List of Corrections	
Fatal: plus patch	v

#### Mah Dissertat'n

Mark Pinese

#### **ORIGINALITY STATEMENT**

'I hereby declare that this submission is my own work and to the best of my knowledge it contains no materials previously published or written by another person, or substantial proportions of material which have been accepted for the award of any other degree or diploma at UNSW or any other educational institution, except where due acknowledgement is made in the thesis. Any contribution made to the research by others, with whom I have worked at UNSW or elsewhere, is explicitly acknowledged in the thesis. I also declare that the intellectual content of this thesis is the product of my own work, except to the extent that assistance from others in the project's design and conception or in style, presentation and linguistic expression is acknowledged.'

Signed	
Date	

## ${\bf Acknowledgements}$

Da abstract.

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## List of Algorithms

### Software versions

Unless otherwise specified, the following versions of software were used in all work.

bamtools	2.2.2
bedtools	2.18.2
$\operatorname{cd-hit}$	4.6.1 MP Fatal: plus patch
FastQC	0.10.1
GATK	3.1-1
julia	0.3.2
MSigDB	4.0
$\operatorname{muTect}$	1.1.6-4-g69b7a37
ncbi-blast	2.2.29
picard-tools	1.109
PROVEAN	1.1.5
Python	2.7.8 / 3.4.1
R	3.1.1
ahaz	1.14
depmixS4	1.3-2
doParallelMC	1.0.8
Exact	1.4
$\operatorname{GSVA}$	1.14.1
illuminaHumanv4.db	1.24.0
lumi	2.18.0
lumidat	1.2.3
nleqslv	2.5
NMF	0.20.5
nnls	1.4
${ m org. Hs. eg. db}$	3.0.0
random Forest	4.6-10
Rsolnp	1.14
survival	2.37-7
samtools	1.0
SHRiMP	2.2.3
strelka	1.0.14

tabix	1.0
vcftools	0.1.10
VEP	76

#### Conventions

Unless otherwise specified, the following conventions are used throughout this dissertation.

- $\bullet$  Indices in algorithm pseudocode are 1-based.
- $\bullet$  Logarithms (log) and exponentiations (exp) are to base e.

#### Chapter 1

### A Preoperative Molecular Prognostic for Pancreas Cancer

Thesis: A preoperative prognostic tool for pancreas cancer can be developed to discriminate good between and poor prognosis patients more reliably than current methods.

**Summary** For those patients fortunate enough to be diagnosed with a resectable tumour, surgical removal of the primary cancer is the best first-line therapy for pancreas cancer. However, the significant morbidity associated with pancreas cancer resection makes it cruicially important to only operate on the patients who stand to benefit from the procedure. Identifying just those patients who will respond to resection remains a serious challenge in pancreas cancer treatment: current criteria to select patients for resection perform poorly, and consequently many patients will undergo a complex procedure, with serious effects on future quality of life, for little benefit. Tumour biomarkers have the potential to dramatically refine morphology-based staging criteria by supplying a direct readout of tumour biology, and recent technological developments have enabled the preoperative measurement of tissue biomarkers in pancreas cancer. The ability to measure pancreas cancer tissue biomarker levels preoperatively, combined with the enhanced information on disease state available from tissue biomarkers, finally enables the development of preoperative staging criteria that accurately identify pancreas cancer patients for resection. This chapter details the development and validation of a two-biomarker preoperative prognostic tool for resectable pancreas cancer, that can be used to define new resectability criteria to accurately select patients who stand to benefit from primary tumour resection.

#### 1.1 Introduction

For patients with a resectable tumour and no known metastases, surgical removal of the primary tumour is the current recommended first-line therapy for pancreas cancer, and the only intervention offering the realistic possibility of a cure [4]. However, pancreas cancer resection is a major procedure, with the potential for serious complications, morbidity, and reduced quality of life following recovery [5]. Due to the substantial negative effects of surgery, the decision of whether or not to perform curative-intent resection should balance the risks of surgery against its expected benefits, tailored to each individual case.

Unfortunately, current practice guidelines recommend that curative-intent surgery be offered to all metastasis-free patients with a resectable tumour, with no consideration of personal benefit [4]. This blanket approach to selecting patients for curative resection has proven to be highly inadequate. Even following pathologically complete tumour removal and adjuvant chemotherapy, more than 70% of current pancreas ductal carcinoma patients will relapse with, and ultimately succumb to, distant metastases [1]. These occult metastases must have been present prior to removal of the primary tumour, yet were undetectable during initial investigations, and their presence means that any curative-intent resection was futile. As a result, the majority of 'curative' resections that are undertaken based on current selection criteria are performed on patients with occult metastases, have no hope of actually effecting a cure, and would not have been undertaken at all if the presence of the metastases had been known prior to surgery. Better methods for selecting patients for resection are urgently needed.

A number of pancreas cancer grading and schemes and prognostic tools have been described, but inconsistent performance, or a reliance on information that can only be known post-operatively, limits their use in pre-operative decisions. The level of serum carbohydrate antigen 19-9 (CA-19-9) is a well-characterised biomarker of pancreas cancer, with high levels correlating with increased tumour burden, lower probability of resectability, and worse prognosis. CA-19-9 levels are easily determined pre-operatively, but the use of this marker is complicated by a lack of consensus on threshold concentrations, the elevation of CA-19-9 levels by a number of conditions other than pancreas cancer, and the complete absence of this marker in approximately 10% of the general population. Additionally, the link between CA-19-9 levels and the likelihood of occult metastases – a primary concern when deciding whether or not to resect – is unclear (TODO REF).

The current standard prognostic tool for pancreas cancer is the Memorial Sloan-Kettering Cancer Center (MSKCC) nomogram [3], which integrates a number of clinico-pathological variables (CPVs) to arrive at point estimates for survival post-resection. Unfortunately, its clinical utility is small: as it relies on information that is only available following resection, the MSKCC

nomogram is only useful in a post-operative context, and cannot assist in pre-operative decisions to resect. This severely limiting reliance on postoperative variables was made necessary by the fact that most classical prognostic factors in pancreas cancer (such as lymph node infiltration, or histological grade) can only be reliably measured following resection (TODO cite to prog factors summary). Any prognostic tool for pancreas cancer that relies only on classical CPVs will likely share this same reliance on post-operative variables; an effective pre-operative prognostic conversely will need to be based on measurements other than the classical CPVs.

