independent clinical research coordinators using a computer-generated randomization list prepared by a statistician with no clinical involvement in the trial.

Study patients

This study population included treatment-naïve Japanese patients aged 20 or over with HIV-1 infection who met the eligibility criteria for the commencement of antiretroviral therapy according to the DHHS Guidelines in place in the U.S. at the time of the writing of the study protocol (a CD4 count <350/μL or a history of AIDS-defining illness regardless of the CD4 count) (23). Patients were screened and excluded if they had previously taken lamivudine, tested positive for hepatitis B surface antigens, had comorbidities such as hemophilia or diabetes mellitus that required medical treatment, congestive heart failure or cardiac myopathy or if they were considered not suitable for enrollment by the attending physicians. Candidates were also excluded if their alanine aminotransferase level was 2.5 times greater than the upper limit of normal, they had an estimated glomerular filtration rate (eGFR) calculated using the Cockcroft-Gault equation of <60 mL/min, {creatinine clearance = [(140- age) × weight (kg)]/(serum creatinine ×72)(×0.85 for females)} or a serum phosphate level <2 mg/dL or had active opportunistic diseases that required treatment (24). Each patient's actual body weight was used for the calculation of eGFR. At screening, a genotypic drug resistant test and screening for the HLA-B*5701 allele were permitted but not required because the prevalence of both the drug resistant virus and the HLA-B*5701 allele are low in Japanese patients (7, 25). Medical history, including a history of AIDS-defining illnesses and other comorbidities, was also collected. Enrollment stopped on March 3, 2008 due to the recommendation from the DSMB of the trial based on the interim analysis of the ACTG5202 that ABC/3TC is less effective than TDF/FTC in patients with a baseline viral load >100,000 copies/mL (3). Accordingly, the DSMB recommended that the trial should be restarted with modified inclusion criteria: to enroll patients with an HIV-1 viral load of <100,000 copies/mL at screening, and the enrollment restarted from April 1, 2008.

Study procedures

Required visits for participants for clinical and laboratory assessments were at screening, enrollment and every 4 weeks until the viral load diminished to <50 copies/mL. For patients with a viral load <50 copies/mL, the required visit interval was every 12 weeks for the duration of the study. The evaluation performed at each visit included a physical examination, CD4 cell count, HIV-1 RNA viral load, a complete blood cell count and blood chemistries (total bilirubin, alanine aminotransferase, lactate dehydrogenase, serum creatinine, potassium, phosphate, triglycerides and low-density lipoprotein (LDL) cholesterol) and a urine examination of the levels of phosphate, creatinine and β2 microglobulin. The values of urinary β2 microglobulin were expressed relative to a urinary creatinine level of 1 g/L (/g Cr). The per-

cent tubular resorption of phosphate was calculated using the following formula: {1-[(urine phosphate × serum creatinine)/(urine creatinine × serum phosphate)]} ×100 (26). All data, including the HIV-1 RNA viral load, were collected at each participating site and sent to the data center. Grade 3 or 4 serious adverse events were reported to the DSMB, which made a judgment whether they were caused by the study drugs. Independent research coordinators at the data center visited at least 10 facilities every year to monitor the accuracy of the submitted data and compliance to the study protocol. All authors vouch for the completeness and accuracy of the reported data.

Statistical analysis

The sample size calculation was originally conducted as follows: Assuming a 90% success rate in the TDF/FTC arm at week 48, a sample size of 224 patients (112 patients per arm) provided 80% power (one sided, $\alpha=0.05$) to establish non-inferiority of ABC/3TC to TDF/FTC each in combination with ATV/r. Non-inferiority was defined as the lower bound of the two-sided 95% confidence interval (CI) with the treatment difference being above -10%. Based on this assumption, the targeted sample size was set to 240 patients (120 in each arm). However, as previously described, due to the shortage of accrued subjects, this study was underpowered and conducted as a pilot trial.

The primary efficacy endpoint was the time from randomization to virologic failure (defined as a confirmed HIV-1 RNA >1,000 copies/mL at or after 16 weeks and before 24 weeks or >200 copies/mL at or after 24 weeks) (3). The secondary efficacy endpoints included the time from randomization to either virologic failure or ART modification and a comparison of the proportions of patients with HIV-1 RNA <50 copies/mL at weeks 48 and 96 regardless of previous virologic failure. The intent-to-treat (ITT) population comprising all randomized subjects was used to assess the efficacy data; however, a comparison of the proportion of virologically-suppressed patients was conducted with both the ITT and a per protocol population while on the initial randomized regimen.

The safety endpoint was the time from randomization to the first occurrence of grade 3 or 4 laboratory data or abnormal symptoms that were at least one grade higher than the baseline. Isolated hyperbilirubinemia was excluded from the safety endpoints. The grade of adverse events was classified according to the Division of AIDS Table for grading the severity of adult and pediatric events, version 2004 (27). The tolerability endpoint was the time from randomization to any regimen modification. The safety and tolerability endpoints were calculated in the ITT population. Changes per protocol in the CD4 cell count, lipid markers and renal tubular markers at weeks 48 and 96 were compared using the Mann-Whitney test. A repeated measures mixed model was used to estimate and compare changes in the renal function between the two arms (17). The renal function was calculated using the Modification of Diet in Renal Disease study
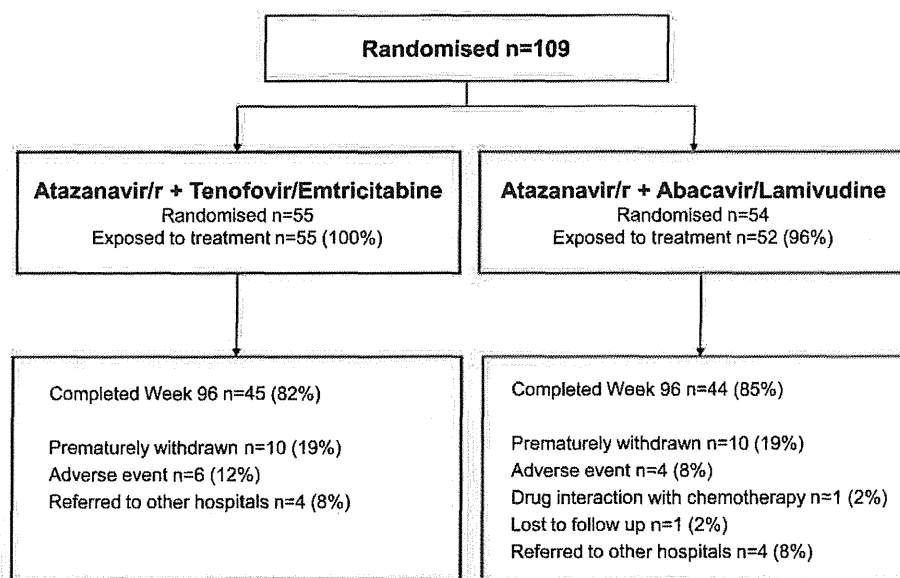
Figure 1.   Enrollment, randomization and disposition of patients.

Table 1.   Demographic and Baseline Characteristics

	ABC/3TC (n=54)	TDF/FTC (n=55)	Total (n=109)
Sex (male), n (%)	53 (98.1)	54 (98.2)	107 (98.2)
Age (years)†	39 (28.8-44)	35 (29-42)	36 (29-42.5)
CD4 count (/µL)†	236.5 (194-301.3)	269 (177-306)	257 (194-305)
HIV RNA viral load (log$_{10}$/mL)†	4.29 (3.92-4.67)	4.28 (3.86-4.60)	4.28 (3.89-4.67)
HIV RNA viral load >100,000 log$_{10}$/mL, n (%)	1 (1.9)	0 (0)	1 (0.9%)
Route of transmission (homosexual contact), n (%)	47 (87)	49 (89.1)	96 (88.1)
History of AIDS n (%)	1 (1.9)	5 (9.1)	6 (5.5)
Body weight (kg)†	64 (59-72.1)	63.1 (58-69)	64 (58.3-70.7)
Body mass index (kg/m^2)†	22.6 (20.4-24.2)	21.9 (20.3-23.6)	22.4 (20.3-23.7)
eGFR (mL/min/1.73 m^2)†	96.9 (82.7-107.3)	94.4 (83.6-105.7)	96.7 (83.0-106.7)
Creatinine clearance (mL/min)†	119.3 (105.4-136.6)	124.6 (103-139.3)	120.3 (104.7-138.3)
Serum creatinine (mg/dL)†	0.76 (0.67-0.83)	0.75 (0.68-0.84)	0.76 (0.68-0.83)
Urinary β2 microglobulin (µg/g Cre)†	195.8 (98.3-505.3)	138.4 (86.8-426.4)	172.9 (88.3-458.7)
Tubular resorption of phosphate (%)†	92.9 (90-95.1)	92.3 (87.7-95.2)	92.7 (89.3-95.1)
LDL-cholesterol (mg/dL)†	91.5 (75-125.5)	94 (72.5-111.5)	94 (74.5-114)
Triglycerides (mg/dL)†	132 (98-170.5)	114 (73-184)	127 (85.5-175)
Hypertension, n (%)	3 (5.6)	1 (1.8)	4 (3.7)
Diabetes mellitus, n (%)	0 (0)	0 (0)	0 (0)
Concurrent use of nephrotoxic drugs, n (%)	10 (18.5)	10 (18.2)	20 (18.3)
Hepatitis C, n (%)	0 (0)	0 (0)	0 (0)

†median (interquartile range)

IQR: interquartile range, AIDS: acquired immunodeficiency syndrome, eGFR: estimated glomerular filtration rate, LDL: low-density lipoprotein

equation adjusted for the Japanese population (28), and a sensitivity analysis was conducted using the above mentioned Cockcroft-Gault equation.

