK* was detected in a wide range of specimens including bronchial washing fluid (n = 11), tumor biopsy (n = 8), resected tumor (n = 7), pleural effusion (n = 5), sputum (n = 4), and metastatic lymph node (n = 1). We did not detect any *KIF5B-ALK* cDNAs, confirming the rarity of this fusion gene.

Importantly, an E13;A20 product was consistently identified in both of the sputa obtained at different time points from patient J-#1. Likewise, an E13;A20 product was detected in both the tumor biopsy and sputum from patient J-#53 as well as in the pleural effusion and 2 resected tumor specimens from patient J-#330, supporting the reliability of our RT-PCR approach.

Sequence determination for the RT-PCR product from patient J-#189 revealed that exon 14 of *EML4* was fused to exon 20 of *ALK* with an intervening sequence. Genomic PCR analysis of the J-#189 specimen with a forward primer targeted to exon 14 of *EML4* and a reverse primer targeted to exon 20 of *ALK* yielded a specific product, nucleotide sequencing of which revealed that a position 453 bp downstream of *EML4* exon 14 was ligated to a position 56 bp upstream of *ALK* exon 20 (Fig. 2B). In the transcript of this

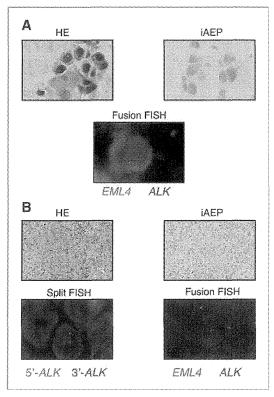


Figure 3. Specimens positive for *EML4-ALK* by RT-PCR but negative by iAEP-based IHC and by FISH. Sections of tumor biopsy specimens for J-#393 tumor (A) and J-#927 (B) were stained with hematoxylin-eosin (HE), subjected to immunohistochemical analysis by the iAEP method, and examined by split or fusion FISH. The color of fluorescence for the probes in each hybridization is indicated below the FISH images. Nuclei are stained blue with 4',6-diamidino-2-phenylindole (DAPI).

fusion gene, exon 14 of *EML4* is thus spliced to a TT sequence that is located within *EML4* intron 14 and which is directly ligated to intron 19 of *ALK*. This splicing event results in an in-frame fusion between the mRNA sequences derived from *EML4* and *ALK*. Furthermore, a full-length cDNA for this variant, here designated E14::ins2;ins56A20, was isolated by RT-PCR analysis (Supplementary Fig. S3), and the potent transforming ability of the encoded protein was confirmed with an *in vitro* focus formation assay (Supplementary Fig. S4).

Comparison between multiplex RT-PCR and sensitive

Finally, we applied the iAEP method to the EML4-ALK-positive cases for which FFPE specimens were also available (n=15). All but 2 cases (J-#393 and J-#927) manifested clear immunoreactivity with antibodies to ALK (Table 1). FISH analysis of these 2 specimens also failed to detect the EML4-ALK rearrangements (Fig. 3). Given that genomic DNA was not available for the tumor of patient J-#393, we

were not able to determine whether the PCR result was a false-positive. For J-#927, however, PCR analysis of genomic DNA with a forward primer targeted to *EML4* exon 6 and a reverse primer to *ALK* exon 20 resulted in the amplification of an approximately 8.8-kbp genomic fragment, nucleotide sequencing of which revealed a fusion event between intron 6 of *EML4* and intron 19 of *ALK* (Supplementary Fig. S5). Isolation of the genomic fusion point thus indicates that J-#927 indeed harbors an *EML4-ALK*-positive tumor.

Discussion

We have conducted a large-scale, prospective screening for EML4-ALK with an RT-PCR-based approach. Whereas RNA extraction and cDNA synthesis add extra labor to the diagnostic procedure, certain introns of EML4 are too large (intron 6 spans >16 kbp, for instance) for reliable amplification by genomic PCR. We therefore adopted RT-PCR as the method for our prospective screening. Specific PCR products were successfully isolated from different types of specimen, even from sputum (J-#1, J-#53, J-#215) and washing fluid of a tumor biopsy needle (J-#530). Multiple positive results obtained with different specimens of the same individuals further reinforce the reliability of our multiplex RT-PCR system as a diagnostic tool for EML4-ALK-positive tumors. Importantly, a subset of EML4-ALKpositive individuals diagnosed in the present study entered a clinical trial for crizotinib, and the response rate of the evaluable patients (n = 9) was 100% with this drug, again verifying the accuracy of our RT-PCR-based diagnosis.

The frequency of *EML4-ALK* in our cohort was 4.24% for all NSCLC cases and 6.11% for lung adenocarcinoma, values similar to those obtained in previous studies (20, 21). However, our prevalence data might be overestimates because the knowledge of mutual exclusiveness for *EML4-ALK* and *EGFR* mutations may have affected patient selection for our specimen collection. Indeed, *EGFR* mutation frequency among our cohort (23.8%) is slightly lower than that (30.9%) determined in a previous large-scale screening in Japan (28).

The clinicopathologic features of patients with *EML4-ALK*-positive tumors determined in the present study are also in agreement with those previously described, with a bias toward a young age, adenocarcinoma histology, and never or light smoking. Whereas a previous large-scale screening for *EML4-ALK* based on FISH did not detect a sex preference for the fusion gene (7), our cohort revealed a significant female preference. Such a sex difference was evident even among individuals below 40 years of age (P = 0.03, Fisher' exact test) and among those with an adenocarcinoma histology (P = 0.005, Fisher' exact test). Further large-scale studies are warranted to determine whether this uneven sex distribution of *EML4-ALK* is related to particular clinicopathologic features or ethnic groups.