Tissue biomarkers can provide an almost direct window on the cellular state of tumour cells, and thus have the potential to predict cell behaviour far more reliably than macroscopic CPVs. Given that most pancreas cancer patients who undergo curative resection quickly recur due to occult metastases, biomarkers of metastasis have the potential to identify those patients who are likely to already have occult metastatic disease at the time of surgery, and thus better inform the decision to resect. Two such biomarkers of metastasis are the cancer cell levels of the epithelial to mesenchymal transition (EMT)-related S100A2 and S100A4 proteins, both of which are strongly predictive of outcome following resection, and appear to reflect the presence of a pro-metastatic invasive phenotype in the cancer [2, 10, 6]. Unfortunately, these tissue biomarkers have to date only been assessed in bulk tissue samples collected during surgery, and their utility, or even measurability, in a pre-operative setting, is untested.

Recent techological developments have made possible the pre-operative measurement of tissue biomarkers as a part of endoscopic ultrasound (EUS), a routine diagnostic modality for pancreas cancer. Immunohistochemical (IHC) staining has been successfully performed on fine needle aspirate (FNA) biopsies of pancreas neoplasms collected during EUS [7, 8, 9], and in principle EUS-FNA-IHC could form the basis of a pre-operative biomarker measurement methodology for routine use in pancreas cancer diagnosis. Although this proposed biomarker measurement approach is not currently in common use, it utilises only techniques that are commonly available in pancreas cancer treatment centres, and thus has the potential to be rapidly integrated into current diagnostic workflows, should biomarker measurements prove to be clinically useful.

TODO: What I'm going to do.

The majority of pancreas cancer resection procedures today are performed on patients who should never have been offered surgical resection at all. These patients have undetected metastases at the time of surgery, and will derive little benefit from a major operation with serious impacts on quality of life. Current tools for patient staging and estimation of prognosis are either ineffective at identifying patients at risk for occult metastases, or only applicable post-operatively, and thus cannot be used to inform the decision of whether or not to resect. Preoperatively-assessable tissue biomarkers of pancreas can-

cer metastatic potential are known. These biomarkers could form the basis of a preoperative prognostic tool that predicts personalised outcome following surgery, and assists in making treatment decisions appropriate for each individual pancreas cancer patient.

Final wrapup: current processes for staging for surgery are ineffective. This is likely due to the poor quality of information on basic tumour processes that can be gleaned from macroscopic measurements. Biomarkers give a direct window into basic cancer state / type, and therefore behaviour. The technology now exists to assay biomarkers in PC samples, but no preoperative staging guidelines have yet been developed for this. This work aims to develop and comprehensively validate the first preoperative prognostic tool to aid in staging for PC resection. Application of this tool requires no special techniques or equipment, allowing it to be rapidly translated to use in PC treatment centres.

Preoperative staging systems (eg. ) are restricted to determining resectability alone, with no consideration of benefit, and postoperative prognostic tools require knowledge of variables that cannot be known prior to resection.

TODO: Add Ca-19-9 to nomogram? At least have it as a preoperative comparison? Subset pts by threshold of 200 U/mL preoperative (or 163 U/mL?).

#### 1.2 Results

Cohort characteristics

Development of a preoperative prognostic model

Validation of the prognostic model

Intro here on disc & calib. Also describe cohorts briefly.

