

Development and use of personalized bacteriophage-based therapeutic cocktails to treat a patient with a disseminated resistant *Acinetobacter baumannii* infection

Running head: Successful Bacteriophage Therapy

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34 ABSTRACT

35 Widespread antibiotic use in clinical medicine and the livestock industry has
36 contributed to the global spread of multidrug-resistant (MDR) bacterial pathogens,
37 including *Acinetobacter baumannii*. We report on a method used to produce a
38 personalized bacteriophage-based therapeutic treatment for a 68-year old diabetic patient
39 with necrotizing pancreatitis complicated by a MDR *A. baumannii* infection. Despite
40 multiple antibiotic courses and efforts at percutaneous drainage of a pancreatic
41 pseudocyst, the patient deteriorated over a four-month period. In the absence of effective
42 antibiotics, two laboratories identified nine different bacteriophages with lytic activity for
43 an *A. baumannii* isolate from the patient. Administration of these bacteriophages
44 intravenously and percutaneously into the abscess cavities was associated with reversal of
45 the patient's downward clinical trajectory, clearance of the *A. baumannii* infection, and a
46 return to health. The outcome of this case suggests that the methods described here for
47 the production of bacteriophage therapeutics could be applied to similar cases and that
48 more concerted efforts to investigate the use of therapeutic bacteriophages for MDR
49 bacterial infections are warranted.

50 INTRODUCTION

51 Increased antibiotic resistance is an important global issue. The World Health
52 Organization (WHO), the Centers for Disease Control (CDC), the National Institutes of
53 Health (NIH), the Gates Foundation, and other entities have tried to draw public attention
54 to the growing crisis. The CDC has termed the present time the "post-antibiotic" era (1)
55 because resistance abounds to almost every available antibiotic, and multidrug resistant

56 (MDR) infections are increasingly more common. This problem stems from a variety of
57 factors including widespread agricultural use of antibiotics, inappropriate prescription of
58 antibiotics, a decrease in the number of new antibiotics entering the market, and the
59 increased positive selection of multidrug resistance when gained through the natural
60 prokaryotic exchange of genetic material (reviewed in (2)).

61 The ESKAPE pathogens are a group of commonly MDR organisms at the heart of
62 the antibiotic resistance crisis. As one of the ESKAPE pathogens, *Acinetobacter*
63 *baumannii* is a frequently isolated organism from infections in clinical settings and has
64 been of particular concern to active duty military service members injured in combat (3).
65 *A. baumannii* is a Gram negative, naturally competent organism that is highly adept at
66 acquiring and maintaining multiple genetic elements encoding antimicrobial resistance
67 determinants (4-6). The growing impact of MDR pathogens has increased initiatives to
68 discover infectious disease therapeutics with novel mechanisms of action (7, 8). Recently,
69 as part of a collaboration between the U.S. Army and the U.S. Navy, we rescued mice
70 from a MDR *A. baumannii* wound infection using a mixture of natural phages that were
71 selected specifically for their synergistic activity against the infecting *A. baumannii* strain
72 (9). Even with these positive results there are relatively few studies of phage efficacy
73 and/or safety in the current medical literature (relevant examples include (10-18)). In
74 addition to demonstrating that phage treatment can be efficacious when a panel of phages
75 are isolated from the environment against the particular strain causing the infection, the
76 *A. baumannii* study also demonstrated that the surviving *A. baumannii* had decreased
77 virulence as measured in the *Galleria mellonella* (wax worm) model (9). This decreased
78 virulence of phage-resistant *A. baumannii* was correlated with decreased capsule

79 production, as measured by Raman spectroscopy (9). In the current study, a bacterial
80 isolate was provided from a patient suffering from necrotizing pancreatitis complicated
81 by a MDR *A. baumannii*-infected pancreatic pseudocyst. In two independent laboratories,
82 the patient's initial isolate was used to screen previously-isolated phages and to select
83 new phages for incorporation into phage mixtures to make specific phage cocktails. Food
84 and Drug Administration (FDA) authorization to administer the cocktails as an
85 Emergency Investigational New Drug (eIND) was obtained and the patient's condition
86 improved dramatically following phage therapy. Herein, we present our investigation of
87 certain key aspects of the phage therapy *in vivo*, such as cocktail development,
88 pharmacokinetics, immune response, and phage resistance. Despite an eventual rise of
89 phage resistance, an iterative process of phage cocktail formulation resulted in resolution
90 of the patient's infection. Interestingly, the phage resistant phenotype that arose over time
91 was associated with increased antibiotic sensitivity when phage and antibiotics were
92 simultaneously administered.

93

94 MATERIALS AND METHODS

95 ***A. baumannii* clinical isolates.** *A. baumannii* clinical isolates were cultured from
96 multiple drains, peritoneal fluid, and respiratory secretions of the patient. The three
97 isolates used in this study were designated TP1, TP2 and TP3 for the first, second, and
98 third temporal variants, respectively. *A. baumannii* isolates originally used to harvest
99 natural phages from various environmental samples were genetically diverse and
100 obtained from the Navy's Wound Infections Culture Collection, originally received from
101 the Army's Multidrug-Resistant Organism Repository and Surveillance Network

102 (MRSN) and the Naval Medical Research Unit -6 in Lima, Peru. All *A. baumannii*
103 isolates were maintained on tryptic soy broth (TSB; Becton, Dickinson and Company,
104 Sparks, MD) and stored in 15% glycerol at -80°C.
105
106 **Selection of therapeutic phages.** Phages used for this treatment were selected and
107 prepared for clinical use by two different groups. Phages provided by the Biological
108 Defense Research Directorate (BDRD) of the Naval Medical Research Center (AB-
109 Navy1, AB-Navy4, AB-Navy71, AB-Navy97 and AbTP3Φ1) were isolated from various
110 environmental samples using routine isolation techniques, as previously described (19).
111 Briefly, *A. baumannii* clinical isolates from the Navy's Wound Infections Culture
112 Collection were used to isolate and store pathogen-specific phages. Following isolation,
113 the phages were triple plaque-purified on their respective host bacterium. Finally, small-
114 scale phage amplifications on their corresponding host bacterium were performed to
115 prepare the *A. baumannii* specific phage library which was subsequently stored at 4°C
116 until required. The growth of *A. baumannii* clinical isolates TP1, TP2, and TP3 in the
117 presence of phage was evaluated via spot testing and also in a BioLog® imaging system
118 (BioLog®, Hayward, CA) (20, 21). In this case, one covered 96-well plate was used per
119 phage strain and incubated at 37°C for 24 hours, with bacteria-only positive wells and
120 test wells with a single phage added at a multiplicity of infection (MOI) of approximately
121 100. The phage candidates that showed the strongest antibacterial activity as measured by
122 this assay were selected for inclusion in the therapeutic cocktails: AB-Navy1, AB-Navy4,
123 AB-Navy71, AB-Navy97 against strain TP1 and, later, AbTP3Φ1 against strain TP3.