Time-to-event distributions were estimated using the Kaplan-Meier method and compared using the two-sided log-rank test. Hazard ratios (HRs) and 95% confidence intervals (95% CIs) were estimated using the Cox proportional hazards model. For grade 3 or 4 serious adverse events caused by the study drugs, the description and severities were recorded. Statistical significance was defined at two-sided p values <0.05. All statistical analyses were performed with The Statistical Package for Social Sciences ver. 17.0 (SPSS, Chicago, IL).
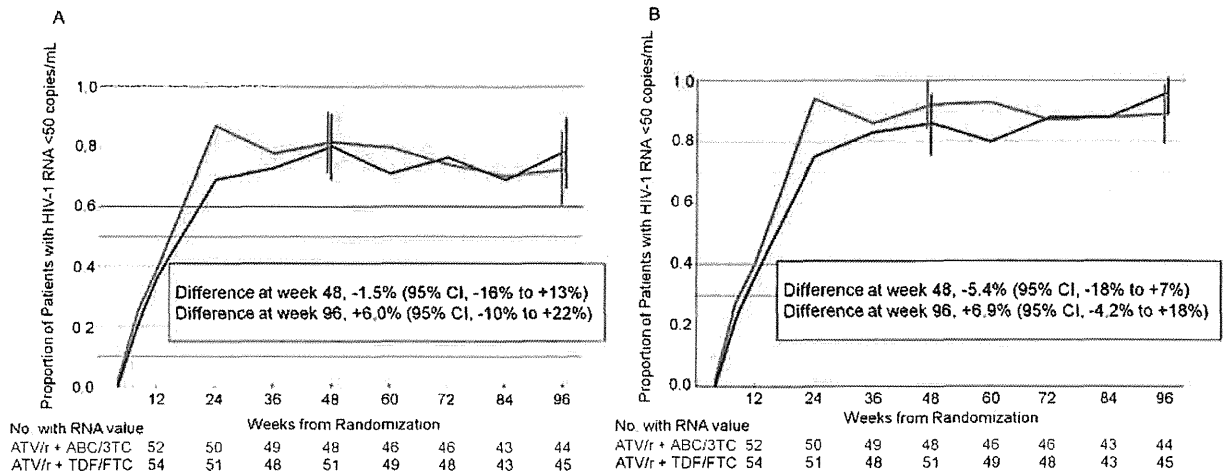
Results

Patient disposition and baseline characteristics

109 patients from 18 centers were enrolled and randomized between November 2007 and March 2010. Of these patients, 54 and 55 were allocated to the ABC/3TC and TDF/FTC arms, respectively (Fig. 1). The baseline demographics and characteristics are shown in Table 1. Most patients were men, with a median body weight of 64 kg. The median CD4 cell count was 257/µL (IQR: 194-305). One patient in the ABC/3TC arm had a baseline HIV-1 RNA level of >100,000
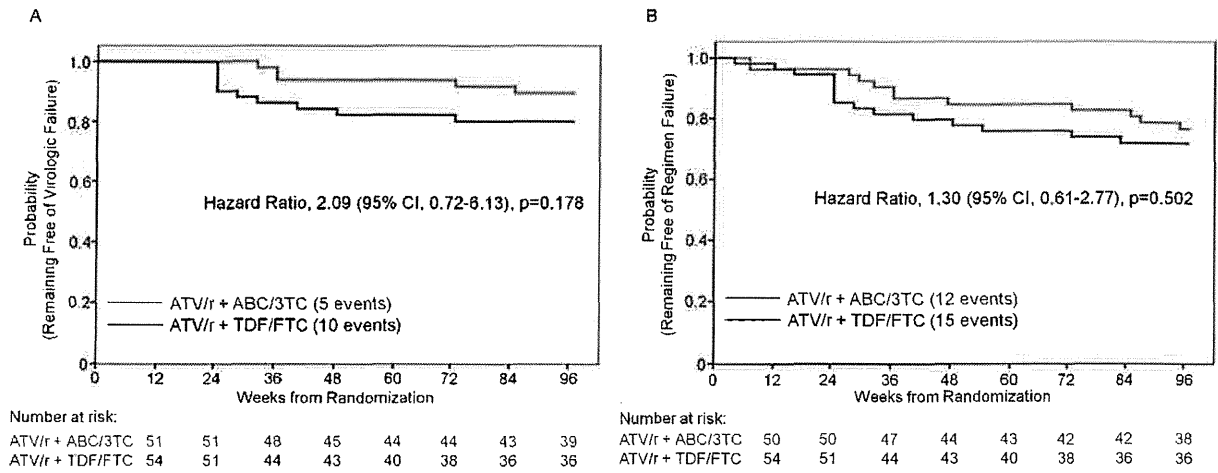
Figure 2. Efficacy results over 96 weeks. (A) Time to protocol-defined virologic failure. (B) Time to the first occurrence of either virologic failure or discontinuation of the initially randomized regimen. ATV/r: ritonavir-boosted atazanavir, ABC/3TC: abacavir/lamivudine, TDF/FTC: tenofovir/ emtricitabine


Figure 3. Efficacy results at 48 and 96 weeks. Proportion of patients with an HIV RNA level <50 copies/mL regardless of previous virologic failure with 95% binomial confidence intervals at 48 and 96 weeks. (A) Intention-to-treat analysis. (B) Per protocol analysis. ATV/r: ritonavir-boosted atazanavir, ABC/3TC: abacavir/lamivudine, TDF/FTC: tenofovir/emtricitabine

copies/mL. This patient was enrolled before the announcement of the interim analysis of ACTG5202 in March 2008 and achieved an HIV-1 RNA level of <50 copies/mL by the end of that month. One patient in the TDF/FTC arm had a history of lamivudine use. That patient was included in the analysis because this aspect of the medical history was identified after randomization and initiation of the allocated treatment.

Efficacy results

In the primary efficacy analysis, the time to virologic failure was not significantly different in the ABC/3TC arm from that observed in the TDF/FTC arm by 96 weeks (HR, 2.09; 95% CI, 0.72-6.13; p=0.178). Virologic failure occurred in 5 and 10 patients in the ABC/3TC and TDF/FTC arms, respectively (Fig. 2A). In the secondary efficacy

analysis, the times to the first occurrence of confirmed virologic failure or discontinuation of the initially allocated regimen were not different between the two arms (HR, 1.30; 95% CI, 0.61-2.77; p=0.502) (Fig. 2B). Among the ITT population, the proportion of patients with an HIV RNA level <50 copies/mL at week 48 regardless of previous virologic failure was 81.5% in the ABC/3TC group and 80% in the TDF/FTC group, for a difference of -1.5% (95% CI, -16% to 13%), and at week 96, 72.2% and 78.2% for the ABC/3TC and TDF/FTC groups, respectively, for a difference of 6% (95% CI, -10% to 22%) (Fig. 3A). The per protocol analysis showed that the proportions at week 48 were 91.7% and 86.3% for the ABC/3TC and TDF/FTC groups, respectively, for a difference of -5.4% (95% CI, -18% to 7%). At week 96, the proportions were 88.6% and 95.6% for the ABC/3TC and TDF/FTC groups, respectively, for a
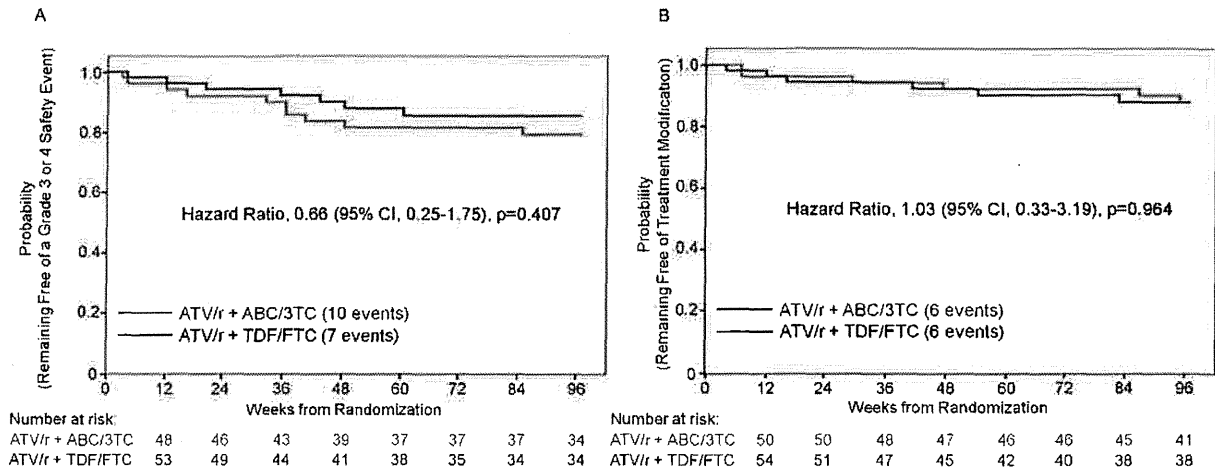
Figure 4.   Safety and tolerability results over 96 weeks. (A) Time to first primary safety endpoint, defined as the first grade 3 or 4 event on the initial randomized regimen, which was at least one grade higher than baseline. (B) Time to tolerability endpoint, defined as the first change in regimen. ATV/r: ritonavir-boosted atazanavir, ABC/3TC: abacavir/lamivudine, TDF/FTC: tenofovir/emtricitabine

Table 2.   Selected Grade 3 or 4 Events While Receiving Randomized Antiretroviral Drugs

	ABC/3TC (n=54)	TDF/FTC (n=55)	Total (n=109)
Overall, n (%)	13 (24)	10 (18)	23 (21)
Laboratory, n (%)	12 (22)	7 (13)	19 (17)
Alanine aminotransferase, n	0	1	1
LDL-cholesterol, n	6	2	8
Triglycerides, n	0	3	3
Uric acid, n	1	0	1
Serum phosphate, n	2	0	2
Serum calcium, n	1	0	1
Serum creatinine, n	1	0	1
Platelets count, n	1	1	2
Symptoms, n (%)	1 (2)	3 (5)	4 (4)
Depression, n	0	2	2
Fever, n	1	1	2

More than one event occurred in 2 patients.
LDL: low-density lipoprotein

difference of 6.9% (95% CI, -4.2% to 18%) (Fig. 3B). The primary and secondary efficacy analyses did not show a significant difference in viral efficacy between the two arms.