Discrimination

Calibration

Web tool TODO – better name

- 1.3 Discussion
- 1.4 Methods

Cohort recruitment and ethics

## Appendices

### Appendix A

# Basis matrix W for the six survival-associated metagenes

	MG1	MG2	MG3	MG4	MG5	MG6
A4GALT	0.0295	0.0000	1.2977	0.0788	0.3625	0.5232
A4GNT	0.0000	0.7419	0.0483	0.0539	0.3720	0.0666
ABHD16A	0.6623	0.7249	0.0000	0.0000	0.5217	0.2210
ABHD5	0.1481	0.7473	0.0000	0.7478	0.3988	1.1727
ABLIM1	0.0145	0.9135	0.3159	0.0000	0.6066	0.3419
ACE	0.0333	0.8332	0.0536	0.0000	0.0000	0.1814
ACKR3	0.0029	0.0000	0.3821	0.3591	0.2080	0.5772
ACYP2	0.2481	0.8949	0.0000	0.2334	0.8454	0.4110
ADH1A	0.0730	0.4440	0.0052	0.1009	0.6614	0.0000
ADM	0.0000	0.0000	0.5168	0.5137	0.0000	0.3570
AGRP	0.0000	0.0000	0.0000	0.6786	0.0000	0.1744
AKIP1	0.6365	0.2394	0.6036	0.7118	0.7849	0.7168
AKR1A1	0.2470	1.0849	0.2633	0.2921	0.6588	0.4524
ALDH5A1	0.0988	0.9930	0.5463	0.0566	0.8968	0.2222
ALOX5AP	0.0525	0.0084	0.0147	1.2654	0.3441	0.7138
AMOT	0.0653	0.8246	0.1374	0.5176	0.4311	0.5705
ANGPTL2	0.0000	0.0000	0.3694	0.8726	0.1807	0.9222
ANGPTL4	0.1789	0.0000	0.4156	0.0461	0.0260	0.3906
ANKLE2	0.7503	0.1422	0.6238	0.5082	0.1879	0.3839
ANKRD22	0.4067	1.3536	0.1731	0.2672	0.0381	0.2229
ANKRD37	0.0562	0.1817	0.2150	0.7249	0.0129	0.5715
ANLN	1.1696	0.2368	0.0796	0.0772	0.0000	0.7203
APCDD1	0.0000	0.1375	0.1494	0.1308	0.5957	0.8366
APCS	0.0000	0.0306	0.1569	0.1001	0.1638	0.3521
ARFGAP3	0.0252	0.2988	0.5370	0.8377	0.4872	0.5353
ARHGAP24	0.0628	1.0614	0.0157	0.7487	1.1007	0.6209

```
ARHGEF19
                       0.0833
                                1.2033
                                                          0.5071
              0.0837
                                        0.5242
                                                 0.4520
    ARL4C
                                                          1.2264
              0.0000
                       0.0171
                                0.3025
                                        0.4910
                                                 0.2953
     ARSD
              0.1550
                       1.2389
                                0.1919
                                        0.0000
                                                 0.2154
                                                          0.1439
     ASPM
                                0.2026
              1.1736
                       0.3897
                                        0.1743
                                                 0.0380
                                                          0.0396
    ATAD2
              0.9358
                       0.0696
                                0.1136
                                        0.0265
                                                 0.1092
                                                          0.3070
   ATF7IP2
              0.0000
                       0.2019
                                0.1165
                                        0.0000
                                                 0.0319
                                                          0.0000
      ATL3
              0.6429
                       0.0252
                                0.1566
                                        0.4867
                                                 0.2467
                                                          0.2863
   AURKB
              1.0027
                       0.1107
                                0.1351
                                        0.0000
                                                 0.0096
                                                          0.0000
     AXIN2
              0.0000
                       0.5221
                                0.4413
                                        0.1313
                                                 0.8077
                                                          0.2911
 B3GALTL
              0.3601
                       0.3276
                                0.5636
                                        0.3806
                                                 0.4898
                                                          0.7750
    BAMBI
                       0.0034
              0.1091
                                0.8430
                                        0.3931
                                                 0.2428
                                                          0.1686
      BBS2
              0.2474
                       1.1417
                                0.0000
                                        0.2202
                                                 1.0006
                                                          1.1598
   BCKDK
              0.2186
                       0.2923
                                0.8654
                                         1.0655
                                                 0.4050
                                                          0.1090
   BCL11B
              0.1982
                       0.9231
                                0.2260
                                        0.2401
                                                          0.0000
                                                 0.4151
     BIRC5
                       0.1694
                                0.3679
                                                 0.0000
                                                          0.2427
              1.3802
                                        0.5452
       BOC
              0.0000
                       0.0000
                                0.3211
                                        0.0000
                                                 1.6086
                                                          0.0000
   BTN3A1
                                0.0729
              0.6641
                       0.7077
                                        0.2544
                                                 0.9928
                                                          0.2964
    C1orf56
              0.0000
                       0.8742
                                0.0000
                                        0.3677
                                                 0.1145
                                                          0.3590
 C1QTNF6
              0.0000
                       0.0000
                                0.5885
                                                 0.2234
                                        0.6205
                                                          0.9726
    C2orf70
              0.1081
                       1.0889
                                0.0206
                                        0.0000
                                                 0.0000
                                                          0.0000
    C5orf46
              0.0000
                       0.0000
                                0.0000
                                         1.0562
                                                 0.1278
                                                          1.0438
   C9orf152
              0.2087
                       1.3686
                                0.0000
                                        0.3548
                                                 0.0206
                                                          0.0000
       CA8
              0.0000
                       0.6859
                                0.0502
                                        0.0094
                                                 0.0536
                                                          0.0000
  CACHD1
              0.0000
                       0.6891
                                0.0153
                                        0.0000
                                                 1.0768
                                                          0.4880
   CADPS2
                       1.2923
              0.2591
                                0.0000
                                        0.5506
                                                 1.0209
                                                          0.5729
  CAMK1G
              0.0940
                       0.2377
                                0.0000
                                        0.0316
                                                 0.8847
                                                          0.0000
    CAPN6
              0.0000
                       0.7541
                                0.0000
                                        0.2282
                                                 0.6418
                                                          0.0000
 CARHSP1
              0.7535
                       0.5316
                                0.8652
                                        0.8993
                                                 0.2633
                                                          0.0000
CATSPER1
              0.1179
                       0.0000
                                0.9199
                                        0.0000
                                                 0.0000
                                                          0.1046
      CAV1
              0.4195
                       0.0000
                                                 0.2714
                                0.1925
                                        0.0801
                                                          0.8420
 CCDC88A
              0.0000
                       0.1729
                                0.4668
                                        0.0109
                                                 0.8006
                                                          1.0201
     CCL19
              0.0000
                       0.0000
                                0.0000
                                        0.0000
                                                 0.9529
                                                          0.0000
    CCNB1
                       0.4638
                                0.1274
                                        0.2506
                                                 0.0155
              1.4334
                                                          0.3645
      CCR7
              0.0569
                       0.0000
                                0.0000
                                        0.0000
                                                 1.0524
                                                          0.0000
      CD70
              0.0870
                       0.0000
                                0.2096
                                        0.3612
                                                 0.0000
                                                          0.4343
       CDA
                       0.0000
              0.2927
                                0.3408
                                        0.0000
                                                 0.0000
                                                          0.6991
    CDC45
              0.9608
                       0.0779
                                0.1086
                                        0.3364
                                                 0.0336
                                                          0.0000
    CDK12
              0.1906
                       0.2755
                                0.0000
                                        0.0788
                                                 0.8330
                                                          0.0000
     CDK2
              1.0635
                       0.2517
                                0.0111
                                        0.5230
                                                 0.3310
                                                          0.3338
    CEBPB
              0.0729
                       0.0654
                                1.2909
                                        0.5287
                                                 0.5065
                                                          0.8131
     CEP55
                       0.3340
                                0.0000
                                                 0.0000
              1.4198
                                        0.1690
                                                          0.4555
    CFDP1
              0.3512
                       0.5466
                                0.7440
                                         0.6706
                                                 0.0000
                                                          0.2594
  CHAF1B
              0.9890
                       0.2957
                                0.1997
                                        0.0187
                                                          0.0960
                                                 0.5165
    CHEK1
              1.5161
                       0.1621
                                0.0000
                                        0.0034
                                                 0.1080
                                                          0.2731
```

```
CHN2
                                 0.0000
                                                           0.0000
               0.0000
                        0.4963
                                         0.3389
                                                  0.4366
     CIDEC
                        0.0000
                                                           0.0000
               0.0279
                                 0.4258
                                         0.2777
                                                  0.0038
    CIDECP
               0.1140
                        0.0232
                                 0.5161
                                         0.2795
                                                  0.1093
                                                           0.0000
    CKAP2L
                        0.2230
                                 0.2724
                                         0.0319
                                                  0.0000
               1.7829
                                                           0.0884
    CLEC3B
               0.0589
                        0.0691
