Tumor Heterogeneity

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May 3, 2017

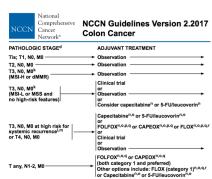
Overview

- Background
 - Clinical basis of intratumor genomic heterogeneity
 - Methods of assessing tumor heterogeneity
 - Tumor Phylogenetics
- ② General Algorithm
 - Simple Example
 - Enumeration of Z
- Results
- 4 Discussion
- 5 Future Work

Clinical basis

- Treatment and surveillance hinges on pathologic stage + a basket of prognostic factors
- What is pathologic stage?
- Example: stages and management algorithm for colon cancer
 - Prognostic factors for colon cancer: e.g. perineural or lymphovascular invasion, CEA level, MSS, BRAF, VEGF, CNA, CpG Methylator Phenotype

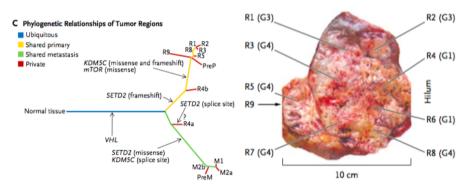
Stage	TNM
1	T1 or T2, N0, M0
IIA	T3, N0, M0
IIB	T4a, N0, M0
IIC	T4b, N0, M0
IIIA	-T1 or T2, N1, M0 -T1, N2a, M0
IIIB	-T3 or T4a, N1, M0
	-T2 or T3, N2a, M0 -T1 or T2 N2b, M0
IIIC	-T4a, N2a, M0
	-T3 or T4a, N2b, M0 -T4b, N1 or N2, M0
IVA	Any T, Any N, M1a
IVB	Any T, Any N, M1b



Intratumor genetic heterogeneity as molecular anatomy

Metastatic renal cell carcinoma:

- Region of tumor biopsied
 – subclones with different driver mutations
 - False to assume a single sample is representative of tumor genetics
 - Grade (also prognostic) not reflective of genomics
- Metastasis can be from minor subclone- would want to characterize subclones to maximal resolution to predict resistance



Sources: Gerlinger et al. NEJM. 2012; Samuel et al. Clinical Chemistry. 2013

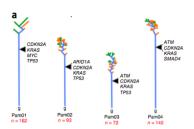
Intratumor genetic heterogeneity as a prognostic factor

- Chronic lymphocytic leukemia:
 - Subclonal sSNVs increase with treatment and number of treatments
 - Subclonal evolution enriched by treatment associated with
 - emergence of driver mutations
 - decreased progression free survival
- Head and neck cancer:
 - MATH: width of the distribution of MAF across mutated loci within an individual tumor
 - Increase in MATH (intratumor heterogeneity) shorter survival time (even when controlling for risk factors: age, HPV status, tumor grade, nodal involvement, TP53 mutation)
- Similar findings of heterogeneity in esophageal, glioblastoma, breast cancer

Sources: Landau et al. Cell. 2013; Mroz et al. PLOS Medicine. 2015

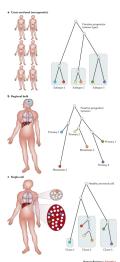
Clinical basis caveats

- Not a new finding: FISH demonstrated intratumor structural genetic diversity in 1990s in many cancer types
 - What is new: proof that drivers can be present in low allelic fraction via minor subclones
 - may not initially confer a selective advantage
 - but may become drivers when selective pressure is altered by chemotherapy (or microenvironment in case of metastasis)
- Not a universal finding: only trunkal driver mutations were found in 4 patients with 26 metastatic pancreatic cancer lesions



Sources: Moore et al. Nature Genetics. 2017; Samuel et al. Clinical €hemistry. 2013 a €

3 Main Phylogeny Problems



- Cross-sectional tumor phylogenetics
- Regional bulk tumor phylogenetics
- Single-cell tumor phylogenetics

Schwartz, Russell and Alejandro A. Schaffer. "The evolution of tumour phylogenetics: principles and practice" Nature Review Genetics, 2017: (18) 213-229.

Setting

- Input: C, mutational CCF.
- Output: Z, P: the tree and clonal CCF
- Simplifications: ignoring CNVs and only looking at SNVs
- Big picture: C = ZP, given number of clones c we wish to find clusters (columns of Z) and optimize such that P is valid (all columns in P must sum to 1).