Safety and tolerability results

10 (18.5%) and 7 (12.7%) patients in the ABC/3TC and TDF/FTC groups, respectively, experienced 23 grade 3 or 4 adverse events related to the study drugs while on the initial regimen. The time to the first adverse event was not significantly different between the two arms (HR 0.66; 95% CI, 0.25-1.75, p=0.407) (Fig. 4A). Table 2 shows a list of selected grade 3 or 4 safety events. Among the adverse events, 48% included elevation of lipid markers. The tolerability endpoint, the time to first ART modification, was not significantly different between the two arms (HR 1.03; 95% CI, 0.33-3.19, p=0.964), and only 6 (11.1%) and 6 (10.9%) patients in the ABC/3TC and TDF/FTC arms, respectively,

discontinued the initially allocated regimen by 96 weeks (Fig. 4B). The most common reason for regimen modification was drug toxicity (n=10; 4 in ABC/3TC and 6 in TDF/FTC arm; suspected ABC hypersensitivity reactions based on the appearance of rash and fever in HLA-B*5701-negative patient; n=1, depression; n=3, jaundice; n=3, nausea; n=2, and lipodystrophy; n=1). One patient in the ABC/3 TC group developed a cerebral infarction during week 39 but was able to continue the study drugs. No deaths were registered during the study period.

Changes in the CD4 cell count and other parameters of interest

The increase in the median CD4 count from baseline to 48 weeks was marginally larger in the ABC/3TC arm than in the TDF/FTC arm (median: ABC/3TC: 216, TDF/FTC: 192, p=0.107). This difference was significantly larger at 96

Table 3. Median Values of Changes in Parameters of Interest from Baseline to 96 Weeks

	ABC/3TC (n=54)				TDF/FTC (n=55)				
	Number tested (baseline, week 96)	Baseline	Week 96	Median Δ	Number tested (baseline, week 96)	Baseline	Week 96	Median Δ	p value
CD4 cell count (/μL)	54, 43	236.5	545	328	55, 45	269	493	216	0.031
Lipids									
LDL-cholesterol (mg/dL)	54, 16	91.5	149	31.5	53, 16	94	97	2	0.026
Triglyceride (mg/dL)	54, 29	132	257	111	55, 26	114	202	40.5	0.037
Renal tubular markers									
Urinary β2 microglobulin (μg/g Cre)	49, 32	195.8	99.2	-94.9	52, 38	138.4	303.9	86.6	<0.001
Tubular resorption of phosphate (%)	49, 32	93	92	-1.4	50, 36	92	91	-2.6	0.930

LDL: low-density lipoprotein
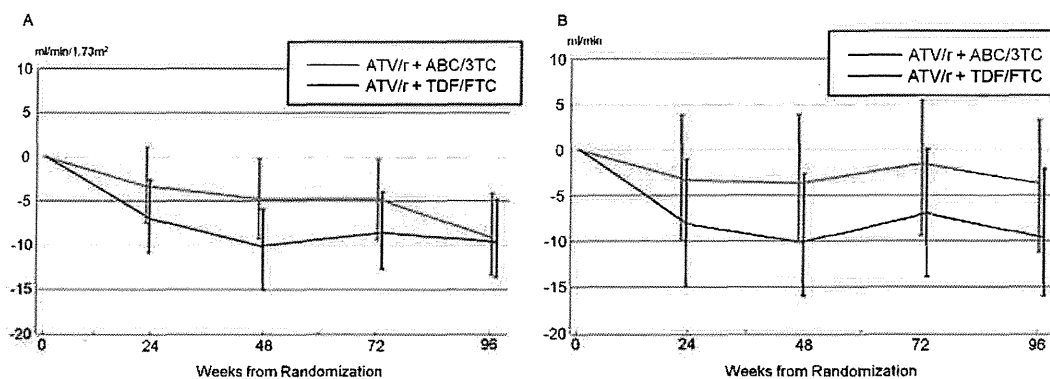
Figure 5.   Changes in the renal function between baseline and 96 weeks. (A) Changes in the estimated glomerular filtration rate calculated with the Modification of Diet in Renal Disease study equation adjusted for the Japanese population. (B) Changes in creatinine clearance calculated with the Cockcroft-Gault equation. The data are presented as the mean±95% confidence interval. ATV/r: ritonavir-boosted atazanavir, ABC/3TC: abacavir/lamivudine, TDF/FTC: tenofovir/emtricitabine

weeks (ABC/3TC: 328, TDF/FTC: 236, p=0.031, Table 3). The increases in both LDL-cholesterol and triglycerides from baseline to 96 weeks were more significant in the ABC/3TC arm than in the TDF/FTC arm. One patient in the TDF/FTC arm had been treated with lipid-lowering medications prior to study enrollment. Furthermore, 7 patients and 1 patient in the ABC/3TC and TDF/FTC arms, respectively, started lipid-lowering agents during the study period. With regard to renal tubular markers, the levels of urinary β2 microglobulin increased in the TDF/FTC arm (median: 86.6 μg/g Cre), whereas it decreased in the ABC/3TC arm (median: -94.9 μg/g Cre). These changes were significantly different between the two arms (p<0.001). On the other hand, tubular resorption of phosphate did not show changes from baseline to 96 weeks in the two groups, and the levels were not different between the two arms (Table 3).

Changes in the renal function

A data analysis using repeated measures mixed models showed a significant decrease in the mean eGFR from baseline to 96 weeks in both groups (ABC/3TC: -8.7 mL/min/1.73 m², 95%CI -13.3 to -4.2, p<0.001; TDF/FTC: -9.2 mL/min/1.73 m², 95%CI -13.7 to -4.7, p<0.001) (Fig. 5A). There was no significant interaction between the trend of the two arms over time (p=0.202), thus indicating that the

change in eGFR from baseline to 96 weeks was not significantly different between the two arms. A sensitivity analysis of creatinine clearance calculated using the Cockcroft-Gault equation showed that creatinine clearance decreased significantly from the baseline in the TDF/FTC arm (-9.6 mL/min, 95%CI -16.6 to -2.5, p<0.001) but not in the ABC/3TC arm (-4.1 mL/min, 95%CI -11.2 to 3.0, p=0.466)(Fig. 5B). No significant interaction between the trend of the two arms was observed with respect to creatinine clearance (p=0.403). Two patients in the ABC/3TC arm progressed to more advanced chronic kidney disease (CKD) stage by the last per protocol visit: one patient progressed to stage 4 CKD (eGFR <30 mL/min/1.73 m²) and the other to stage 3 CKD (eGFR <60 mL/min/1.73 m²). However, ABC/3TC did not appear to be the causative drug for renal dysfunction in these two cases because the deterioration in the renal function was associated with the development of malignant lymphoma in the former patient and with the commencement of fenofibrate treatment in the latter; renal function recovered rapidly in the latter patient after the discontinuation of fenofibrate.

Discussion

Although insufficiently powered to show the non-inferiority of the viral efficacy of ABC/3TC relative to TDF/

FTC, this pilot study is the first randomized study conducted in Asia to elucidate the efficacy and safety of fixed doses of these two regimens each administered in combination with ATV/r for initial HIV-1 therapy. Viral efficacy, safety, and tolerability were not significantly different in the two arms of Japanese patients with a baseline HIV viral load <100,000 copies/mL over 96 weeks. Both regimens showed favorable viral efficacy, as in the ITT population, 72.2% and 78.2% of the patients in the ABC/3TC and TDF/FTC arms, respectively, had HIV-1 viral loads of <50 copies/mL at 96 weeks. Both regimens were also well-tolerated, as only 11.1% and 10.9% of the patients in the ABC/3TC and TDF/FTC arms, respectively, discontinued the allocated regimen by 96 weeks. Clinically suspected (not immunologically-confirmed) ABC-associated hypersensitivity reaction occurred in only one (1.9%) patient in the ABC/3TC arm, confirming that ABC hypersensitivity is rare in populations in which HLA-B*5701-positive patients are uncommon. Thus, this trial suggests that ABC/3TC may be an efficacious and safe regimen for use in HLA-B*5701-negative populations, such as the Japanese, with a baseline HIV viral load <100,000 copies/mL.

The usefulness of ABC/3TC has recently received higher recognition for two reasons. One, a meta-analysis by the FDA did not confirm the association between ABC use and myocardial infarction (9). Two, it became clear that TDF-induced renal tubulopathy results in decreased bone mineral density due to phosphate wasting and a decreased renal function, both of which might develop into serious complications with long-term TDF use (12-14, 29, 30). On the other hand, greater deteriorations in the levels of lipid markers were noted in ABC/3TC than in TDF/FTC in clinical trials comparing these two agents (16, 17). The present study also demonstrated that the increases in the LDL-cholesterol and triglyceride levels were higher in the ABC/3TC arm than in the TDF/FTC arm.

TDF-induced nephrotoxicity is of particular interest in this study because a low body weight is an important risk factor, and body stature was much smaller in this study population (median baseline body weight 64 kg), than in the ASSERT study (72 kg), which compared the renal function between patients receiving ABC/3TC and TDF/FTC with efavirenz in Europe (17, 18, 20). This study showed that changes in the renal function from baseline were not significantly different between the two arms, similar to the findings of the ASSERT study. None of the patients in the TDF/FTC arm exhibited progression of CKD stage. On the other hand, the levels of urinary β2 microglobulin deteriorated significantly from baseline in the TDF/FTC arm, whereas improvements were observed in the ABC/3TC arm. This is also similar to the findings reported by the ASSERT trial. This suggests that urinary β2 microglobulin is a more sensitive marker for evaluating TDF nephrotoxicity than the renal function calculated by serum creatinine, as also demonstrated in our previous work (31). Tubular resorption of phosphate, another marker examined to evaluate the renal

tubular function, did not exhibit any changes from baseline or between the two arms, suggesting that urinary β2 microglobulin may be a better marker for evaluating TDF nephrotoxicity than tubular resorption of phosphate. Of note, in both arms, the renal function did significantly decrease from baseline. To our knowledge, this is the first randomized trial comparing ABC/3TC and TDF/FTC that observed deterioration of the renal function after the initiation of ART. This result highlights the importance of regular monitoring of renal function after initiation of ART, although it is difficult to draw a firm conclusion on the prognosis of the renal function from this study, due to the limited length of the observation period and the small number of enrolled patients.