                                 0.1151
                                         0.0110
                                                  0.8063
                                                           0.0000
      CNIH3
               0.0000
                                 0.0000
                                                  0.0000
                        0.0591
                                         0.3178
                                                           0.6014
    CNNM1
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                        0.8666
                                 0.4109
                                         0.0000
                                                  0.0897
                                                           0.0000
   COL12A1
               0.0000
                        0.1328
                                 0.0340
                                         0.5329
                                                  0.1874
                                                           1.6461
    COL5A3
               0.0000
                        0.0000
                                 0.1816
                                         0.0351
                                                  0.0660
                                                           1.0286
    COL7A1
               0.0000
                        0.0000
                                 0.5858
                                         0.0000
                                                  0.0000
                                                           0.5878
COLGALT1
               0.3987
                        0.1554
                                 0.6227
                                         0.4286
                                                  0.1646
                                                           0.8792
COLGALT2
               0.0000
                        0.6011
                                 0.0000
                                                  0.0000
                                                           0.0000
                                         0.0199
    COX4I2
               0.0000
                        0.1744
                                 0.0740
                                         0.0000
                                                  0.9855
                                                           0.3346
   CSNK1D
               0.2122
                        0.3756
                                 1.5627
                                         0.4799
                                                           0.2284
                                                  0.1570
       CST6
                        0.0000
                                 0.2022
               0.0651
                                         0.0000
                                                  0.0690
                                                           0.6328
       CTSL
               0.3897
                        0.0000
                                 0.1976
                                         1.1757
                                                  0.4702
                                                           0.2240
       CTSV
               0.3015
                        0.0439
                                 0.2623
                                         0.0203
                                                  0.0194
                                                           0.1819
    CYP2S1
               0.3223
                        1.0232
                                 0.1543
                                         0.0000
                                                  0.0927
                                                           0.0000
     DCAF8
               0.0000
                        1.1369
                                         0.1094
                                                  0.5277
                                 0.4818
                                                           0.1875
   DCBLD2
               0.4024
                        0.0000
                                 0.1236
                                         0.0000
                                                  0.1426
                                                           0.8437
  DCUN1D5
               1.3599
                        0.0751
                                 0.0000
                                         0.8575
                                                  0.9561
                                                           0.7193
 DENND1A
               0.8191
                        0.0000
                                 0.2458
                                         0.1898
                                                  0.0000
                                                           0.1782
      DERA
               1.1839
                                 0.4571
                                                  0.2890
                                                           0.3195
                        0.1952
                                         0.6042
     DHRS9
               0.0000
                        0.0000
                                 0.9957
                                         0.3426
                                                  0.0000
                                                           0.1699
      DKK1
               0.4779
                        0.0000
                                 0.2976
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                                                  0.0000
                                                           0.0242
    DNAJC9
               0.7779
                        0.1108
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                                         0.1159
                                                  0.1329
                                                           0.1528
   DPY19L1
               0.3414
                        0.3625
                                 0.2993
                                         0.5360
                                                  0.0781
                                                           0.5087
       DSG2
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                        0.5696
                                 0.1794
                                         0.5147
                                                  0.0387
                                                           0.7066
       DSG3
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                        0.0000
                                 0.2140
                                         0.0000
                                                  0.0000
                                                           0.5384
  DYNC2H1
               0.0000
                                 0.1497
                        1.6131
                                         0.0000
                                                  0.7591
                                                           0.6693
       E2F7
               1.0366
                        0.0000
                                 0.0315
                                         0.0222
                                                  0.0000
                                                           0.5360
      EDIL3
               0.0000
                        0.0000
                                 0.0000
                                         0.8576
                                                  0.0121
                                                           0.8163
   EIF2AK3
               0.1806
                        1.2690
                                 0.0000
                                                  0.6143
                                         0.3842
                                                           0.3321
   ELMOD3
               0.0000
                        1.1608
                                 0.6902
                                         0.3859
                                                  0.5348
                                                           0.0874
      EMP3
               0.2499
                        0.0000
                                 0.4619
                                         0.1582
                                                  0.2170
                                                           0.5646
       ENO2
                                                  0.0000
               0.3608
                        0.3375
                                 0.7898
                                         0.0339
                                                           0.9442
     EPHX2
               0.0000
                        0.5912
                                 0.1080
                                                  0.6761
                                                           0.0000
                                         0.1660
    ERRFI1
               0.1599
                        0.0301
                                 0.5475
                                         0.3478
                                                  0.2866
                                                           0.7895
    EXOSC8
               0.9336
                        0.6010
                                 0.2789
                                                  0.3682
                                                           0.1481
                                         1.0216
       EYA3
               0.0000
                        0.0869
                                 0.5323
                                         0.0000
                                                  0.0000
                                                           0.9120
        FAH
               0.6763
                        0.4158
                                                           0.3914
                                 0.3555
                                         0.2131
                                                  0.3240
FAM120AOS
               0.1803
                        1.0488
                                 0.0000
                                         0.2845
                                                  0.7143
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                               0.0000
                                                0.3184
                                                         0.8946
                                        0.4022
     RERE
             0.0485
                      0.7372
                               0.6212
                                        0.0026
                                                0.9874
                                                         0.4207
   RERGL
                      0.0000
                               0.0000
                                                         0.0000
             0.2378
                                        0.1054
                                                 1.1842
     RFC5
              1.0809
                      0.2444
                               0.0000
                                        0.5248
                                                0.1556
                                                         0.3147
      RFK
              0.0000
                      0.6594
                               0.1169
                                        0.0000
                                                0.4342
                                                         0.2100
     RFX2
              0.0000
                      0.2219
                               0.2372
                                        0.0000
                                                0.4551
                                                         0.2959
     RGS3
              0.2370
                      0.1243
                               0.0000
                                        0.8096
                                                0.2269
                                                         0.3212
     RGS5
             0.0000
                      0.4317
                               0.0455
                                                0.5794
                                        0.0788
                                                         0.0934
     RHOF
             0.7466
                      0.1749
                               0.4760
                                        0.1428
                                                0.0000
                                                         0.5878
 RMND5A
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                      0.1188
                               0.2601
                                        0.7065
                                                 0.0000
                                                         0.0750
   RNF103
             0.0344
                      1.2504
                               0.1672
                                                0.2894
                                        0.5545
                                                         0.0635
     RPA2
              0.4727
                      0.6964
                               0.7005
                                        0.4129
                                                 1.4239
                                                         0.2443
     RPIA
             0.4609
                      1.3515
                               0.2200
                                        0.1918
                                                0.4584
                                                         0.0000
   SAMD5
                      0.5397
                               0.0000
             0.1340
                                        0.0000
                                                0.0860
                                                         0.0000
 SCGB2A1
              0.0000
                      0.8288
                               0.0000
                                        0.1826
                                                 0.1547
                                                         0.0000
    SCYL2
              0.7048
                      0.3901