124 At the Center for Phage Technology (CPT), ten *A. baumannii* phages from the
125 CPT collection and 30 more solicited from multiple academic, clinical and corporate
126 sources were screened for activity on TP1 by spot assays using crude lysates. A phage
127 from AmpliPhi Corporation, AC4, was found to form plaques on lawns of TP1. Another
128 100 environmental samples available at the CPT were screened by enrichment, yielding
129 three new isolates (C1P12, C2P21 and C2P24) that plated on TP1.

130
131 **Propagation and purification of therapeutic bacteriophages.** Large scale
132 bacteriophage amplification of each BDRD bacteriophage isolate was performed in two
133 steps before purification. First, initial amplifications (via a plate lysate method) of the
134 phage were used to inoculate 3.6 L large-scale liquid lysates (10). These lysates were
135 centrifuged at 10,000g for 20 minutes to remove bacterial debris, vacuum filtered through
136 0.22 μ m filters, then concentrated using a Millipore Pelican 2 cassette 300K MWCO
137 tangential flow filtration system to a volume of approximately 0.5 L. Following
138 concentration, the culture medium was replaced with PBS via diafiltration. The resulting
139 lysate was further concentrated via diafiltration to a final volume of 0.2 L prior to
140 collection. Finally, the concentrated bacteriophage mixture was purified using CsCl
141 isopycnic gradient centrifugation as previously described (10), and dialyzed in PBS to
142 remove cesium chloride. Purified bacteriophages were combined into a four-
143 bacteriophage cocktail designated Φ IV. After the patient's *A. baumannii* isolate became
144 insensitive to the Φ IV bacteriophage cocktail, a second bacteriophage cocktail designated
145 Φ IVB was prepared by combining AB-Navy71 from the original cocktail with a newly
146 isolated bacteriophage (AbTP3 Φ 01) that was capable of forming plaques on lawns of *A.*
147 *baumannii* TP3.

148 At the CPT, large scale propagation and purification of phages C1P12, C2P21,
149 C2P24, and AC4 was performed using plate lysates grown from single plaques to
150 inoculate 1 L logarithmic cultures of host at an input MOI of $<10^2$ in the presence of 5 mM
151 MgSO_4 . The infected cultures were grown until the onset of lysis, as measured by OD_{550} ,
152 at which time sodium citrate was added to a final concentration of 10 mM. The infected
153 culture was aerated until lysis was complete. Lysates were cleared by centrifugation
154 (6,000 x g, 40 min, 4 °C) and sterilized by filtration through 0.22 μm membranes.
155 Bacteriophages were concentrated by centrifugation at 6,000 x g for 10 h at 4 °C and
156 phage pellets were gently re-suspended in 10 ml of DPBS and sterilized again by
157 filtration. The sterilized phage suspensions were subjected to ultrafiltration and
158 1-octanol extraction to remove lipopolysaccharide (LPS) as previously described (22). In
159 most cases, this final treatment was performed at the Laboratory for Viral Information at
160 San Diego State University. The four phages were combined to comprise a cocktail
161 (ΦPC) that was used for intracavitary administration. Phage were introduced into each cavity
162 every 6 hours.

163

164 **Efficiency of plating of selected bacteriophages on clinical isolates.** To evaluate the
165 killing efficacy of each phage on clinical isolates, a dilution series of bacteriophage
166 preparation was spotted on a bacterial lawn to observe plaque formation (28). Briefly,
167 100 μl of an overnight culture of each *A. baumannii* isolate was used to individually
168 inoculate 2.5 ml of 0.7% molten top agar (temperature 50°C). The inoculated agar was
169 spread onto tryptic soy (TS) agar plates. Top agar was allowed to cool at room
170 temperature, then 10 μl aliquots of 10-fold serial dilutions of each selected bacteriophage

171 were spotted on the plate surface. All spots were allowed to fully absorb into the top agar
172 and plates were incubated at 37°C for 24 h in a humidified chamber for plaque formation.

173

174 **Electron microscopy.** The *A. baumannii* phages were grown in their corresponding host
175 by standard procedures and purified via CsCl density gradient centrifugation. The phage
176 preparation was fixed using a solution of 4% paraformaldehyde and 1.0 % glutaraldehyde
177 and spread onto electron microscope grids, negatively stained with uranyl acetate, and
178 imaged in an FEI Tecnai T12 transmission electron microscope.

179

180 **Endotoxin assays in phage preparations.** Endotoxin levels of each Φ IV cocktail were
181 estimated using the Endpoint Chromogenic LAL Assay QCL-1000, and Φ PC endotoxin
182 levels were determined by the PyroGene Recombinant Factor C Assay (Lonza,
183 Walkersville, MD), according to manufacturer's directions.

184

185 **The MDR *A. baumannii* infection and pathophysiology of the patient.** The patient, a
186 68-year old diabetic man, developed gallstone-induced acute pancreatitis. An abdominal
187 CT scan revealed a pancreatic pseudocyst (Supplemental Figure 1). The pseudocyst was
188 drained through two pigtail cystgastrostomy tubes and a pancreatic stent was placed.

189 Cultures of the pseudocyst aspirate grew *Candida albicans* and MDR *A. baumannii*. The
190 patient received courses of vancomycin, meropenem, colistin, and tigecycline.