Only one patient (1.9%) in the ABC/3TC arm developed a clinically suspected ABC-associated hypersensitivity reaction, which was diagnosed based on the appearance of a skin rash and fever six weeks after commencement of the study drug. The patient fully recovered after discontinuation of the drugs. The ASSERT trial of HLA-B*5701-negative patients reported a similar incidence (3%) of clinically suspected ABC hypersensitivity reactions (17). The one case observed in our trial could be a false positive, because ABC hypersensitivity reactions commonly occur 9-11 days after the initiation of therapy (32), and ABC hypersensitivity was not confirmed immunologically. Nonetheless, immediate discontinuation of ABC is highly recommended even in HLA-B*5701-negative patients suspected of ABC hypersensitivity, since ABC hypersensitivity can occur in such patients (33) and errors in genotyping for HLA or reporting a genotype might occur in practice (34).

Several limitations of this trial should be acknowledged. First, due to the shortage of enrolled patients, the trial was insufficiently powered to test non-inferiority of the viral efficacy of ABC/3TC against TDF/FTC, as initially planned. However, the safety and tolerability data of these regimens in Asia are a valuable asset for patients from this region, and efficacy data could be utilized as part of a meta-analysis in the future. Second, the enrolled subjects were mostly men (primarily men who had sex with men and very few injection drug users). Further studies are needed to examine the efficacy and safety of these regimens in women and patients with different routes of transmissions in Asia.

In summary, this randomized trial demonstrated high efficacy and safety of fixed-dose ABC/3TC and TDF/FTC in combination with ATV/r over 96 weeks for treatment-naïve Japanese patients with a baseline HIV-1 viral load <100,000 copies/mL, although it was insufficiently powered to show non-inferiority of the viral efficacy of ABC/3TC compared with TDF/FTC. ABC/3TC with ATV/r is a safe and efficacious initial regimen for treating HLA-B*5701-negative patients with a baseline HIV-1 viral load <100,000 copies/mL.

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Prophylactic Effect of Antiretroviral Therapy on Hepatitis B Virus Infection

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Background. Hepatitis B virus (HBV) infection is common in individuals infected with human immunodeficiency virus, especially in men who have sex with men (MSM). Almost all currently used regimens of antiretroviral therapy (ART) contain lamivudine (LAM) or tenofovir disoproxil fumarate (TDF), both of which have significant anti-HBV activity. However, the prophylactic effect of ART on HBV infection has not been assessed previously.

Methods. Non-HBV-vaccinated HIV-infected MSM were serologically evaluated for HBV infection using stocked serum samples. Cases negative for HBV surface antigen (HBsAg), antibody to HBsAg (anti-HBs), and antibody to HBV core antigen (anti-HBc) in first serum samples were serologically followed until last available stocked samples. HBV genotype and LAM-resistant mutation (rtM204V/I) were analyzed in cases that became HBsAg-positive.

Results. The first stocked samples were negative for all analyzed HBV serological markers in 354 of 1434 evaluated patients. The analysis of their last samples indicated HBV incident infection in 43 of them during the follow-up period. The rate of incident infections was lower during LAM- or TDF-containing ART (0.669 incident infections in 100 person-years) than during no ART period (6.726 incident infections in 100 person-years) and other ART (5.263 incident infections in 100 person-years) ($P < .001$). Genotype A was most prevalent (76.5%), and LAM-resistant HBV was more frequent in incident infections during LAM-containing ART (50.0%) than in those during no ART and other ART (7.1%) ($P = .029$).

Conclusions. LAM- and TDF-containing ART regimens seem to provide prophylaxis against HBV infection, although drug-resistant strains seem to evade these effects.

Keywords. lamivudine; tenofovir disoproxil fumarate; resistant; chronic infection.

Patients with human immunodeficiency virus (HIV) infection are at high risk for both hepatitis B virus (HBV) infection and development of chronic infection [1–4]. Based on information from Western countries, the rate of coinfection varies according to risk categories; the highest rate is in men who have sex with men (MSM), with a slightly lower rate among intravenous drug users, and much lower in individuals infected through heterosexual contacts [5–8]. In Japan, HIV/

HBV coinfection is also significantly associated with MSM [9, 10]. The progression of chronic HBV infection to cirrhosis, end-stage liver diseases, and/or hepatocellular carcinoma is more rapid in HIV-infected persons than in those with chronic HBV infection alone [11, 12]. Vaccination of non-HBV-immunized HIV-infected individuals is recommended to prevent HBV infection [13]. However, all current recommended antiretroviral therapy (ART) regimens contain lamivudine (LAM) or tenofovir disoproxil fumarate (TDF), both of which have significant anti-HBV activity [14]. Do these ART regimens provide any prophylaxis against HBV infection? This is an important question, as a positive answer could influence the strategy applied to prevent HBV infection in HIV-infected individuals. To delineate the hepatitis B prophylactic effect of ART, we used stocked samples for serological evaluation of HBV infection in HIV-infected MSM. The present

study included those patients who had tested negative for hepatitis B surface antigen (HBsAg), antibody to HBsAg (anti-HBs), and antibody to hepatitis B core antigen (anti-HBc) using their first stocked blood samples, who were followed up serologically to identify new HBV incident infections among them. The other part of the study covered analysis of the relation between the frequency of incident infection and ART regimens.

METHODS

Patients

Since April 1997, we have stocked serum samples taken at routine clinical practice from HIV type 1 (HIV-1)–infected patients who visited the Outpatient Clinic of the AIDS Clinical Center, National Center for Global Health and Medicine, Tokyo, Japan, under signed informed consent for use in virologic research. Every patient had been interviewed at the first visit by clinical nurse specialists at the HIV outpatient clinic using a structured questionnaire that includes items on sexuality and history of HBV vaccination. Most of the patients regularly visited our clinic every 1–3 months, and we had collected and stored their sera at almost all visits. The ethics committee of the National Center for Global Health and Medicine approved the collection and analysis of the samples. First, we selected HIV-1–infected MSM who met the following inclusion criteria: (1) the first visit to our clinic was between April 1997 and December 2009, (2) they had not received HBV vaccination before the first visit, and (3) at least 2 serum samples were available and collected at least 6 months apart. The first sample was defined as the baseline serum sample, and baseline clinical data were defined as those recorded on the date of sampling of the first stocked serum. Patients' baseline characteristics, including age, race, hepatitis C virus antibody, results of *Treponema pallidum* hemagglutination assay, and CD4+ cell count were collected from the medical records.

HBV Analysis

In order to identify new HBV incident infection, we excluded patients with previously confirmed HBV infection. The baseline samples of the patients who met the inclusion criteria described above were serologically evaluated for HBsAg, anti-HBs, and anti-HBc using ARCHITECT HBsAg QT assay, anti-HBs assay, and anti-HBc assay, respectively (Abbott Laboratories, Chicago, Illinois) [15, 16]. Patients positive for any of HBsAg, anti-HBs, and anti-HBc at baseline were excluded from the serological follow-up. The remaining patients were considered to have never been infected with HBV before the baseline. Their last stocked sample taken before or in December 2010, or before HBV vaccination if performed during the follow-up period, was analyzed for HBsAg, anti-HBs, and anti-HBc. If the last sample was negative for all 3, the patient was
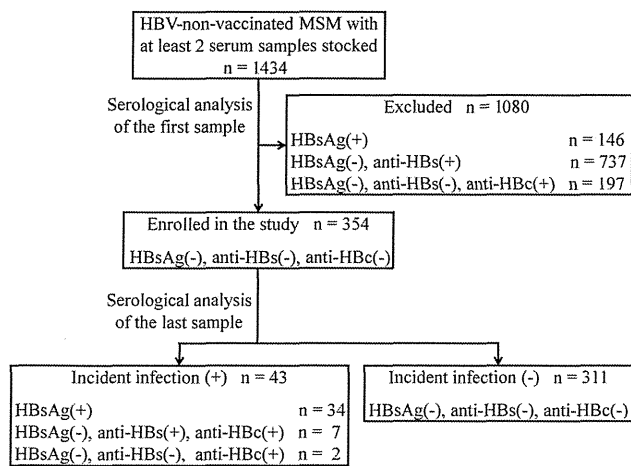
considered to have never been infected with HBV up to the sampling date of the last stocked serum. If HBsAg, anti-HBs, or anti-HBc was positive in the last stocked serum, the patient was considered to have HBV incident infection during the follow-up period. In the latter case, the baseline samples were subjected to polymerase chain reaction (PCR) analysis for HBV DNA [17, 18], and all the stocked samples during the follow-up period were serologically analyzed to determine the date of HBV incident infection. The date of incident infection was defined as the sampling date of the first positive serum for any HBV serological marker. The time from the baseline to HBV incident infection was analyzed by the Kaplan-Meier method. The data were censored at the sampling date of the last stocked sample if it was negative for all analyzed HBV serological markers. Patients' age and CD4+ cell count at the date of incident infection and alanine aminotransferase (ALT) values within 3 months of incident infection were collected. If an HBsAg-positive sample was available, HBV genotype and LAM-resistant mutation (rtM204V/I) were analyzed by PCR-invader assay [17–19]. The diagnosis of chronic HBV infection was considered when HBsAg was still positive in sera taken at 6 months or longer after the incident infection.