                               0.0000
                                        0.9782
                                                 0.4060
                                                         0.9614
    SDIM1
              0.0000
                      0.0455
                               0.2422
                                        0.0000
                                                 0.5017
                                                         0.0000
  SEC23IP
              0.3380
                      1.2955
                               0.0000
                                        0.5310
                                                0.3578
                                                         0.4605
SELENBP1
              0.0000
                      1.2032
                                                0.2603
                                                         0.0000
                               0.3621
                                        0.2011
   SEPW1
              0.0349
                      0.9518
                               1.2360
                                        0.0000
                                                0.6293
                                                         0.5568
SERPINB3
              0.0000
                      0.0000
                               0.1755
                                        0.1787
                                                 0.0000
                                                         0.0506
SERPINH1
              0.0000
                      0.0115
                               0.3898
                                        0.2169
                                                0.4300
                                                         1.0203
```

```
SERTAD2
                 0.2931
                          0.1441
                                  0.8991
                                           0.9858
                                                    0.4859
                                                             0.4437
       SGSM1
                          0.9290
                                           0.0211
                                                             0.0000
                 0.0000
                                  0.0817
                                                    0.8410
      SH3GL1
                 0.1173
                          0.1075
                                   1.0090
                                           1.2494
                                                    0.2155
                                                             0.0000
      SLAMF9
                 0.0435
                          0.0000
                                  0.0000
                                                    0.0000
                                                             0.0657
                                           0.6663
     SLC12A2
                 0.0380
                          0.9089
                                  0.3449
                                           0.0968
                                                    0.4855
                                                             0.1821
     SLC15A1
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                          0.0000
                                  0.4779
                                           0.0000
                                                    0.0569
                                                             0.0565
     SLC16A3
                                                    0.0000
                 0.1282
                          0.3828
                                   1.1047
                                           0.4222
                                                             0.9957
      SLC2A1
                 0.1786
                          0.1209
                                  0.9980
                                           0.4099
                                                    0.0000
                                                             0.7045
      SLC2A3
                 0.0000
                          0.0000
                                  0.3369
                                           0.7592
                                                    0.3268
                                                             0.7204
     SLC30A3
                 0.4502
                          0.5017
                                  0.0822
                                           0.2136
                                                    0.6568
                                                             0.0654
     SLC40A1
                 0.0000
                          0.8927
                                  0.0000
                                           0.5789
                                                    0.2440
                                                             0.1550
        SMOX
                 0.3692
                          0.2900
                                   1.4313
                                           0.9987
                                                    0.1840
                                                             0.0000
  SNORA11D
                 0.0849
                          0.2729
                                  0.4795
                                           0.4375
                                                    0.0039
                                                             0.2687
       SNRPB
                 0.9900
                          0.0786
                                  0.4143
                                           0.9037
                                                    0.0238
                                                             0.0000
        SOBP
                 0.0000
                          0.1979
                                  0.8103
                                                    1.3581
                                                             0.0039
                                           0.1044
         SOD2
                 0.5780
                          0.1207
                                  0.0000
                                           0.4656
                                                    0.4023
                                                             0.1652
       SPHK1
                                                    0.6221
                 0.2590
                          0.0000
                                  0.2748
                                           0.0907
                                                             1.4095
        SPIN4
                                  0.7960
                 0.8495
                          0.3236
                                           0.3855
                                                    0.2224
                                                             0.3985
      SPOCD1
                 0.0000
                          0.0000
                                  0.1782
                                                    0.0000
                                           0.2094
                                                             0.7594
      SPOCK1
                 0.1196
                          0.0000
                                  0.0293
                                           0.5189
                                                    0.3390
                                                             1.2727
         SPP1
                 0.0294
                          0.0805
                                  0.0000
                                           1.0413
                                                    0.3073
                                                             0.7357
     ST3GAL2
                 0.3414
                          0.0000
                                  0.8015
                                           1.0746
                                                    0.4432
                                                             0.0000
     ST6GAL1
                 0.1717
                          0.8423
                                  0.0000
                                           0.2289
                                                    0.6651
                                                             0.0916
ST6GALNAC1
                 0.0396
                          0.9957
                                  0.0803
                                           0.1154
                                                    0.0000
                                                             0.1050
      STAT5B
                          0.9053
                 0.0000
                                  0.3202
                                           0.0618
                                                    1.3050
                                                             0.2213
        STK39
                 0.1526
                          0.9966
                                  0.2351
                                           0.1373
                                                    0.0838
                                                             0.1226
      SUGCT
                 0.0000
                          0.0321
                                  0.0000
                                           0.6297
                                                    0.1256
                                                             0.9331
        SULF2
                 0.1725
                          0.1513
                                  0.4552
                                           0.1878
                                                    0.3858
                                                             0.7665
       SYNE2
                 0.0000
                          0.8824
                                  0.2432
                                           0.0000
                                                    0.2767
                                                             0.2763
       TAF5L
                 0.2232
                          1.0626
                                  0.1753
                                                    0.2327
                                                             0.2249
                                           0.2440
      TARBP2
                 0.6779
                          0.3829
                                  1.2178
                                           0.6116
                                                    0.1843
                                                             0.0000
       TCEA3
                 0.0000
                          0.8898
                                  0.2645
                                           0.0922
                                                    0.6204
                                                             0.0000
        TCTA
                 0.0000
                          0.7508
                                  0.8167
                                                    0.9836
                                                             0.0178
                                           0.0875
       TGFBI
                 0.1874
                          0.0000
                                  0.1522
                                           0.1879
                                                    0.0548
                                                             0.9986
      THSD7B
                 0.0859
                          0.2031
                                  0.0000
                                           0.2900
                                                    0.9574
                                                             0.1114
         TLE4
                                                    0.8984
                 0.0509
                          0.8787
                                  0.0746
                                           0.3315
                                                             0.4660
      TM9SF3
                 0.0000
                          1.0785
                                  0.2190
                                           0.0000
                                                    0.1641
                                                             0.2114
      TMED1
                 0.2561
                          0.3378
                                  1.1457
                                           0.8311
                                                    0.4929
                                                             0.2755
     TMEM26
                 0.0407
                          0.0237
                                  0.1028
                                                    0.2223
                                                             1.4490
                                           0.4886
      TMTC4
                 0.0000
                          1.2865
                                  0.3348
                                           0.2090
                                                    0.1995
                                                             0.2756
  TNFRSF10D
                 0.1474
                          0.1117
                                  0.6603
                                                    0.0000
                                                             0.1751
                                           0.4579
   TNFRSF17
                 0.0258
                          0.0455
                                  0.0000
                                           0.0803
                                                    0.5772
                                                             0.0000
   TNFRSF6B
                 0.6268
                          0.0000
                                  0.0684
                                           0.1841
                                                    0.0000
                                                             0.3940
        TOM1
                 0.0000
                          0.1032
                                   1.4892
                                           0.8140
                                                    0.6813
                                                             0.5236
```