191 Subsequent culture from the pseudocyst fluid grew *A. baumannii* resistant to

192 cephalosporins, meropenem, gentamicin, amikacin, trimethoprim/sulfamethoxazole,

193 tetracycline, ciprofloxacin and colistin. Susceptibility testing revealed synergy between

colistin and azithromycin against the MDR *A. baumannii*, and treatment with these two antibiotics was initiated on day 36 after initial infection. MDR *A. baumannii* was repeatedly isolated from multiple abdominal drains, the patient's clinical condition further deteriorated, and on day 51 he developed respiratory failure and hypotension requiring intubation, fluid resuscitation, pressors and ultimately transfer to the ICU. Rifampin was determined *in vitro* to provide added antibiotic synergy against the MDR *A. baumannii* and it was therefore included in his regimen. During the remainder of the second and third months of hospitalization, his clinical course further deteriorated. He developed emphysematous cholecystitis and he became increasingly delirious with declining renal function and increasing leucocyte counts. Cultures of multiple drains, peritoneal fluid and respiratory secretions all produced MDR *A. baumannii*. Renal and hepatic function worsened. By day 108, the patient was on multiple pressors and unresponsive, with a plasma creatinine of 3.68 mg/dl. Due to the unavailability of any additional effective antimicrobial agents, an eIND Application was submitted to the FDA requesting authorization to treat his uncontrolled *A. baumannii* infection with a combination of phages.

Treatment with phage. Phage therapy was initiated on day 109 (after initial infection) with the installation of a cocktail containing four of the anti-*A. baumannii* phages ($\sim 10^9$ pfu/dose) described previously as Φ PC through percutaneous catheters draining the pseudocyst cavity, the gall bladder and a third intra-abdominal cavity. Intracavitary instillations of this cocktail were continued at 6 – 12 hourly intervals. After 36 hours of initiation of intracavitary instillations of the bacteriophage cocktail, bacteriophage

217 therapy was intensified and broadened through intravenous administration of an
218 additional bacteriophage cocktail ($\sim 10^9$ pfu/dose) consisting of the Navy's four anti-*A.*
219 *baumannii* bacteriophages (described previously as Φ IV). Since this was well tolerated,
220 IV bacteriophage therapy was repeated 12 hours later and then at increasingly frequent
221 intervals over the next two days to reach a dosing frequency of every 2 hours.
222 Azithromycin, colistin, and rifampin were discontinued; meropenem and fluconazole
223 were continued. However, two days following initiation of intravenous phage therapy,
224 patient's pressor requirements abruptly increased and bacteriophage therapy was
225 temporarily withheld. The meropenem dose was increased and intravenous catheters were
226 changed. It was subsequently demonstrated that the clinical deterioration was
227 accompanied by a transient septic episode with *B. thetaiodomicron* that were felt to have
228 arisen from his pancreas. On day 115, the patient's *A. baumannii* isolate was found to be
229 susceptible to minocycline (3 μ g/ml), which was added to patient's treatment regimen.
230 Intracavitary and intravenous bacteriophage therapy was resumed on days 116 and 118,
231 respectively. Subsequently the combinations of intracavitary and intravenous therapy
232 with the Φ PC and Φ IV cocktails, respectively, were continued (generally at 6 – 8 hourly
233 intervals) until day 167. When reduced phage susceptibility of serial isolates of the
234 patient's *A. baumannii* was demonstrated *in vitro*, a third bacteriophage cocktail
235 consisting of one new bacteriophage and one of the initially selected phages (designated
236 Φ IVB) was developed to effectively target the phage-resistant bacterial isolate and
237 administered during the last two weeks of therapy. With ongoing clinical improvement
238 minocycline and meropenem were discontinued on day 168 and 179, respectively.

239 Combinations of intracavitary and intravenous bacteriophage therapy were continued for
240 total of 59 days.

241

242 **Pharmacokinetic studies.** Plasma and serum samples were collected after bacteriophage
243 therapy and filtered through 0.22 μm Corning Spin-X[®] filters. An aliquot of each filtrate
244 was further diluted 1:10 and 1:100 in SM buffer and 10 μl of each concentration of
245 plasma/serum dilutions were mixed with 100 μl of *A. baumannii* of the TP1 culture at OD
246 0.5. The bacteriophage-bacterial mixtures were incubated at 37°C for 20 minutes before
247 plating via soft agar overlay (23). Plates were incubated at 37°C overnight in a
248 humidified chamber and bacteriophage plaques were counted the next day.

249

250 **Raman spectroscopic analysis of *A. baumannii* strains.** *A. baumannii* isolates were
251 examined for modifications in cellular and extracellular composition via Raman
252 Spectroscopy using a Kaiser Rxn1 PhAT probe 830 nm system (Kaiser Optical Systems,
253 Inc., Ann Arbor, MI, USA) and 1 mm diameter excitation spot size as previously
254 described (9). Prior to spectral acquisition each sample was obtained from LB agar plates
255 and directly transferred to an aluminum foil covered disposable weigh dish for spectral
256 collection. Dark subtracted and intensity-corrected spectra were each acquired using 5
257 second acquisitions, 10 accumulations, and the cosmic ray removal feature selected for a
258 total laser exposure of 100 seconds. Each sample was assayed in three locations, one
259 spectrum per location. Per sample, the three localized spectra were examined to ensure
260 steady sample hydration and spectral consistency across locations. Once verified, spectra
261 were averaged per sample, truncated to 600-1800 cm^{-1} , baseline subtracted using a sixth-

262 order polynomial fitting routine, and normalized to the methyl/methylene scissoring band
263 at 1445 cm⁻¹. (See Supplemental Figure 2 for a schematic.)

264

265 **Capsule staining.** *A. baumannii* isolates were examined for potential capsule expression
266 using crystal violet staining. For each isolate, a loopful of bacteria in PBS was used to
267 smear a glass slide and then allowed to air dry. Each slide was stained with crystal violet
268 for 1 minute, rinsed with 20% copper sulfate, and dried prior to imaging at 100X
269 magnification under oil immersion using an Olympus BX51TRF microscope equipped
270 with an Olympus DP72 camera (Olympus Corporation, Waltham, MA).