Antiretroviral Therapy

To determine the type of ART under which HBV incident infection occurred, the regimen information of ART was collected from medical records over the period spanning from the baseline to the incidence infection or to the end of follow-up. The treatment status was divided into 4 categories: (1) No ART, no treatment with any antiretroviral agent; (2) Other-ART, ART with regimens that did not contain LAM, TDF, or emtricitabine (FTC); (3) LAM-ART, ART with LAM-containing regimens that did not contain TDF or FTC; and (4) TDF-ART, ART with TDF-containing regimens with or without LAM or FTC. Data were censored on the sampling date of the last stocked sample if it was negative for all analyzed HBV serological markers. When the treatment category was modified, the data were censored on the date of category change for the previous treatment category and a new follow-up as a different case was initiated for the replacement treatment category.

Statistical Analysis

The time from the baseline to HBV incident infection was analyzed by the Kaplan-Meier method. The Cox proportional hazards regression analysis was used to assess the risk of HBV incident infections. The impact of patients' baseline characteristics, year of entry, the use of antiretroviral agents (any antiretroviral, and any of LAM, TDF, or FTC), and the frequency of changing ART regimen during the follow-up period was estimated with univariate analysis, and those with statistical significance were incorporated into multivariate analysis. The

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┌─────────────────────────────────┐
│ HBV-non-vaccinated MSM with     │
│ at least 2 serum samples stocked│
│          n = 1434               │
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Serological analysis
of the first sample

┌──┐
│ Excluded n = 1080   │
│ HBsAg(+)   n = 146 │
│ HBsAg(-), anti-HBs(+)   n = 737 │
│ HBsAg(-), anti-HBs(-), anti-HBc(+) n = 197   │
└──┘

┌──────────────────────────────────────┐
│ Enrolled in the study n = 354   │
│ HBsAg(-), anti-HBs(-), anti-HBc(-)   │
└──────────────────────────────────────┘

Serological analysis
of the last sample

┌──┐   ┌──────────────────────────────────────┐
│ Incident infection (+) n = 43   │   │ Incident infection (-) n = 311   │
│ HBsAg(+)   n = 34   │   │ HBsAg(-), anti-HBs(-), anti-HBc(-)   │
│ HBsAg(-), anti-HBs(+), anti-HBc(+) n = 7   │   └──────────────────────────────────────┘
│ HBsAg(-), anti-HBs(-), anti-HBc(+) n = 2   │
└──┘

Figure 1. Patient selection process: 1434 patients met the inclusion criteria. Of these patients, 1080 were excluded because of positive hepatitis B virus serology in the first samples. The results of various serological tests are shown. The remaining 354 were enrolled for serological follow-up. Of these, 43 were positive in the last sample analysis. Their stocked samples were analyzed serologically and the results of HBV serology using the first positive samples are indicated. Abbreviations: anti-HBc, antibody to HBV core antigen; anti-HBs, antibody to HBsAg; HBsAg, hepatitis B surface antigen; HBV, hepatitis B virus; MSM, men who have sex with men.

frequency and risk of HBV incident infection during each treatment category was also assessed by univariate Cox proportional hazards regression analysis. We used hazard ratios and 95% confidence intervals to estimate the impact of each variable on incident infection. Patients' age and $CD4^+$ cell count on the date of incident infection, and peak value of ALT within 3 months of incident infection were compared between transient infection and chronic infection with Wilcoxon rank-sum test. The differences in rates of HBV genotype A and rtM204V/I mutation were compared with χ^2 test (ie, the Fisher exact test).

Statistical significance of difference was defined as a 2-sided P value of $<.05$. All statistical analyses were performed with the Statistical Package for Social Sciences version 17.0 (SPSS, Chicago, Illinois).

RESULTS

Figure 1 shows the patient selection procedure. A total of 1434 HIV-1–infected MSM met the inclusion criteria described in the Methods section. Of these, 146 patients (10.2%) were positive for HBsAg, 737 (51.4%) were positive for anti-HBs, and 197 (13.7%) were solely positive for anti-HBc using baseline samples. The remaining 354 patients (24.7%; negative for HBsAg, anti-HBs, and anti-HBc at baseline), who were considered to have never been infected with HBV, were enrolled for serological follow-up. Table 1 lists their baseline characteristics. Serological analysis of the last sample of each of these patients showed HBV incident infection during follow-up in 43 (12.1%). Their baseline samples were found to be PCR-negative for HBV DNA, confirming that the incident infection in these patients occurred during the follow-up period. All stocked samples of the 43 patients were analyzed serologically to determine the date of HBV incident infection. HBV incident infections occurred every year between 1997 and 2010 except in 1998. The median time period from the baseline to HBV incident infection was 1.6 years (interquartile range [IQR], 192–1151 days; range, 28–4068 days). The total observation period was 1607 person-years (median, 3.7 years [IQR], 1.9–6.5 years). Figure 2 shows the Kaplan-Meier curve for the HBV incident infection for the whole cohort of enrolled patients.

In order to assess the risk of HBV incident infections, patients' baseline characteristics, year of entry, the use of any antiretroviral agents, the use of any of LAM, TDF, or FTC, and the frequency of changing ART regimen during the follow-up

Table 1. Baseline Characteristics of the 354 Enrolled Patients

Characteristic	Total (n = 354)	Year of Entry			
		1997–2000 (n = 61)	2001–2003 (n = 79)	2004–2006 (n = 112)	2007–2009 (n = 102)
Age, y, median (IQR)	32.0 (27.0–38.0)	32.0 (27.8–37.3)	31.0 (27.0–37.8)	32.0 (27.0–38.0)	35.0 (27.0–42.0)
Race/ethnicity					
Japanese	340 (96.0)	59 (96.7)	78 (98.7)	109 (97.3)	94 (92.2)
Asian other than Japanese	4 (1.1)	0 (0.0)	0 (0.0)	1 (0.9)	3 (2.9)
Caucasian	10 (2.8)	2 (3.3)	1 (1.3)	2 (1.8)	5 (4.9)
HCV antibody, positive	8 (2.3)	1 (1.6)	2 (2.5)	1 (0.9)	4 (3.9)
TPHA positive	101 (28.5)	23 (37.7)	20 (25.3)	30 (26.8)	28 (27.5)
$CD4^+$ cell count, cells/mm^3, median (IQR)	277 (151–404)	277 (169–417)	313 (97–443)	316 (176–413)	252 (129–359)
HIV RNA, $\log_{10}$ copies/mL, median (IQR)	4.6 (3.8–5.2)	4.5 (3.6–5.2)	4.8 (3.9–5.4)	4.4 (3.8–4.9)	4.7 (3.9–5.2)

Data are No. (%) unless otherwise specified.

Abbreviations: HCV, hepatitis C virus; HIV, human immunodeficiency virus; IQR, interquartile range; TPHA, *Treponema pallidum* hemagglutination assay.
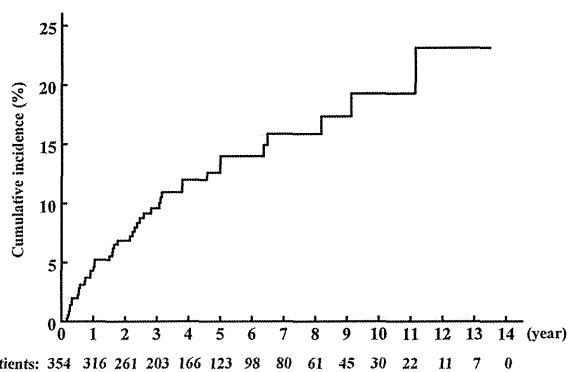
Figure 2. Kaplan-Meier curve showing the time to hepatitis B virus incident infection.

No. of patients: 354 316 261 203 166 123 98 80 61 45 30 22 11 7 0

period were estimated using a proportional hazards model (Table 2). Younger age and higher CD4$^+$ cell count correlated positively, and use of any antiretroviral, use of LAM, TDF, or FTC, and the frequency of changing ART regimen correlated negatively with HBV incident infection, with statistical significance in univariate analysis. However, in multivariate analysis, the use of LAM, TDF, or FTC continued to show significant relation. Then, we focused on the relation between treatment status and HBV incident infection. The observation period in each patient was divided into 4 categories by treatment status: No ART, no treatment with any antiretroviral agent; Other-ART, ART with regimens that did not contain LAM, TDF, or FTC; LAM-ART, ART with LAM-containing regimens that did not contain TDF or FTC; or TDF-ART, ART with TDF-containing regimens with or without LAM or FTC. No

participant received FTC single tablet (Emtriva). All the participants who took FTC received the combination tablet of TDF/FTC (Truvada), and therefore, such treatment status was categorized as TDF-ART. The total categorized observation period of No ART, Other-ART, LAM-ART, and TDF-ART was 446, 114, 814, and 233 person-years, respectively. The number of the HBV incident infections was 30 during the No ART period, 6 during Other-ART period, 7 during LAM-ART period, and 0 during TDF-ART period. No incident infection occurred at the time of changing ART regimen. The proportional hazards model showed a significantly lower frequency of HBV incident infection during LAM- or TDF-ART (0.669 incident infections per 100 person-years) compared with that during No ART (6.726 incident infections per 100 person-years), although there was no significant difference between Other-ART (5.263 incident infections per 100 person-years) and No ART, suggesting that ART regimens with anti-HBV activity can reduce HBV incident infections by 90% (Table 3). During LAM-ART, the HIV-1 load around the period of incident infection remained below the detection limit in all the 7 infected patients, indicating excellent adherence to ART.