TOM1L2	0.1892	0.0000	0.6276	0.3305	0.0489	0.2346
TOR2A	0.0000	0.9859	0.4755	0.2012	0.5273	0.0000
TPD52L2	0.6311	0.1617	1.3107	0.6501	0.4351	0.2322
TPX2	1.3192	0.1540	0.0351	0.1488	0.0392	0.1087
TRAPPC2	0.5080	1.0792	0.0000	0.4917	0.6155	0.1418
TREM1	0.0472	0.0000	0.0870	0.7055	0.0000	0.3006
TRERF1	0.4920	0.2861	0.3810	0.1345	0.0517	0.1346
TRIM2	0.1310	1.1544	0.3127	0.3092	0.3595	0.0000
TSTD1	0.1685	1.2229	0.4834	0.0685	0.4502	0.0191
TUBA1C	1.3100	0.5454	0.5360	0.5305	0.2711	0.5032
TWIST1	0.0000	0.0000	0.1970	0.9070	0.1202	1.2015
UFC1	0.0000	1.1861	0.2466	0.4651	0.2997	0.0000
UHRF2	0.1520	0.2931	0.3251	0.4968	0.6565	1.1025
UPP1	0.5505	0.0000	0.7864	0.4294	0.1567	0.1100
USP30	0.5449	0.1353	0.3862	0.0000	0.0771	0.0000
VPS35	0.3941	1.3902	0.0000	0.5311	0.0000	0.2457
VSTM2L	0.3176	0.0000	0.9398	0.0000	0.0509	0.0656
WNT2B	0.0885	0.1107	0.0000	0.0139	0.4530	0.0000
XXYLT1	0.2408	0.0000	1.0488	1.0782	0.4595	0.8654
ZBED2	0.1569	0.0000	0.1800	0.0000	0.0000	0.6435
ZFPM1	0.0000	1.2172	0.2917	0.0000	0.4340	0.1504
ZNF185	0.2542	0.1747	1.0210	0.4834	0.0000	0.7221
ZNF565	0.0701	0.2851	0.0717	0.0569	0.2393	0.0768
ZNF658	0.0000	0.8769	0.0000	0.0000	0.9099	0.2753
ZPLD1	0.0000	0.0000	0.1873	0.0325	0.0294	0.1074
ZSCAN16	0.3012	1.4502	0.0000	0.0175	0.5146	0.5090
ZSCAN32	0.3467	1.1558	0.4982	0.3027	0.7286	0.2378