Given that *EML4-ALK* and *EGFR* mutations are almost mutually exclusive and that the fusion gene is enriched in lung adenocarcinoma with an early onset, it should prove to

be clinically beneficial to pay special attention to such subsets of patients. Indeed, *EML4-ALK* was detected in 27.7% of *EGFR* mutation–negative adenocarcinomas in individuals of younger than 50 years and in 50.0% of those in individuals of younger than 40 years in our cohort. Given the marked efficacy of ALK inhibitors in patients with *EML4-ALK*—positive NSCLCs (7), however, physicians should not dismiss the diagnosis in other subsets of patients. For example, *EML4-ALK* was even detected in an 80-year-old woman and in another woman with an intense smoking history (82 pack-years; Table 1).

Multiplex RT-PCR has both advantages and disadvantages compared with other techniques. Importantly, the accuracy of RT-PCR-based diagnosis depends markedly on the RNA quality of specimens. In our cohort, for instance, 71 (7.75%) of the initial 916 specimens were excluded from *EML4-ALK* screening because of a failure to obtain PCR products for RNase P (the other 37 samples were excluded because they were not NSCLCs). Low RNA quality thus clearly hampers reliable RT-PCR-based diagnosis.

Also, as expected, there was a large variation in the PCR cycle number required for successful amplification among specimens. In our cohort, 50 cycles of PCR allowed detection of PCR products for all positive cases, but such extensive amplification may also generate nonspecific products (as shown in Fig. 2A). Further optimization of primer sequences or combinations may minimize the generation of such byproducts. Furthermore, whereas our system should be able to capture all in-frame fusions of ALK to EML4 or KIF5B, it is not capable in its present form of detecting ALK fusions to other partners, such as KLC1-ALK, which was recently shown to be present infrequently in NSCLCs (29).

On the other hand, RT-PCR can be readily applied to specimens such as sputum, bronchial washing fluid, or pleural effusion that may not be suitable for preparation of FFPE samples. Whereas the latter 2 specimen types can be used for the preparation of cell blocks suitable for analysis by FISH or IHC, this procedure may not be as widely adopted in the clinic as is FISH or IHC. More importantly, it is difficult to generate cell blocks or FFPE samples from sputum. Our current prospective screening identified 4 EML4-ALK-positive sputa of 35 samples (Table 1, Supplementary Fig. S1), showing that sputum is a suitable specimen for RT-PCR analysis. Indeed, sputum was the only available specimen from patient J-#215 both for the diagnosis of NSCLCs and for the detection of EML4-ALK. If RT-PCR had not been applied to this patient's sputum, we would not have been able to identify her tumor as positive for EML4-ALK, and she would not have had the chance to receive treatment with an ALK inhibitor in Japan.

Furthermore, PCR-based detection of *EMLA-ALK* should have a higher analytic sensitivity compared with IHC or FISH (Fig. 1B). Even with sputum obtained from a patient with chronic bronchitis, RT-PCR was able to readily detect *EML4-ALK* at a concentration of 10 positive cells/mL (1). Thus, provided that RNA is not substantially degraded, RT-PCR-based diagnosis is expected to have a strong advantage

with regard to the detection of low numbers of EML4-ALKpositive cells.

Ideally, every NSCLC case should be examined for the presence of EML4-ALK, with a sensitive and accurate diagnostic strategy for the oncogenic fusion being essential for the adoption of ALK inhibitors in the clinic. Given the reliable detection of EML4-ALK mRNA by multiplex RT-PCR shown in the present study, we propose the following scheme for the comprehensive diagnosis of EML4-ALKpositive NSCLCs. For sputum, bronchial lavage fluid, pleural effusion, or other specimens that may not be suitable for the preparation of FFPE tissue, multiplex RT-PCR should be applied to detect ALK fusion mRNAs. In contrast, given that FFPE specimens usually have fragmented RNA, they should be subjected to FISH and to sensitive immunohistochemical analysis such as that described previously (14, 15). Furthermore, FISH or IHC can be applied to cell blocks prepared from some non-FFPE specimens. No single technique is therefore able to detect EML4-ALK in all types of specimen, and appropriate tests should be chosen on the basis of the specimens available for a given patient.

Disclosure of Potential Conflicts of Interest

H. Mano is the CEO of CureGene Co., Ltd.; has commercial research grant from Illumina, Inc. and Astellas Pharma Inc.; has ownership interest (including patents); and is on the consultant/advisory board of Chugai Pharma

ceutical, Astellas Pharma Inc., and Daiichi Sankyo Co., Ltd. No potential conflicts of interest were disclosed by the other authors.

Authors' Contributions

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Acquisition of data (provided animals, acquired and managed patients, provided facilities, etc.): M. Soda, K. Isobe, A. Inoue, S. Oizumi, Y. Fujita, A. Gemma, Y. Yamashita, K. Takeuchi, H. Miyazawa, T. Tanaka, K. Hagiwara Analysis and interpretation of data (e.g., statistical analysis, biostatistics, computational analysis): M. Soda, T. Ueno, H. Mano

Writing, review, and/or revision of the manuscript: S. Oizumi, A. Gemma, K. Hagiwara, H. Mano

Administrative, technical, or material support (i.e., reporting or organizing data, constructing databases): M. Maemondo, K. Takeuchi,

Study supervision: H. Mano

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Material

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