Figure 3 shows peak ALT levels for the 43 HBV incident infections. Among the 36 incident infections observed the No ART and Other-ART groups, 16 infections (44.4%) were asymptomatic and not associated with significant increases in ALT (peak ALT, <60 IU/L). We were able to serologically follow 33 of the 36 cases for 6 months after the date of incident infection (TDF-ART was introduced within 6 months of incident infection in the other 3 cases). Among the 33 patients, 13 (39.4%) developed chronic infection (HBsAg was still positive 6 months after the date of incident infection). The median CD4$^+$

Table 2. Cox Proportional Hazards Regression Analysis for the Risk of Hepatitis B Virus Incident Infection

Factors	Univariate Analysis		Multivariate Analysis	
	Hazard Ratio (95% CI)	P Value	Hazard Ratio (95% CI)	P Value
Year of entry, per 1 y increase	.942 (.860–1.033)	.207		
Baseline characteristics				
Age, per 1 y increase	.921 (.879–.965)	.001	.958 (.917–1.001)	.054
Race (Japanese)	21.243 (.010–45 657.613)	.435		
HCV antibody	.048 (<.001–346.311)	.503		
TPHA	1.475 (.792–2.747)	.220		
CD4$^+$ cell count, per 100 cells/mm^3 increase	1.121 (1.008–1.246)	.035	.882 (.752–1.034)	.121
HIV RNA, per 1 log$_{10}$ copies/mL increase	1.387 (.999–1.924)	.051		
Antiretroviral use during follow-up period				
Any antiretroviral	.097 (.052–.184)	<.001	.927 (.305–2.818)	.893
LAM, TDF, or FTC	.075 (.039–.146)	<.001	.110 (.031–.390)	.001
Frequency of changing regimen	.245 (.145–.414)	<.001	.700 (.385–1.270)	.240

Abbreviations: CI, confidence interval; FTC, emtricitabine; HCV, hepatitis C virus; HIV, human immunodeficiency virus; LAM, lamivudine; TDF, tenofovir disoproxil fumarate; TPHA, *Treponema pallidum* hemagglutination assay.

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Table 3. Frequency and Hazard Ratio of Hepatitis B Virus Incident Infection in Each Treatment Status Category
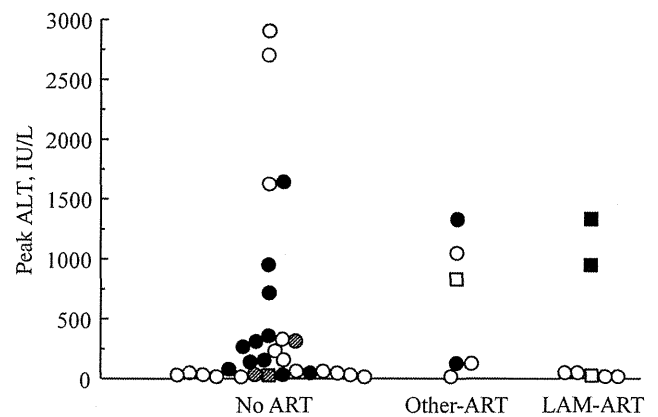
ART	Observation Period (Person-Years)	Incident Infection	Hazard Ratio (95% CI)	P Value
No ART	446	30	1	...
Other-ART	114	6	.924 (.381–2.239)	.861
ART containing at least 1 of LAM, TDF, and FTC[a]	1047	7	.113 (.049–.261)	<.001
LAM-ART	814	7		
TDF-ART	233	0		

Abbreviations: ART, antiretroviral therapy; CI, confidence interval; FTC, emtricitabine; LAM, lamivudine; TDF, tenofovir disoproxil fumarate; LAM-ART, ART with LAM-containing regimens that did not contain TDF or FTC; Other-ART, ART with regimens that did not contain LAM, TDF, or FTC; TDF-ART, ART with TDF-containing regimens with or without LAM or FTC.

[a] No participant received FTC single tablet (Emtriva) during the observation period. All the participants who took FTC received the combination tablet of TDF/FTC (Truvada), and therefore, such treatment status was categorized into TDF-ART.

Figure 3. Peak alanine aminotransferase (ALT) values in hepatitis B virus (HBV) incident infections according to treatment regimen. Thirty, 6, and 7 HBV incident infections were observed during No antiretroviral therapy (ART), Other-ART, and lamivudine (LAM)–ART, respectively. No incident infection was identified during tenofovir disoproxil fumarate (TDF)–ART. No participant received emtricitabine (FTC) single tablet (Emtriva) during the observation period. All the participants who took FTC received the combination tablet of TDF/FTC (Truvada), and therefore, such treatment status was categorized into TDF-ART. Data are peak ALT values measured within 3 months of the date of incident infections. LAM-resistant mutation (rtM204V/I) was analyzed in 34 cases using the available hepatitis B surface antigen (HBsAg)–positive samples. Open squares: patients infected with LAM-resistant HBV. Closed circles and squares: patients who developed chronic infection (HBsAg-positive 6 months after the date of incident infection). Checked circles and squares: patients who received TDF-containing ART within 6 months of incident infection. Abbreviations: ALT, alanine aminotransferase; ART, antiretroviral therapy; LAM, lamivudine.

cell count was lower in the patients who developed chronic infection than in those with transient infection, although the difference was not significant (P = .068; Table 4), indicating that HIV-related immunodeficiency may play a role in the induction of chronic HBV infection. Among the 7 incident infections observed during LAM-ART, only 2 patients (28.6%) were symptomatic, had significant rise in ALT, and developed chronic HBV infection, and both of these infections were caused by LAM-resistant HBV (Table 5). The other 5 cases were asymptomatic and transient. Three of them were caused by LAM-sensitive strains and 1 was by LAM-resistant strain. HBsAg-positive serum sample was not available in the last case. LAM-resistant HBV was more frequently identified in analyzed incident infections during LAM-containing ART (50.0%) than in those during no ART and other ART (7.1%) (P = .029). Considered together, LAM seems to prevent acquisition of HBV infection, progression to symptomatic hepatitis, and development of chronic infection even after the development of infection, although these effects may be less pronounced in patients with LAM-resistant strains.

Among the 43 infection cases observed during total serological follow-up, HBsAg-positive samples were available in 34 cases and their HBV genotype was determined. Genotype A was the most frequent, as reported previously [10, 20–22], and genotypes B, G, and H were also identified. The rate of development of chronic infection was higher in genotype A than in other genotypes as previously reported [23], although the difference was not significant in our study. In the remaining 9 cases, only anti-HBc with (7 cases) or without (2 cases) anti-HBs were detected, although their samples were available and

serologically analyzed at least every 3 months around the incident infection.

DISCUSSION

The results of this serological follow-up study indicated that LAM- and TDF-containing ART regimens protect against HBV incident infection. Furthermore, the results also suggested that LAM prevents progression to symptomatic hepatitis and development of chronic infection even after the development of HBV incident infection, provided such infection is caused by LAM-sensitive strains. However, it seems that LAM-resistant strains may evade this protective effect. One previous study that estimated the incidence of acute HBV infection among HIV-infected patients reported similar frequencies in patients receiving ART with and without LAM [5]. However, the authors defined immunoglobulin M anti-HBs positivity as a marker of HBV incident infection and did not exclude anti-HBc–positive patients at study entry. This probably made it difficult to distinguish incident infection from reactivation of chronic infection, as discussed in the report. In this study, we identified a

Table 4. Patient Characteristics and Clinical Features of Hepatitis B Virus Incident Infections in the No Antiretroviral Therapy (ART) and Other-ART Treatment Categories

Factors	Transient (n = 20)	Chronic[a] (n = 13)	Treated[b] (n = 3)	P Value[c]
Age, y, median (IQR)	31.0 (28.0–33.0)	29.0 (25.0–38.3)	25.0 (21.0–35.0)[d]	.406
CD4+ cell count, cells/mm^3, median (IQR)	371 (308–518)	320 (235–383)	674 (206–1935)[d]	.068
Peak ALT level[e], U/L, median (IQR)	65 (30–573)	264 (115–774)	31 (15–314)[d]	.162
HBV genotype, No. (%)				.645
Genotype A	9 (45.0)	11 (84.6)	2 (66.7)	
Other genotypes	3 (15.0)	2 (15.4)	1 (33.3)	
Genotype unknown	8 (40.0)	0 (0.0)	0 (0.0)	
HBV rtM204V/I mutation, No. (%)				.480
Positive	1 (5.0)	0 (0.0)	1 (33.3)	
Negative	11 (55.0)	13 (100.0)	2 (66.7)	
Unknown	8 (40.0)	0 (0.0)	0 (0.0)	

Abbreviations: ALT, alanine aminotransferase; HBV, hepatitis B virus; IQR, interquartile range.

[a] Hepatitis B surface antigen–positive 6 months after the date of incident infection.

[b] Treated cases with tenofovir disoproxil fumarate–containing antiretroviral therapy within 6 months of incident infection.

[c] P values between transient and chronic cases calculated with Wilcoxon rank-sum tests for continuous variables and χ^2 tests for proportions.

[d] Minimum and maximum values.

[e] Peak ALT level within 3 months of incident infection.

significant number of isolated anti-HBc–positive patients, a finding in agreement with previous reports [24–27], and

Table 5. Patient Characteristics and Clinical Features of Hepatitis B Virus Incident Infections During LAM-ART Treatment

Factors	Transient (n = 5)	Chronic[a] (n = 2)	P Value[b]
Age, y, median (IQR)	33.0 (30.3–36.5)	38.0 (33.0–43.0)[c]	.329
CD4+ cell count, cells/mm^3, median (IQR)	430 (267–648)	362 (360–364)[c]	.699
Peak ALT level[d], U/L, median (IQR)	22 (14–51)	1133 (941–1325)[c]	.051
HBV genotype, No. (%)			>.999
Genotype A	3 (60.0)	1 (50.0)	
Other genotypes	1 (20.0)	1 (50.0)	
Genotype unknown	1 (20.0)	0 (0.0)	
HBV rtM204V/I mutation, No. (%)			.400
Positive	1 (20.0)	2 (100.0)	
Negative	3 (60.0)	0 (0.0)	
Unknown	1 (20.0)	0 (0.0)	

Abbreviations: ALT, alanine aminotransferase; HBV, hepatitis B virus; IQR, interquartile range; LAM-ART, ART with LAM-containing regimens that did not contain TDF or FTC.

[a] Hepatitis B surface antigen–positive 6 months after the date of incident infection.

[b] P values calculated with Wilcoxon rank-sum tests for continuous variables and χ^2 tests for proportions.