### Appendix B

# MSigDB signatures correlated with axis A1

Table B.1: MSigDB signatures substantially correlated with activity of the prognostic axis A1.

#### MSigDB set

- $c5.M.PHASE/c5.MITOSIS/c5.M.PHASE\_OF\_MITOTIC\_CELL\_CYCLE$
- c5.REGULATION\_OF\_MITOSIS
- c5.CELL\_CYCLE\_PROCESS/c5.MITOTIC\_CELL\_CYCLE/c5.CELL\_CYCLE\_PHASE
- c5.SPINDLE
- c4.MORF\_BUB1B
- c6.CSR\_LATE\_UP.V1\_SIGNED
- c5.SPINDLE\_POLE
- c2.PID\_PLK1\_PATHWAY
- c5.ORGANELLE\_PART/c5.INTRACELLULAR\_ORGANELLE\_PART
- ${\tt c2.REACTOME\_CELL\_CYCLE/c2.REACTOME\_CELL\_CYCLE\_MITOTIC}$
- c2.REACTOME\_CYCLIN\_A\_B1\_ASSOCIATED\_EVENTS\_DURING\_G2\_M\_TRANSITION
- c2.REACTOME\_MITOTIC\_PROMETAPHASE
- c2.KEGG\_CELL\_CYCLE
- c5.CHROMOSOME\_SEGREGATION
- c4.MORF\_FEN1
- $c2.REACTOME\_G1\_S\_SPECIFIC\_TRANSCRIPTION$
- ${\tt c2.REACTOME\_ACTIVATION\_OF\_THE\_PRE\_REPLICATIVE\_COMPLEX/c2.REACTOME\_ACTIVE\_COMPLEX/c2.REACTOME_ACTIVE\_COMPLEX/c2.REACTOME_ACTIVE\_COMPLEX/c2.REACTOME_ACTIVE\_CATIVE\_COMPLEX/c2.REACTO$
- c2.REACTOME\_E2F\_ENABLED\_INHIBITION\_OF\_PRE\_REPLICATION\_COMPLEX\_FORMATIO
- ${\tt c2.REACTOME\_E2F\_MEDIATED\_REGULATION\_OF\_DNA\_REPLICATION}$
- c5.CELL\_CYCLE\_GO\_0007049
- c2.REACTOME\_KINESINS
- c3.V\$ELK1\_02
- $c5.SPINDLE\_MICROTUBULE$
- $c5.MITOTIC\_CELL\_CYCLE\_CHECKPOINT$
- c2.REACTOME\_CELL\_CYCLE\_CHECKPOINTS/c2.REACTOME\_G1\_S\_TRANSITION/c2.REACT
- c4.MORF\_ESPL1
- c4.MORF\_BUB1
- c4.MORF\_BUB3/c4.MORF\_RAD23A
- c5.CONDENSED\_CHROMOSOME
- c4.MORF\_RFC4/c4.MORF\_RRM1
- c2.BIOCARTA\_G2\_PATHWAY
- c3.SCGGAAGY\_V\$ELK1\_02
- c2.PID\_AURORA\_A\_PATHWAY
- c5.MITOTIC\_SISTER\_CHROMATID\_SEGREGATION/c5.SISTER\_CHROMATID\_SEGREGATION
- c4.MORF\_UNG
- c2.PID\_FOXM1PATHWAY
- c4.MORF\_GSPT1
- c2.REACTOME\_METABOLISM\_OF\_NUCLEOTIDES

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- c2.PID\_ATR\_PATHWAY
- c2.BIOCARTA\_MCM\_PATHWAY
- c4.MORF\_CCNF
- $c5.CELL\_CYCLE\_CHECKPOINT\_GO\_0000075$
- $c5. MITOTIC\_SPINDLE\_ORGANIZATION\_AND\_BIOGENESIS/c5. SPINDLE\_ORGANIZATION\_AND\_BIOGENESIS/c5. SPINDLE\_ORGANIZATION_AND\_BIOGENESIS/C5. SPINDLE\_ORGANIZATION_AND\_BIOGENESIS/C5. SPINDLE\_ORGANIZATION_AND\_BIOGENESIS/C5. SPINDLE\_ORGANIZATION_AND\_BIOGENESIS/C5. SPINDLE\_ORGANIZATION_AND\_BIOGENESIS/C5. SPINDLE\_ORGANIZATION_AND\_BIOGENESIS/C5. SPINDLE\_ORGANIZATION_AND\_BIOGENESIS/C5. SPINDLE_ORGANIZATION_AND_BIOGENESIS/C5. SPINDLE_ORGANIZATION_AND_BIOGENE$
- $c4.MORF\_EI24$
- c5.DOUBLE\_STRAND\_BREAK\_REPAIR
- c4.GNF2\_PA2G4/c4.GNF2\_RAN
- c2.REACTOME\_G2\_M\_DNA\_DAMAGE\_CHECKPOINT
- c2 KEGG PVRIMIDINE METAROLISM

#### Appendix C

# MSigDB signatures correlated with axis A2

Table C.1: MSigDB signatures substantially correlated with activity of the prognostic axis A2.

#### GeneSet

- c2.PID\_INTEGRIN1\_PATHWAY
- c2.PID\_INTEGRIN3\_PATHWAY
- c2.PID\_UPA\_UPAR\_PATHWAY
- c4.GNF2\_PTX3
- c2.KEGG\_ECM\_RECEPTOR\_INTERACTION
- c2.PID\_INTEGRIN5\_PATHWAY
- c4.GNF2\_MMP1
- $c2. REACTOME\_EXTRACELLULAR\_MATRIX\_ORGANIZATION/c2. REACTOME\_COLLAGEN\_FOR COLLAGEN\_FOR COLLAGEN$
- c5.AXON\_GUIDANCE
- c2.KEGG\_FOCAL\_ADHESION
- c2.PID\_SYNDECAN\_1\_PATHWAY
- c2.REACTOME\_CELL\_EXTRACELLULAR\_MATRIX\_INTERACTIONS
- c2.PID\_INTEGRIN\_CS\_PATHWAY
- $c5.TISSUE\_DEVELOPMENT$
- c5.COLLAGEN
- c6.CORDENONSI\_YAP\_CONSERVED\_SIGNATURE
- c6.LEF1\_UP.V1\_SIGNED
- c2.REACTOME\_INTEGRIN\_CELL\_SURFACE\_INTERACTIONS
- $c5. AXONOGENESIS/c5. CELLULAR\_MORPHOGENESIS\_DURING\_DIFFERENTIATION$
- c6.STK33\_NOMO\_SIGNED
- c7.GSE17721\_CTRL\_VS\_CPG\_12H\_BMDM\_SIGNED
- c7.GSE1460\_INTRATHYMIC\_T\_PROGENITOR\_VS\_THYMIC\_STROMAL\_CELL\_SIGNED

#### Appendix D

# Approximate calculation of PARSE scores

Exact calculation of prognostic axis risk stratification estimate (PARSE) score requires the solution of a number of non-negative least squares (NNLS) problems, which complicates application. The NNLS solutions can be approximated with conventional least squares solutions, ultimately transforming the calculation of an approximate PARSE score into a simple weighted sum of gene expression measurements.