271

272 RESULTS

273 ***A. baumannii* susceptibility to bacteriophages.** The clinical course of the patient, a 68-
274 year old diabetic patient who developed necrotizing pancreatitis complicated by a MDR
275 *A. baumannii* infected pancreatic pseudocyst, is illustrated in Figure 1. Due to his rapidly
276 deteriorating condition and the inability to control his infection with antibiotics, a
277 bacteriophage therapy process was embarked upon as an eIND. A subset of 98 *A.*
278 *baumannii*-specific lytic bacteriophages (out of 200 total) that were previously harvested
279 from environmental sources by NMRC-BDRD were screened for activity against the
280 three clinical isolates in this study (Figure 2). This subset of 98 phages was initially
281 selected for screening because previous work had demonstrated that, collectively, these
282 bacteriophages are highly active against a broad range of MDR *A. baumannii* isolates
283 (data not shown). Within 18 hours of receipt of the first clinical isolate, selection of an
284 appropriate therapeutic cocktail for the original isolate, named TP1, was achieved via an

285 OmniLog® based time-kill assay system (20, 21). The bacterial isolates from this study
286 are summarized in Table 1. The assay revealed that most of the phage screened have
287 almost no discernable effect against this clinical isolate. However, phage Abφ5, Abφ6,
288 and Abφ73 were able to inhibit growth for up to six hours. Phage Abφ66 and Abφ68
289 were able to inhibit growth for 12 hours. Most notably, phages AB-Navy1, Abφ2,
290 Abφ3, AB-Navy4, AB-Navy71, and AB-Navy97 were able to inhibit growth for over 20
291 hours. Phage AB-Navy1, AB-Navy4, AB-Navy71, and AB-Navy97 were used in the
292 phage cocktail based on previous host range analysis (data not shown) that indicated that
293 each phage was different from the others. TP1 growth inhibition effects were more
294 pronounced when a cocktail of these bacteriophages was used as compared to the
295 individual bacteriophages used separately (Figure 3).

296 Initial screening of 37 *A. baumannii*-specific bacteriophages against the TP1
297 isolate at the Center for Phage Technology (CPT) at Texas A & M University revealed
298 that one of these bacteriophages, AC4 (originally obtained from AmpliPhi Corporation)
299 inhibited TP1 growth. Subsequently, three more bacteriophages (C1P12, C2P21 and
300 C2P24) were identified after additional screening of 100 environmental samples available
301 at the CPT. The capability of these three new bacteriophage isolates (C1P12, C2P21 and
302 C2P24) to inhibit TP1 growth was similar to that of bacteriophage AC4 (Figure 3). The
303 individual bacteriophages used in this study are detailed in Table 2 and the composition
304 and administration of the bacteriophage cocktails are detailed in Table 3. With continued
305 treatment, *in vitro* susceptibility studies of serial *A. baumannii* isolates demonstrated
306 stepwise selection of resistance to the eight phages present in the original therapeutic
307 cocktails. Representative data related to the antimicrobial activity of the bacteriophages

308 comprising the Φ IV and Φ PC cocktails over the initial three weeks of therapy are
309 presented in Figure 3 a-c and e-g, respectively. It was determined retrospectively on day
310 19 of phage treatment by use of the OmniLog® based time-kill assay system that by day
311 116 (which was the 8th day of bacteriophage therapy), each of the phages had lost activity
312 individually and in their respective original mixtures against the *A. baumannii* isolates
313 that emerged in the presence of the phages. In other words, the TP3 isolate was found *in*
314 *vitro* to be resistant to both of the two original bacteriophage cocktails. Therefore, an
315 additional phage, AbTP3 Φ 01, was selected for its activity against TP3, and combined
316 with one of the original phages (AB-Navy71) to produce a third phage cocktail, called
317 Φ IVB (Table 3), which was then administered to the patient.

318
319 **Endotoxin level in bacteriophage preparation.** As potential residual endotoxin from
320 the bacterial host cells could be harmful to the patient, each separate bacteriophage
321 cocktail was assessed for residual endotoxin using a commercial assay. Average
322 endotoxin levels of bacteriophage cocktails Φ PC, Φ IV and Φ IVB were 2.4×10^3 EU/ml,
323 5.89×10^3 EU/ml and 1.64×10^3 EU/ml respectively. Therefore, each bacteriophage cocktail
324 preparation was diluted accordingly in lactated Ringer's solution to meet the FDA
325 recommended endotoxin limitation for intravenous application of 5 EU/kg body
326 weight/hour.

327
328 **Outcome of bacteriophage therapy.** The patient's prognosis was grave when
329 bacteriophage therapy was first initiated with cocktail Φ PC through percutaneous
330 catheters draining the pseudocyst cavity, the biliary cavity and a third intraabdominal

331 cavity. During this time the patient was unresponsive to commands and had developed
332 renal failure with a creatinine of 3.68 mg/dL. Over the next 36 hours his clinical
333 condition was stable but he remained comatose, intubated, and on three pressors with
334 worsening renal and hepatic function. In view of his ongoing critical clinical condition
335 and since it was clear that his *A. baumannii* infection included anatomic sites well beyond
336 the intraabdominal cavities, an additional systemic administration of the bacteriophage
337 therapy was instigated through intravenous administration of a new bacteriophage
338 cocktail (Φ IV). The intravenous bacteriophage administration was well tolerated and was
339 repeated at increasingly frequent intervals over the next two days. His pressor
340 requirements diminished and he abruptly awoke from his coma and became conversant
341 with his family for the first time in several weeks. It was then noted that a recent *A.*
342 *baumannii* isolate was susceptible to minocycline and that antibiotic was added to his
343 regimen four days after the initial administration of cocktail Φ PC. Over the ensuing three
344 weeks, the course remained complex but he generally demonstrated ongoing
345 improvement on all fronts. His mental status continued to improve and he was fully
346 conversant and lucid. He was weaned off the ventilator, his pressors were gradually
347 weaned and discontinued, and his renal function gradually improved. Bacteriophage
348 therapy was continued for an additional eight weeks, during which time he demonstrated
349 continued clinical improvement. All drains were removed and he was discharged home
350 on day 245. He has subsequently returned to work.