[c] Minimum and maximum values.

[d] Peak ALT level within 3 months of incident infection.

excluded them from the serological follow-up to avoid improper inclusion of isolated anti-HBc–positive ones as HBV-naive [28, 29].

HBV vaccination is recommended for individuals seeking evaluation or treatment for sexually transmitted diseases, HIV-infected patients, sexually active persons with >1 partner, and MSM [13]. However, the response and durability of adequate titers of anti-HBs are often reduced in HIV-infected patients [30–34]. Modified regimens of vaccination have been reported to improve anti-HBs response in HIV-infected patients, although the response rate was still low in those with low CD4+ cell counts [35–37]. Our study demonstrated the HBV prophylactic effects of LAM- and TDF-containing ART regimens, suggesting that ART should be initiated before HBV vaccination, especially in those with low CD4+ cell counts. Early introduction of ART was recommended recently not only for HIV-infected individuals, but also for prevention of transmission to others [38, 39]. Early introduction of treatment may also be recommended to prevent HBV infection to the patients themselves if they are HBV-naive. One randomized clinical trial reported the prophylactic effect of TDF combined with FTC in HIV prevention in seronegative MSM [40]. However, in that trial, HBV vaccination was offered to all susceptible participants, which made it impossible to estimate the prophylactic effect of the treatment on HBV prevention.

Our study carries certain limitations related to its retrospective nature. Patients on ART might have more opportunities to improve their behavior to prevent transmission of HIV to others, which could reduce HBV infection in themselves but

introduce bias in our analysis. However, the results suggest prophylaxis against potential HBV infection by oral medications, which could be useful for nonimmunized medical care providers.

Notes

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Naturally Selected Rilpivirine-Resistant HIV-1 Variants by Host Cellular Immunity

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Background. Rilpivirine is listed as an alternative key drug in current antiretroviral therapy (ART) guidelines. E138G/A/K in human immunodeficiency virus type 1 (HIV-1) reverse transcriptase (RT) are rilpivirine resistance-associated mutations and can be identified in a few ART-naive patients, although at low frequency. The 138th position in HIV-1 RT is located in one of the putative epitopes of human leukocyte antigen (HLA)–B*18–restricted cytotoxic T lymphocytes (CTLs). CTL-mediated immune pressure selects escape mutations within the CTL epitope. Here we tested whether E138G/A/K could be selected by HLA-B*18-restricted CTLs.

Methods. The amino acid variation at the 138th position was compared between ART-naive HIV-1–infected patients with and without HLA-B*18. The optimal epitope containing the 138th position was determined and the impact of E138G/A/K on CTL response was analyzed by epitope-specific CTLs. The effect of E138G/A/K on drug susceptibility was determined by constructing recombinant HIV-1 variants.

Results. The prevalence of E138G/A/K was 21% and 0.37% in 19 and 1088 patients with and without HLA-B*18, respectively (odds ratio, 72.3; $P = 4.9 \times 10^{-25}$). The CTL response was completely abolished by the substitution of E138G/A/K in the epitope peptide. E138G/A/K conferred 5.1-, 7.1-, and 2.7-fold resistance to rilpivirine, respectively.

Conclusions. E138G/A/K can be selected by HLA-B*18-restricted CTLs and confer significant rilpivirine resistance. We recommend drug resistance testing before the introduction of rilpivirine-based ART in HLA-B*18-positive patients.

Keywords. rilpivirine; E138G/A/K; HLA-B*18; CTL.

Rilpivirine is a new-generation nonnucleoside reverse transcriptase inhibitor (NNRTI), with noninferior clinical efficacy demonstrated in large clinical trials, compared with efavirenz [1, 2], and is listed as an alternative key drug in current antiretroviral therapy (ART) guidelines [3, 4]. In those clinical trials, rilpivirine showed more-favorable safety and tolerance profiles compared with efavirenz, although it was also associated with a higher virological failure rate. The most commonly observed NNRTI resistance-associated mutation

in rilpivirine-treated patients with virological failure has so far been E138 K [1, 2]. Not only E138 K, but also other substitutions at the 138th position in human immunodeficiency virus type 1 (HIV-1) reverse transcriptase (RT), might confer significant rilpivirine resistance [5–7]. The glutamic acid at the 138th position (E138) is well conserved among HIV-1 strains and clinical isolates throughout clades [8]. However, some ART-naive patients are infected with HIV-1 variants harboring other amino acids at the 138th position (E138X), although the proportion of such patients is low [9]. The 138th position is located in one of the putative epitopes of human leukocyte antigen (HLA)–B*18-restricted cytotoxic T lymphocytes (CTLs) [10, 11]. Because CTL immune pressure often selects escape mutations within the epitope [11], E138X may be selected by HLA-B*18-restricted CTLs. In this study, we analyzed the frequency of amino acid variations at the 138th position in ART-naive patients with or without

Table 1. Amino Acid Variations at the 138th Position of HIV-1 Reverse Transcriptase and Human Leukocyte Antigen–B*18

Amino Acid	HLA-B*18(+)	HLA-B*18(−)
E138 (wild-type)	15	1084
E138G	2	1
E138A	1	2
E138K	1	1

Abbreviation: HLA, human leukocyte antigen.

HLA-B*18, determined the impact of E138X on CTL response, and analyzed the drug susceptibility of recombinant HIV-1 variants harboring E138X.

METHODS

Sequences of HIV-1 Reverse Transcriptase

HIV-1 RT sequences were analyzed using viral RNA extracted from plasma samples [12], and HLA type was determined by standard sequence-based genotyping in 1107 ART-naive infected individuals who visited the Outpatient Clinic of the AIDS Clinical Center, National Center for Global Health and Medicine, Tokyo, between 2003 and 2012. The amino acid variation at the 138th position of HIV-1 RT was compared between individuals with and those without HLA-B*18, and the statistical significance of the difference was analyzed by Fisher exact test using the Statistical Package for Social Sciences, version 17.0 (SPSS, Chicago, Illinois). This study was approved by the institutional ethical committee of the National Center for Global Health and Medicine, and written informed consent was obtained from all the participants according to the Declaration of Helsinki.

Intracellular Cytokine Staining Assay

HIV-1-derived peptides and mutant peptides were synthesized using an automated multiple peptide synthesizer and purified by high-performance liquid chromatography. Peripheral blood mononuclear cells (PBMCs) from chronically HIV-1-infected HLA-B*18-positive patients were stimulated with the peptide (100 nM) in culture medium (RPMI 1640 medium supplemented with 10% fetal calf serum and 200 U/mL recombinant human interleukin 2). After 14 days in culture, the cells were assessed for interferon (IFN)–γ production activity using a FACSCanto II (BD Biosciences, San Jose, California) [13, 14].

Drug Susceptibility Assay

The desired mutations were introduced into the XmaI-NheI region of pTZNX, which encodes the 15th–267th positions of HIV-1 RT (strain BH10) [15, 16]. The XmaI-NheI fragment was inserted into pNL$_{H219Q}$, which was modified from pNL101 and encoded the full genome of HIV-1. Each molecular clone was transfected into COS-7 cells, and the obtained virions were harvested 48 hours after transfection and stored at −80°C until use. Efavirenz and nevirapine were generously provided by Merck Co, Inc (Rahway, New Jersey) and Boehringer Ingelheim Pharmaceutics Inc (Ridgefield, Connecticut), respectively. Etravirine and rilpivirine were purchased from Toronto Research Chemicals Inc (North York, Ontario, Canada). The susceptibility of recombinant HIV-1 variants to efavirenz, nevirapine, etravirine, and rilpivirine was determined in triplicate and repeated 3 times [16]. Fold resistance was calculated by comparing the viral 50% inhibitory concentration (IC$_{50}$) with that of monoclonal wild-type HIV-1.

Structural Modeling

We constructed structural models of the HIV-1 RT and rilpivirine complex by computational analysis, as described in our
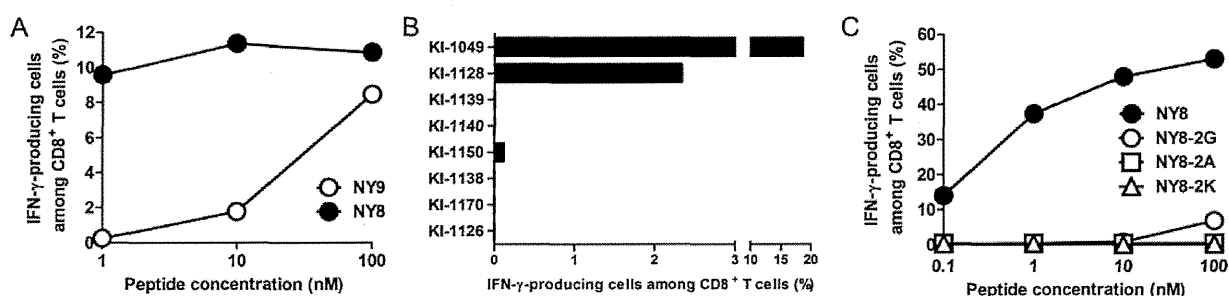
Figure 1. Recognition of human leukocyte antigen (HLA)–B*18-restricted CD8+ T cells. A, Identification of the optimal epitope of HLA-B*18-restricted CD8+ T cells. Peripheral blood mononuclear cells (PBMCs) from an HLA-B*18-positive individual chronically infected with human immunodeficiency virus type 1 (HIV-1) were stimulated with NY9 peptide and cultured for 2 weeks. Recognition of the bulk CD8+ T cells toward each peptide was measured by the intracellular cytokine staining (ICS) assay. B, Induction of NY8-specific CD8+ T cells in HLA-B*18-positive individuals chronically infected with HIV-1. PBMCs from 8 chronically HIV-1-infected HLA-B*18-positive individuals were stimulated with NY9 peptide and cultured for 2 weeks. Recognition of the bulk CD8+ T cells toward NY8 peptide were measured by the ICS assay. C, Effects of E138G/A/K substitutions on the recognition of HLA-B*18-restricted CD8+ T cells. Recognition of the bulk CD8+ T cells toward each wild-type or mutant peptide was measured by the ICS assay. Abbreviations: IFN-γ, interferon gamma; NY8, NETPGIRY; NY8-2G, NGTPGIRY; NY8-2A, NATPGIRY; NY8-2 K, NKTPGIRY; NY9, NNETPGIRY.