Recall that non-negative matrix factorization (NMF) finds factorizations of the form A = WH, with all elements of A, W, and H, being non-negative. In the reverse problem of PARSE calculation, A and  $\widehat{W}$  are supplied, and H is to be estimated. I propose an approximation that removes the requirement that H be non-negative,  $H \approx \widehat{W}^+A$ , where  $\widehat{W}^+$  is the Moore-Penrose pseudoinverse of  $\widehat{W}$ . By combining this approximation with the linear combination of metagene coefficients that forms the PARSE score, we can approximate PARSE as a simple weighted sum of gene expression measurements:

$$P = LH \tag{D.1}$$

$$\approx L\widehat{W}^+ A$$
 (D.2)

$$=kA$$
 (D.3)

where P is the vector of PARSE score values, L is the metagene loadings for the PARSE score,  $L = (1.354 - 1.548 \ 0 \ 0 - 1.354 \ 1.548)$ , and k is a row vector of gene loadings for calculation of an approximate PARSE score. Approximation of P by kA appears excellent; when tested on Australian Pancreatic Cancer Genome Initiative (APGI) gene expression measurements, the approximation closely matched the more laborious exact NNLS solution (Figure D.1).

To use the approximation in practice, perform the following steps:

1. Prepare a gene  $\times$  sample matrix of linear expression estimates A, in which values for each row (gene) have been scaled to encompass the

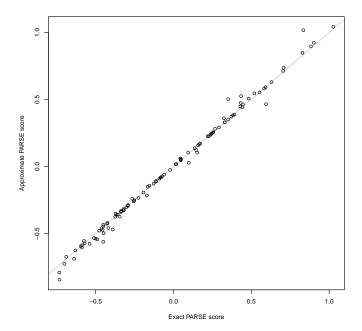


Figure D.1: The linear PARSE score approximation  $P \approx kA$  closely matches the exact version calculated using NNLS, when evaluated on APGI GEX data.

range 0 to 1.

- 2. Subset A to only the genes present in the k table (below), and arrange rows of A so that they exactly match the order of rows of k. If genes present in k are missing from A, insert all-zero rows for these genes into A.
- 3. Calculate approximate PARSE scores P as P = kA. This is equivalent to, for each column (sample) of A, multiplying each entry of the column of A with the corresponding entry of k, and summing the results.

The loading vector for the calculation of approximate PARSE score,  $\boldsymbol{k}^T,$  follows.

	Value
A4GALT	0.00418
A4GNT	-0.01632
ABHD16A	0.00143
ABHD5	0.01227
ABLIM1	-0.01392
ACE	-0.00556
ACKR3	0.00802

ACYP2 -0.01298 ADH1A -0.01845ADM 0.00122**AGRP** -0.00509 AKIP1 0.00545AKR1A1 -0.01321ALDH5A1 -0.02452ALOX5AP -0.00179AMOT -0.00825ANGPTL2 0.01178ANGPTL4 0.01365ANKLE2 0.01205ANKRD22-0.00941ANKRD37 0.00474ANLN 0.04364APCDD1 0.01244APCS 0.00602ARFGAP3 -0.01070 ARHGAP24 -0.02524ARHGEF19 -0.00476ARL4C 0.02609ARSD -0.01466ASPM 0.01593ATAD2 0.02602ATF7IP2-0.00405ATL3 0.00972**AURKB** 0.01869AXIN2 -0.01658**B3GALTL** 0.01113**BAMBI** -0.00680 BBS20.00587**BCKDK** -0.02452BCL11B -0.02161BIRC5 0.02419BOC -0.03047BTN3A1 -0.00868 C1 orf 56-0.00865C1QTNF6 0.01572C2orf70 -0.01360 C5orf46 0.01559C9orf152 -0.02152CA8-0.01129 CACHD1 -0.01313 CADPS2 -0.02136

CAMK1G -0.01790 CAPN6 -0.02615CARHSP1 -0.01515CATSPER1 0.00163CAV1 0.02989CCDC88A 0.01480CCL19 -0.01715 CCNB1 0.03071CCR7-0.01775CD700.00954CDA0.02792CDC45 0.01256CDK12 -0.01624CDK20.01546**CEBPB** 0.00404CEP550.03755CFDP1 -0.00617CHAF1B 0.00920CHEK1 0.03669CHN2 -0.02051CIDEC -0.00596CIDECP -0.00684CKAP2L 0.03545CLEC3B -0.01500 CNIH3 0.01413CNNM1 -0.01611 COL12A1 0.04098COL5A3 0.03177COL7A1 0.01688COLGALT1 0.02272COLGALT2-0.00903COX4I2 -0.00943 CSNK1D -0.01128CST60.02032CTSL-0.01263 CTSV0.00987CYP2S1-0.01044DCAF8 -0.02374DCBLD20.03351DCUN1D5 0.02056DENND1A 0.01898DERA 0.01568DHRS9 -0.00454DKK10.00649

```
DNAJC9
              0.01385
  DPY19L1
              0.00749
      DSG2
              0.01463
      DSG3
              0.02070
  DYNC2H1
             -0.01537
      E2F7
              0.03923
     EDIL3
              0.01326
  EIF2AK3
             -0.02073
  ELMOD3
             -0.03300
     EMP3
              0.01550
      ENO2
              0.02998
    EPHX2
             -0.02392
   ERRFI1
              0.01597
   EXOSC8
             -0.00850
      EYA3
              0.02671
       FAH
              0.01035
FAM120AOS
             -0.00980
  FAM134B
             -0.01945
 FAM189A2
             -0.01692
   FAM83A
              0.01202
  FAM91A1
              0.01341
   FBXO22
              0.00649
   FBXW8
             -0.00891
    FEM1B
              0.04785
       FER
              0.02675
       FGB
             -0.00252
      FGD6
              0.02545
       FGG
              0.00548
    FHDC1
             -0.01380
     FLRT3
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     FRZB
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#### Glossary

APGI Australian Pancreatic Cancer Genome Initiative. 18, 19

CA-19-9 carbohydrate antigen 19-9. 2

CPV clinico-pathological variable. 2, 3

EMT epithelial to mesenchymal transition. 3

**EUS** endoscopic ultrasound. 3

 ${\bf FNA}\,$  fine needle aspirate. 3

**GEX** gene expression. 19

**IHC** immunohistochemical. 3

**IHC** immunohistochemistry. 3

MSigDB molecular signatures database. i, iii, 15–17

MSKCC Memorial Sloan-Kettering Cancer Center. 2

NMF non-negative matrix factorization. 18

NNLS non-negative least squares. 18, 19

PARSE prognostic axis risk stratification estimate. i, ii, 18, 19

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