Setting: the Matrices

$$S = \# samples; \qquad n = \# loci;$$

$$C = \begin{pmatrix} c_{11} & c_{12} & \cdots & c_{1s} \\ c_{21} & c_{22} & \cdots & c_{2s} \\ \vdots & \vdots & \ddots & \vdots \\ c_{n1} & c_{n2} & \cdots & c_{ns} \end{pmatrix}_{loci \times samples}$$

$$Z = \begin{pmatrix} z_{11} & z_{12} & \cdots & z_{1c} \\ z_{21} & z_{22} & \cdots & z_{2c} \\ \vdots & \vdots & \ddots & \vdots \\ z_{n1} & z_{n2} & \cdots & z_{nc} \end{pmatrix}_{loci \times clones} P = \begin{pmatrix} p_{11} & p_{12} & \cdots & p_{1s} \\ p_{21} & p_{22} & \cdots & p_{2s} \\ \vdots & \vdots & \ddots & \vdots \\ p_{c1} & p_{c2} & \cdots & p_{cs} \end{pmatrix}_{clones \times samples}$$

Algorithm

Fix the number of clones at c.

$$C_{i} = \begin{pmatrix} c_{1i} \\ c_{2i} \\ \vdots \\ c_{ni} \end{pmatrix} = p_{1,i} \begin{pmatrix} 0 \\ 0 \\ \vdots \\ 0 \end{pmatrix} + p_{2,i} \begin{pmatrix} 1 \\ 0 \\ \vdots \\ 0 \end{pmatrix} + \cdots + p_{2^{n},i} \begin{pmatrix} 1 \\ 1 \\ \vdots \\ 1 \end{pmatrix}$$

Optimize the above for $p_{j,i}$ with the constraint that only c $p_{j,i}$ values can be non-zero (only have c clones) across the C_i , $i=1,\ldots,s$, where the non-zero $p_{j,i}$ can be (and will be) different across the C_i , but for the 2^n-c $p_{j,i}=0$, these must be the same j across the i. Also $\sum_j p_{j,i}=1 \forall i$.

Let s = #samples = 2, n = #loci = 3. Then we have:

$$C = \begin{pmatrix} c_{11} & c_{12} \\ c_{21} & c_{22} \\ c_{31} & c_{32} \end{pmatrix}_{loci*samples}.$$

Then we find we are optimizing the below:

$$\begin{pmatrix} c_{11} \\ c_{21} \\ c_{31} \end{pmatrix} = \rho_1 \begin{pmatrix} 0 \\ 0 \\ 0 \end{pmatrix} + \rho_2 \begin{pmatrix} 1 \\ 0 \\ 0 \end{pmatrix} + \rho_3 \begin{pmatrix} 0 \\ 1 \\ 0 \end{pmatrix} + \rho_4 \begin{pmatrix} 0 \\ 0 \\ 1 \end{pmatrix} + \rho_5 \begin{pmatrix} 1 \\ 1 \\ 0 \end{pmatrix} + \rho_6 \begin{pmatrix} 1 \\ 0 \\ 1 \end{pmatrix} + \rho_7 \begin{pmatrix} 0 \\ 1 \\ 1 \end{pmatrix} + \rho_8 \begin{pmatrix} 1 \\ 1 \\ 1 \end{pmatrix};$$

$$\begin{pmatrix} c_{12} \\ c_{22} \\ c_{32} \end{pmatrix} = \rho_1^* \begin{pmatrix} 0 \\ 0 \\ 0 \end{pmatrix} + \rho_2^* \begin{pmatrix} 1 \\ 0 \\ 0 \end{pmatrix} + \rho_3^* \begin{pmatrix} 1 \\ 0 \\ 0 \end{pmatrix} + \rho_3^* \begin{pmatrix} 0 \\ 1 \\ 0 \end{pmatrix} + \rho_4^* \begin{pmatrix} 1 \\ 1 \\ 0 \end{pmatrix} + \rho_6^* \begin{pmatrix} 1 \\ 1 \\ 0 \end{pmatrix} + \rho_7^* \begin{pmatrix} 1 \\ 1 \\ 1 \end{pmatrix} + \rho_8^* \begin{pmatrix} 1 \\ 1 \\ 1 \end{pmatrix},$$

under the constraint that $\sum p_i^* = \sum p_i = 1$ and, given c clones, only c p_i, p_i^* values are allowed to be non-zero.