351

352 **Emergence of bacteriophage-resistant bacteria during bacteriophage therapy.**

353 During the course of treatment, the bacteriophages used in this study were examined for

354 *in vitro* activity against successive patient isolates as those isolates became available.
355 Consequently, it was discovered that an *A. baumannii* isolate, TP3, which was isolated
356 eight days after initiation of bacteriophage therapy, was resistant to both of the initially
357 used bacteriophage cocktails (Φ PC and Φ IV). Therefore, TP3 was used to rapidly (within
358 72 hours) select for additional bacteriophages with lytic activity against this isolate.
359 Using conventional bacteriophage enrichment techniques, an additional bacteriophage,
360 AbTP3 Φ 01, was isolated from raw sewage that inhibited growth of isolate TP3.
361 Interestingly, this effect was enhanced when combined with bacteriophage AB-Navy71
362 from the original Φ IV cocktail (Figure 3d). The activity of the Φ IV cocktail was tested in
363 combination with different concentrations of minocycline to determine whether the
364 bacteriophage cocktail affected the activity of sub-MIC concentrations of the drug. As
365 shown in Figure 3h, although the bacteriophage cocktail itself had lost activity against the
366 organism, the bacteriophage appeared to prevent the outgrowth of bacteria with enhanced
367 minocycline resistance after extended culture.
368
369 **Bacteriophage pharmacokinetics.** To better understand the pharmacokinetics of
370 intravenous administration of therapeutic bacteriophages, we examined the titer of active
371 phage in plasma samples after IV administration of the Φ IVB phage cocktail. We found
372 bacteriophage concentrations of 18,000 pfu/ml in plasma five minutes after an IV bolus
373 of 4×10^9 pfu of bacteriophages. These levels fell over the 6-hour dosing interval (Figure
374 4). An *in vitro* study of phage inactivation in plasma was subsequently conducted using
375 plasma collected 90 days following cessation of phage therapy. The study demonstrated
376 that the titer of each phage in the Φ IVB phage cocktail as well as phage AbTP3 Φ 1

377 declined at a more rapid rate than when suspended in the patient's plasma than in normal
378 saline. This supports the possibility that phage neutralization by plasma might be one of
379 the contributors to the decay of phage activity in plasma in the pharmacokinetic studies.
380 (Supplemental material).

381

382 **Morphological characteristics of bacteriophages and the hosts.** Electron micrographs
383 of the Φ IV and Φ PC cocktail bacteriophages indicated that these bacteriophages display a
384 short tail with well-defined head structure. Morphologically these eight bacteriophages
385 are all consistent with the Myoviridae family of bacteriophage, whereas bacteriophage
386 AbTP3 Φ 1 is comparatively small and consistent with the Podoviridae family (Figure 5).

387 In addition, we sought to investigate the morphological characteristics of the bacterial
388 isolates and some phenotypic differences observed among them. First, following
389 cultivation of the patient's isolates in the laboratory, a 'sticky' phenotype was observed
390 only for TP3. As organisms absorbed water a mucinous overlayer was formed.

391 Second, Raman spectroscopy was conducted on TP1, TP2, and TP3 with the purpose of
392 examining alterations in the molecular composition of bacterial isolates during the
393 evolution of phage resistance. Mean Raman spectra of each isolate are shown in Figure
394 6a. Raman spectra are dominated by polysaccharide and protein contributions. The
395 Raman spectral band at 979 cm^{-1} previously reported to be associated with capsule
396 related colony morphology and phage susceptibility in AB5075 strains (9) was not
397 observed in any of the interrogated strains suggesting alterations to capsule structure in
398 the encapsulated TP strains. When comparing spectra of TP1 (capsulated, susceptible to
399 first cocktail), TP2 (capsulated, reduced susceptibility to first cocktail) and TP3

400 (unencapsulated, resistant to first cocktail), the intensity within the 1030-1380 cm^{-1}
401 region is significantly increased for TP2 and TP3 spectra and only minor alterations in
402 relative peak intensities are observed across all three strains. For bacterial isolates, the
403 1030-1380 cm^{-1} spectral region is composed of contributions from both proteins and
404 polysaccharides. There are no observed changes within the Amide I region (1600-1700
405 cm^{-1}), a spectral region sensitive to changes in protein contribution and secondary
406 structure and not associated with polysaccharides (24, 25). The marked increase in peak
407 intensity within 1030-1380 cm^{-1} can therefore be attributed to increased polysaccharide
408 content in TP2 and TP3 samples. Loss of the bacterial capsule in TP3 with observed
409 increase in polysaccharide content suggests increased production of extracellular
410 polymeric substance in response to phage treatment and may contribute to the transition
411 in phage susceptibility observed from TP1 to TP3. Finally, given these results, we
412 performed capsular staining of TP1, TP2, and TP3 isolates. Upon staining and
413 microscopy TP1 and TP2 were both found to exhibit a typical capsule, whereas TP3 did
414 not (Figure 6b-d and Supplemental Figures 3-5), consistent with these Raman
415 spectroscopy data interpretations.

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419 **DISCUSSION**

420 Here we demonstrated the successful application of a novel approach to the preparation
421 of personalized therapeutic bacteriophage cocktails to rescue a patient from a life-
422 threatening MDR *A. baumannii* infection. This case supports further study of the use of

423 phage therapy in treating patients suffering from MDR bacterial infections with limited
424 therapeutic options. As with any uncontrolled clinical observation, there are a number of
425 important caveats; primarily, we cannot exclude the possibility that reversal of his
426 clinical deterioration was unrelated to the phage therapy. However, after an inexorably
427 downhill clinical course over the prior three months to the point that discussions about
428 clinical futility had been initiated, a clear turning point was observed within 48 hours of
429 starting intravenous bacteriophage therapy. The potential interplay between the
430 bacteriophages used in his therapy and minocycline is also complex. His *A. baumannii*
431 infection rapidly became resistant to colistin and tigecycline early in his course of
432 treatment, but activity of minocycline was maintained for several weeks when it was
433 added to his bacteriophage therapy five days *after* bacteriophage therapy was initiated.
434 We were able to demonstrate an additive *in vitro* activity between the bacteriophages and
435 sub-inhibitory concentrations of minocycline when used in combination against a
436 bacteriophage resistant *A. baumannii* isolate. Additive or synergistic activity has been
437 previously demonstrated both *in vitro* and in animal model systems between
438 bacteriophages and traditional antibiotics (for example see (9, 18, 26-28) and references
439 therein). Of particular relevance is a recent paper by Oechslin, et al, describing the
440 interaction between phage and antibiotics in a *Pseudomonas aeruginosa* endocarditis
441 infection model which describes unprecedented practical evidence for the idea that the
442 most significant benefits of phage therapy will emerge synergistically and that the
443 emergence of phage resistant bacteria can be avoided or delayed through combination
444 therapy. It is worth noting the significantly different pharmacokinetic data between our
445 study and the Oechslin report. Where phage clearance was on the order of hours in the rat