Table 2. Susceptibility of Recombinant HIV-1 Variants to 4 Nonnucleoside Reverse Transcriptase Inhibitors

Amino Acid	IC_{50} (nM), Fold Resistance[a]			
	EFV	NVP	ETR	RPV
E138 (wild-type)	1.2 ± 0.2 (1)	31 ± 3 (1)	1.1 ± 0.1 (1)	0.16 ± 0.04 (1)
E138G	1.6 ± 0.2 (1.3)	30 ± 10 (0.97)	2.4 ± 0.3 (2.2)	0.82 ± 0.09 (5.1)
E138A	2.1 ± 0.3 (1.8)	30 ± 2 (0.97)	2.6 ± 0.2 (2.4)	1.13 ± 0.20 (7.1)
E138K	2.4 ± 0.4 (2.0)	50 ± 10 (1.6)	2.4 ± 0.1 (2.2)	0.43 ± 0.10 (2.7)

Data are presented as mean ± standard deviation.

Abbreviations: EFV, efavirenz; ETR, etravirine; IC_{50}, viral 50% inhibitory concentration; HIV-1, human immunodeficiency virus type 1; NVP, nevirapine; RPV, rilpivirine.

[a] Fold resistance was calculated by comparing viral IC_{50} with that of monoclonal wild-type HIV-1.

previous reports [15, 16]. In brief, the initial models of wild-type RT with rilpivirine were first constructed by homology modelling. The crystal structures of RT with NNRTI (PDB code: 2ZD1 [17]) was used for template structure. We also constructed the respective mutant RTs with rilpivirine by considering every possible conformer of the respective mutant models. The possible conformers were generated from the wild-type homology models using PyMOL software (http://www.pymol.org). Among the conformers, we selected those with the lowest energy as each mutant model.

RESULTS

First, we analyzed the frequency of amino acid variations at the 138th position of HIV-1 RT in 1107 ART-naive individuals. As expected, E138 was found in the majority (1099 cases [99%]) of the analyzed patients. However, 8 cases showed amino acid substitutions, including 3 cases of substitution with glycine (E138G), 3 cases with alanine (E138A), and 2 cases with lysine (E138 K). The frequency of E138G/A/K substitutions was 21% and 0.37% in 19 and 1088 individuals with and without HLA-B*18, respectively (Table 1). There was a significant difference in the frequency of the substitutions (odds ratio, 72.3; $P = 4.9 \times 10^{-25}$), suggesting that E138G/A/K could be selected by HLA-B*18-restricted CTLs.

Next, we delineated the impact of E138G/A/K on the response of HLA-B*18-restricted CTLs. The putative HLA-B*18-restricted CTL epitopes containing the 138th position of HIV-1 RT were NETPGIRYQY (NY10; position 137–146), NETPGIR-YQ (NQ9; position 137–145), and NNETPGIRY (NY9; position 136–144) [10, 11]. These 3 peptides were used to stimulate PBMCs of 8 ART-treated HLA-B*18-positive patients chronically infected with HIV-1. IFN-γ production activity was detected in PBMCs from 1 of the 8 patients when stimulated with NY9. To determine the optimal epitope, the bulk CD8+ T cells

were further analyzed for NY9 and NETPGIRY (NY8; position 137–144). The bulk CD8+ T cells more efficiently recognized NY8 than NY9 at 1-nM, 10-nM, and 100-nM concentrations (Figure 1A). These findings indicate that NY8 was the optimal epitope of HLA-B*18-restricted CTLs. Indeed, NY8-specific CD8+ T cells were induced in 3 of the 8 patients (Figure 1B). A
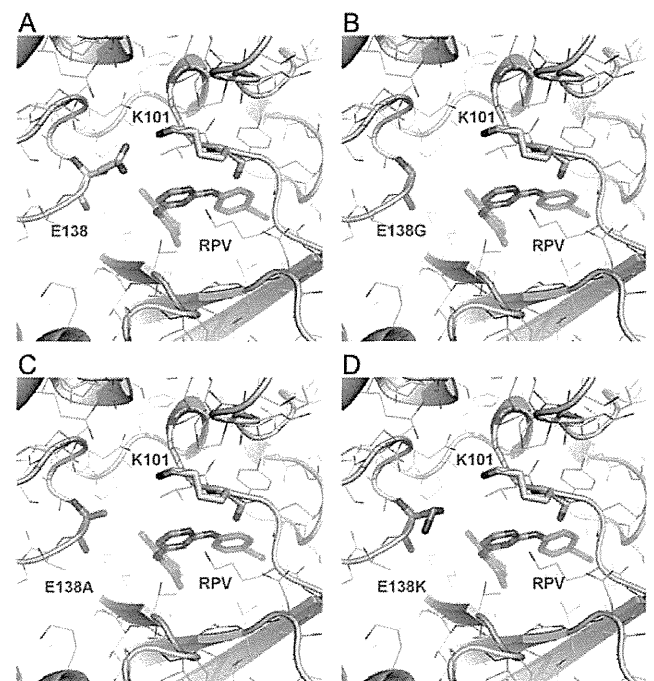
Figure 2. Structural models of human immunodeficiency virus type 1 reverse transcriptase (RT) and rilpivirine. The binding clefts of 4 complexes are shown: $RT_{E138(wild-type)}$ (A), RT_{E138G} (B), RT_{E138A} (C), and RT_{E138K} (D). Sticks indicate the amino acids at positions 101 and 138 of RT, and the atoms of rilpivirine. The mutated residues (E138G, E138A, and E138 K) and rilpivirine atoms are represented by orange and greenish-blue sticks, respectively. Abbreviation: RPV, rilpivirine.

previous study showed that HLA-B*18-binding peptides have 2 anchor residues, E at position 2 and Y/F at the C-terminus [18]. NY8 also had these 2 anchor residues, supporting that this peptide is a HLA-B*18-restricted CTL epitope. To analyze the effect of E138G/A/K on the CTL response, 3 mutant peptides, NGTPGIRY (NY8-2G), NATPGIRY (NY8-2A), and NKTPGIRY (NY8-2 K), were synthesized, and the recognition of the bulk CTLs for these mutant peptides was compared with that for NY8. The bulk CTLs failed to recognize these peptides at 0.1-nM, 1-nM, 10-nM, and 100-nM concentrations, although it effectively recognized NY8 (Figure 1C). These substitutions at the 138th position may affect peptide binding to the HLA-B*18 molecule because the second position of HLA-B*18-binding peptides is an anchor for HLA-B*18 [18]. These findings indicate that each of the E138G/A/K affected CTL recognition and allow escape from the HLA-B*18-restricted CTLs.

Finally, we analyzed the effect of E138G/A/K on viral susceptibility to NNRTIs by constructing recombinant HIV-1 variants. Each HIV-1 variant harboring one of E138G/A/K showed comparable replication fitness with wild-type HIV-1. Although the substitutions of E138G/A/K did not confer >2-fold resistance to efavirenz and nevirapine, they conferred mild resistance (2.2- to 2.4-fold) to etravirine. With regard to rilpivirine, E138 K, which was commonly observed in patients with virological failure under rilpivirine-based ART [1, 2], conferred mild resistance, whereas E138G and E138A conferred >5-fold resistance (Table 2). These findings indicate that in addition to E138 K, E138G and E138A can also reduce the clinical response to rilpivirine. The structural modeling suggests that substitution of E138 changes interactions around the rilpivirine-binding cleft (Figure 2). The side chain of E138 in the wild-type RT forms a salt bridge with the lysine at the 101th position (K101) at the edge of the cleft and establishes direct interactions with the pyrimidine moiety of rilpivirine, as seen in the crystal structure of RT with rilpivirine [17]. Meanwhile, mutant RTs with E138G/A/K substitutions could not create such a salt bridge, resulting in changes in the morphology of the binding cleft. In particular, RTs with E138G or E138A can reduce interactions with rilpivirine by creating large gaps between rilpivirine and the substituted 138th residues with small side chains, which seems to cause significant resistance to rilpivirine.

DISCUSSION

The major findings of the present study were as follows: (1) E138G/A/K substitutions were escape mutations of HLA-B*18-restricted CTLs and they were observed more frequently in HLA-B*18-positive patients than HLA-B*18-negative patients; and (2) we confirmed that these substitutions conferred significant resistance to rilpivirine, demonstrating that drug resistance–associated mutations can be selected naturally by CTL

when its epitope is located in the viral protein of antiretroviral targets.

Studies of cellular immunology in HIV-1 have focused mainly on Gag [19, 20]. However, considering that many of the recently identified CTL epitopes are located in Pol [13, 14, 21], analysis of the interaction between CTL and drug susceptibility is warranted. Some escape mutations can persist after viral transmission to other hosts even if the new hosts do not have the corresponding HLAs [22]. Therefore, HIV-1 can adapt to HLA at a population level [23]. In fact, we identified E138G/A/K in ART-naive HLA-B*18-negative patients, although the frequency of such variations was extremely low. However, the same analysis performed in areas with higher prevalence of HLA-B*18, such as Eastern Europe [24], would probably detect higher frequency of E138G/A/K.

HIV drug resistance testing is recommended not only after treatment failure but also before the introduction of the initial treatment, considering the risk that the patient may have acquired drug-resistant viruses from those with treatment failure [3, 25]. The present study may add another reason for drug resistance testing of ART-naive patients: drug resistance-associated mutations may have evolved in the patients selected by their own immunity even if the original transmitted viruses were drug sensitive. At the very least, drug resistance testing should be performed before the introduction of rilpivirine-based ART in HLA-B*18-positive patients.

Notes

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