446 model, it was on the order of minutes in our human patient. Differences between the two
447 studies could contribute to the differences observed. In particular, phage circulation
448 longevity was measured in uninfected rats rather than in the presence of infection; the *P.*
449 *aeruginosa* cocktail had twelve phages, ours had four; and the phage-titer to body weight
450 ratio differed greatly - 1×10^{10} pfu/mL was injected into a small rat body; 5×10^9 total
451 phages was injected into much larger human body. It is also possible that differences in
452 plasma clearance kinetics reflect antibody-mediated neutralization or other clearance
453 mechanisms that were operative in our patient that were not present in the rat model. A
454 fuller understanding of peripheral blood phage kinetics in humans will require more
455 systematic studies in additional patients.

456
457 Bacterial mutation to phage resistance has also been associated with significant
458 fitness costs for the bacterium. Surface features such as capsule, lipopolysaccharide, or
459 pili may be used as bacteriophage receptors but can also be pathogenicity factors, and
460 their loss may result in attenuated virulence.³³ Although *A. baumannii* was not
461 immediately cleared from abscess cavity drainage or bronchial washings, strains with
462 substantially reduced susceptibility to the phages administered subsequently emerged.
463 This strongly suggests that the *A. baumannii* population evolved in response to selection
464 pressure exerted by the phages. In fact, we observed differences in colony morphology
465 among these isolates, which could possibly be due to differences in capsular production
466 and a loss of virulence, consistent with previous results obtained from phage treatment in
467 a mouse model of *A. baumannii* infection (9). Results obtained from Raman spectroscopy
468 and capsular staining are in support of this idea, with Raman spectroscopy showing subtle

469 differences among all 3 isolates, and what could potentially be extracellular polymeric
470 substance associated with TP3 and capsular staining indicating lack of capsule around
471 TP3 cells. It has been shown in other studies that culturing *A. baumannii* with antibiotics
472 below the minimum inhibitory concentration can result in differences in capsular
473 production (29). The lack of capsule on TP3 cells may also contribute to the enhancement
474 of their phage-antibiotic synergy possibly because antibiotics may more easily penetrate
475 TP3's outer membrane (Figure 3h). Although *A. baumannii* with putative reduced fitness
476 could be isolated from open abscess cavities and bronchial washings for some time after
477 initiation of phage therapy, the only time phage was documented in his bloodstream after
478 therapy was initiated was in association with migration of his cholecystostomy tube into
479 his hepatic parenchyma on day 127. The bacterial isolates from this study, as well as the
480 bacteriophages used in treatment, are currently being characterized at the genetic level to
481 facilitate our understanding of the mechanisms involved in the loss of capsule, the
482 enhancement of antibiotic synergy, and the rise of bacteriophage resistance during the
483 course of this patient's treatment with phages.

484 A number of concerns have been raised about the potential toxicities and the
485 practicality of bacteriophage therapy for MDR bacterial infections. However, in this
486 particular case, we overcame these hurdles and did not observe any discernible adverse
487 clinical events. For example, concerns have arisen about the possibility that an
488 accelerated lysis of Gram-negative bacterial pathogens could release clinically significant
489 levels of endotoxin (30, 31) . A parallel concern can be made for administration of some
490 antibiotics or any other alternative treatment that could lead to rapid, widespread cell
491 lysis. While the patient's clinical instability at the time therapy was initiated made it

492 difficult to detect all but the most dramatic deleterious clinical effects of phage therapy,
493 no adverse effects of phage administration were evident in association with either the
494 intracavitary or IV phage administrations.

495 It has also been posited that phages could facilitate the transfer of genetic
496 elements conferring drug resistance and pathogenicity among bacteria; however, by
497 producing phage on the same bacterial isolate already present in the patient, the risk of
498 introducing exogenous genetic information conferring increased virulence or antibiotic
499 resistance is minimized. The inherent specificity of bacteriophage to the species if not
500 strain level minimizes the potential of horizontal gene transfer, compared to more
501 promiscuous plasmid conjugation or the uptake of exogenous DNA in naturally
502 transformable hosts. Counter to the concerns for increased antibiotic resistance following
503 phage therapy, in the current case we also consistently observed *decreased* resistance to
504 antibiotics after phage therapy. Additionally, the narrow bacterial host range of
505 bacteriophages can also be a potential advantage in the treatment of MDR organisms as
506 their specificity would be less likely to perturb the commensal microbiome of the patient.

507 Since *A. baumannii* phages have narrow host ranges it was necessary to identify
508 phages capable of propagating on the TP1 strain isolated from the patient. Through a
509 labor-intensive enterprise, two laboratories were each able to independently identify,
510 propagate and purify four bacteriophages with lytic activity directed at the isolate within
511 ten days of receiving the strain. *A. baumannii* isolates characterized after the start of
512 bacteriophage therapy had reduced susceptibility to the initial bacteriophages. Emergence
513 of bacteriophage-resistant populations of *A. baumannii* was likely delayed by the use of
514 combinations of bacteriophages (see Figure 3f for example). When the resistant bacteria

515 were isolated, it was possible to identify a “second generation” bacteriophage that was
516 active against the bacteriophage-resistant *A. baumannii* strain to counter the emergence of
517 phage-resistant subpopulations. The specificity of anti-bacteriophage systems makes it
518 unlikely that broad anti-bacteriophage mechanisms will arise, as opposed to the spread of
519 multi-drug resistant efflux pump mechanisms in response to conventional broad-spectrum
520 antibiotic therapy. Finally, other reported benefits of bacteriophage therapy include an
521 ability to exhibit synergy with or restore susceptibility to conventional antimicrobial
522 agents, as observed in this case, and the potential ability to disrupt biofilms (27, 28).

523 Many questions remain about the clinical potential of bacteriophage therapy for
524 serious MDR organisms. Future studies should focus on delineating and optimizing
525 safety; pharmacokinetics and pharmacodynamics; multiplicity of infection and valency;
526 efficiency of bacteriophage identification and deployment; modes of administration; and
527 methodologies for monitoring emergence of bacteriophage resistance once therapy is
528 initiated. In addition, the impact of phage on biofilms and on the microbiome of the host
529 is of interest, as is how best to manage concomitant antimicrobial therapy. These trials
530 will face the same challenges posed by those who seek to evaluate novel small molecule
531 antimicrobial agents in the treatment of patients with severe multidrug resistant
532 infections. Nonetheless, while it is clear that administering phage as a monotherapy is
533 unlikely in cases of serious illness, the increasing threats posed by MDR bacterial
534 pathogens and the slow progress in the development of novel classes of traditional
535 antimicrobial agents, clinical trials focusing on delineating the extent to which
536 bacteriophage-based therapeutics could be used on their own as a last resort or as an
537 adjunct to traditional antibiotics are warranted.

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561 **Table 1**

Strain	Isolation date	Site of isolation	Phenotype
TP1	March 10, 2016	Pancreatic drainage of patient	Capsulated, susceptible to Φ IV
TP2	March 21, 2016	Pancreatic drainage of patient	Capsulated, reduced susceptibility to Φ IV
TP3	March 23, 2016	Pancreatic drainage of patient	Unencapsulated, resistant to Φ IV

562 **Table 1: Bacterial isolates from this study.**

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565 **Table 2**

Phage	Activity against	Source	Isolated from	Family
AB-Navy1	TP1	US Navy phage library	Sewage water	Myoviridae
AB-Navy4	TP1	US Navy phage library	Sewage water	Myoviridae
AB-Navy71	TP1	US Navy phage library	Sewage water	Myoviridae
AB-Navy97	TP1	US Navy phage library	Sewage water	Myoviridae
AbTP3Φ1	TP1, TP2, TP3	US Navy phage library	Sewage water	Podoviridae
AC4	TP1	AmpliPhi Corporation, CA	Environmental sample	Myoviridae
C1P12	TP1	Texas A & M University	Environmental sample	Myoviridae
C2P21	TP1	Texas A & M University	Environmental sample	Myoviridae
C2P24	TP1	Texas A & M University	Environmental sample	Myoviridae

566

567 **Table 2: Phages used in this study.**

568 **Table 3**

Phage cocktail	Composition	Route of administration	Timing of administration	Therapeutic dose
ΦPC	AC4, C1P12, C2P21, C2P24	Intracavitary - through percutaneous catheters draining the pseudocyst cavity, the gall bladder and a third intra-abdominal cavity	18 weeks beginning day 109	NA*
ΦIV	AB-Navy1, AB-Navy4, AB-Navy71, AB-Navy97	intravenous	16 weeks beginning day 111	5x10 ⁹ pfu
ΦIVB	AB-Navy71, AbTP3Φ1	intravenous	2 weeks beginning day 221	5x10 ⁹ pfu

569 *Used for intracavitary washes

570 **Table 3: Composition and details of administration of each phage cocktail.**

571

Figure Legends

Figure 1: Clinical course before and during the initial phase of bacteriophage therapy.

Positive blood cultures are depicted above the graphic data, whereas antibiotic and phage administration are indicated below.

Figure 2: Screening of *A. baumannii* phage library against TP1 clinical isolate. A subset of 98 phages from the Navy phage library were individually tested against the *A. baumannii* TP1 strain using the OmniLog system (BioLog®, Hayward, CA) as in (20, 21). Briefly, growth of bacteria or lack of growth due to lysis from phage infection was monitored every 15 minutes via a redox chemical reaction employing cellular respiration as a universal reporter, where cellular respiration from growth reduces a tetrazolium-based dye and produces a color change. If the growth is weakly positive or is negative, then respiration is slow or absent and so little to no color change is observed. The results of this assay after 20 hours are summarized here, where the color gradient indicates duration of bacterial growth inhibition.

Figure 3: Activity of bacteriophage cocktails. Activity of cocktails Φ PC and Φ IV against serial isolates of *A. baumannii* isolated from intraabdominal drains before bacteriophage therapy (strain TP1, panels 3a and 3e), and four days after initiation of antibiotic therapy (Strain TP2, panels 3b and 3f), and eight days after initiation of bacteriophage therapy (Strain TP3, panels 3c and 3g). Panel d demonstrates the derivation of a second generation bacteriophage cocktail directed at the TP3 *A. baumannii* strain, a mixture of AB-Navy71 and AbTP3 Φ 1 against this strain. Panel h demonstrates the additive activity of the Φ IV bacteriophage cocktail (10^7 pfu) and a sub-lethal concentration of minocycline (0.25 μ g/mL) against *A. baumannii* strain TP3. The IC_{50} of *A. baumannii* strain TP1, TP2 and TP3 to minocycline were 1, 2 and 4 μ g/mL respectively.

Figure 4: Bacteriophage titer from plasma samples during bacteriophage therapy. Plasma sample collected five minutes prior to and following administration of 5×10^9 pfu of bacteriophage via intravenous injection indicated that bacteriophage titers in systemic circulation increase rapidly from 0 pfu/mL to 1.8×10^4 pfu/mL. Bacteriophage titer dropped to 4.4×10^3 pfu/mL by 30 minutes, 3.3×10^2 pfu/mL by 60 minutes, and 20 pfu/mL by 120 minutes post injection. Plasma samples collected six hours following initial injection contained no detectable bacteriophage titer (limit of bacteriophage detection was 20 pfu/mL).

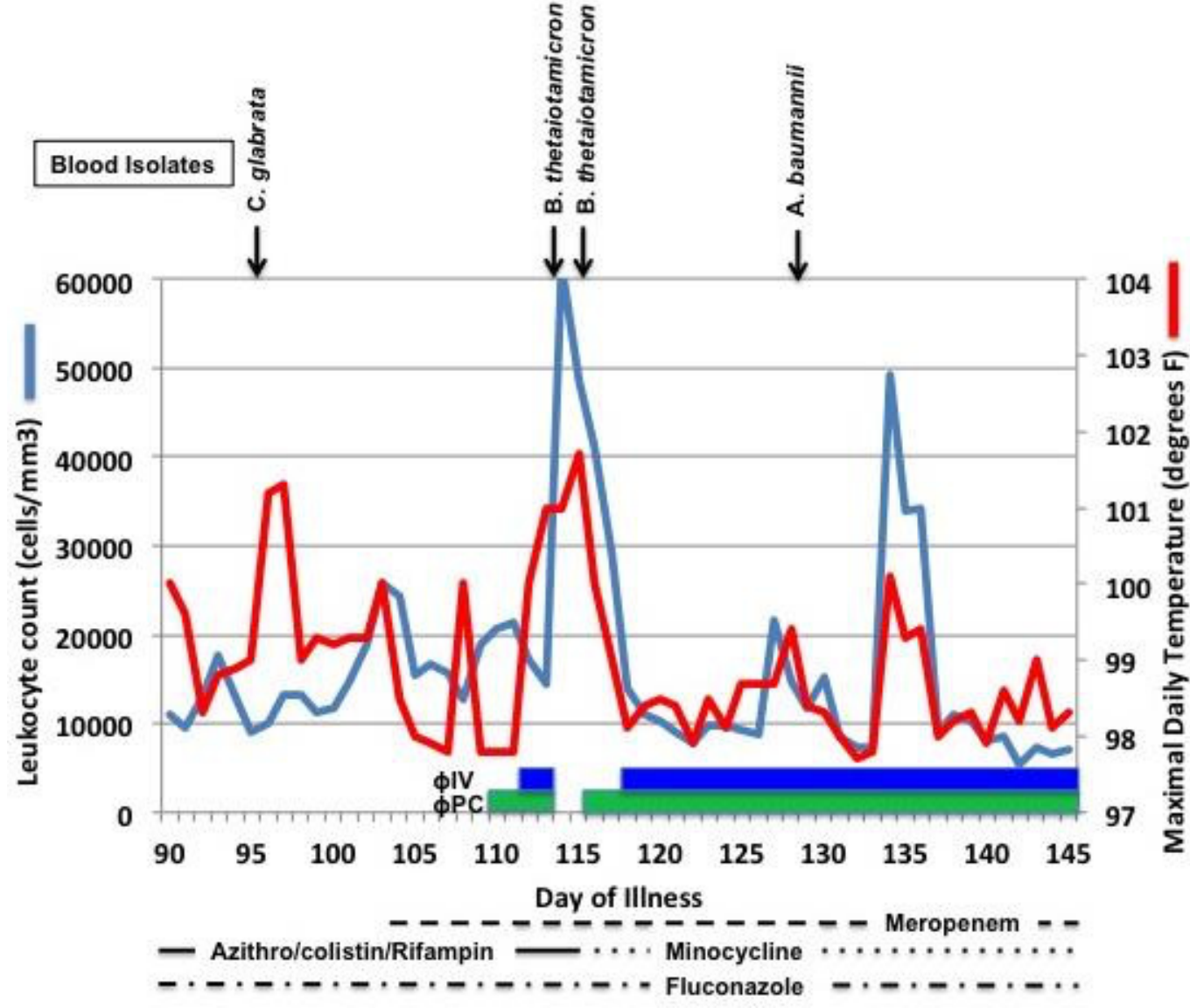
Figure 5: Transmission electron micrographs of *A. baumannii*-specific bacteriophages. Electron micrographs of the Φ IV cocktail phages showed large prolate myobacteriophage morphology (a-d) and short small podophage morphology (e). Bacteriophage AbTP3 Φ 1, isolated against strain TP3, is a small podophage. Panels a-e: AB-Navy1, AB-Navy4, AB-Navy71, AB-Navy97 and AbTP3 Φ 1, respectively.

Figure 6: Investigation into morphological characteristics of *A. baumannii* isolates. The three *A. baumannii* isolates' apparent morphological differences were examined by a) Raman spectroscopy using a PhAT Probe 830 nm system and in b-d, by capsule staining with crystal violet. Capsule staining of isolate TP1 is shown in b, of TP2 is shown in c, and of TP3 is shown in d.

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Abφ1	Abφ2	Abφ3	Abφ4	Abφ5	Abφ6	Abφ7	Abφ8	Abφ9	Abφ10	Abφ11	Bacterial growth inhibition scale
Abφ12	Abφ13	Abφ14	Abφ15	Abφ16	Abφ17	Abφ18	Abφ19	Abφ20	Abφ21	Abφ22	
Abφ23	Abφ24	Abφ25	Abφ26	Abφ27	Abφ28	Abφ29	Abφ30	Abφ31	Abφ32	Abφ33	
Abφ34	Abφ35	Abφ36	Abφ37	Abφ38	Abφ39	Abφ40	Abφ41	Abφ42	Abφ43	Abφ44	
Abφ45	Abφ46	Abφ47	Abφ48	Abφ49	Abφ50	Abφ51	Abφ52	Abφ53	Abφ54	Abφ55	
Abφ56	Abφ57	Abφ58	Abφ59	Abφ60	Abφ61	Abφ62	Abφ63	Abφ64	Abφ65	Abφ66	0 hours
Abφ67	Abφ68	Abφ69	Abφ70	Abφ71	Abφ72	Abφ73	Abφ74	Abφ75	Abφ76	Abφ77	6 hours
Abφ78	Abφ79	Abφ80	Abφ81	Abφ82	Abφ83	Abφ84	Abφ85	Abφ86	Abφ87	Abφ88	12 hours
Abφ89	Abφ90	Abφ91	Abφ92	Abφ93	Abφ94	Abφ95	Abφ96	Abφ97	Abφ98		20 hours