Assume we have 4 clones. Then $2^n - c = 2^3 - 4 = 4$ of the *p*s will be 0. Assume our optimization found

$$p_1 = p_1^* = p_2 = p_2^* = p_3 = p_3^* = p_6 = p_6^* = 0$$
. Then we find:

$$\begin{pmatrix} c_{11} \\ c_{21} \\ c_{31} \end{pmatrix} = \rho_4 \begin{pmatrix} 0 \\ 0 \\ 1 \end{pmatrix} + \rho_5 \begin{pmatrix} 1 \\ 1 \\ 0 \end{pmatrix} + \rho_7 \begin{pmatrix} 0 \\ 1 \\ 1 \end{pmatrix} + \rho_8 \begin{pmatrix} 1 \\ 1 \\ 1 \end{pmatrix} = \begin{pmatrix} \rho_5 + \rho_8 \\ \rho_5 + \rho_7 + \rho_8 \\ \rho_4 + \rho_7 + \rho_8 \end{pmatrix} ;$$

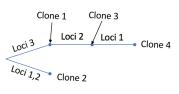
$$\begin{pmatrix} c_{12} \\ c_{22} \\ c_{32} \end{pmatrix} = \rho_4^* \begin{pmatrix} 0 \\ 0 \\ 1 \end{pmatrix} + \rho_5^* \begin{pmatrix} 1 \\ 1 \\ 0 \end{pmatrix} + \rho_7^* \begin{pmatrix} 0 \\ 1 \\ 1 \end{pmatrix} + \rho_8^* \begin{pmatrix} 1 \\ 1 \\ 1 \end{pmatrix} = \begin{pmatrix} \rho_5^* + \rho_8^* \\ \rho_4^* + \rho_7^* + \rho_8^* \\ \rho_4^* + \rho_7^* + \rho_8^* \end{pmatrix} .$$

Or, succinctly,

$$C = \begin{pmatrix} c_{11} & c_{12} \\ c_{21} & c_{22} \\ c_{31} & c_{32} \end{pmatrix} = \begin{pmatrix} 0 & 1 & 0 & 1 \\ 0 & 1 & 1 & 1 \\ 1 & 0 & 1 & 1 \end{pmatrix} \begin{pmatrix} p_4 & p_4^* \\ p_5 & p_5^* \\ p_7 & p_7^* \\ p_8 & p_8^* \end{pmatrix} = ZP.$$

Zare et al. noted that if we let clone number exceed number of samples it is not guaranteed that the conditions for perfect phylogeny are met. We let clone number (3) exceed sample number (2) in this simple case.

	Clone 1	Clone 2	Clone 3	Clone 4
Loci 1	0	1	0	1
Loci 2	0	1	1	1
Loci 3	1	0	1	1



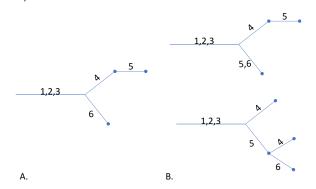
- We enumerate all possible Z, then determine the best P for this given Z (linearly transform the P so it adheres to the condition that sum of every column is 1) and see which Z, P pair results in the "closest" approximation of C
- ullet The computationally intensive step is to enumerate all the possible Z

Perfect Phylogeny

- We wish to have constraints on the enumeration of Z such that we only test Z which correspond to trees possible under the perfect phylogeny assumption
- We developed 2 methods one of which is computationally more efficient (relies on the assumption of perfect phylogeny).

- generate all possible combinations of columns of zeros and ones where no columns are repeated
- doesn't incorporate the assumption of perfect phylogeny
- $O(\binom{2^n}{c})$ where n is the number of loci and c is the number of clones.

- More computationally tractable if we take advantage of the perfect phylogeny assumption
- ullet how to generate only Z from which the perfect phylogeny assumption is held
- Consider a new matrix M: all of the same number must be in the same column; if there are two numbers that cannot be in the same column, Z doesn't fit the perfect phylogeny assumption



```
def __stochastic_Ms_helper(self, empty_clones, prev_max):
    ''' select a stochastic M '''
    if prev_max == self.N or empty_clones == self.C_num:
        return np.zeros((self.C num, 1))
   curr poss cols = self. possible M cols(self.C num-empty clones, prev max)
   looping = True
   while looping:
        random col truncated = curr poss cols(np.random.choice(len(curr poss cols)))
        random col = np.concatenate((random col truncated, np.zeros(empty clones))))
        if max(random col) <- self.N:
            looping = False
    zero_inds = np.where(random_col==0)[0]
   if len(zero inds > 0):
        new empties = self.C num - min(zero inds)
    else:
        new empties = 0
   return np.column stack((random col, \
                            self. stochastic Ms helper(empty clones=new empties, prev max=max(random col))))
```

```
def __validate M(self, M_org):
   "" Reorder an M for common mutations on left, then check for perfect phylogency (mutations arise once)"
   M new = M org
   curr swap col = 0
    for row_count in range(M_org.shape[0]): #first swap columns for most common mutations on left
        for col num in range(M org.shape[11):
            curr col = M new[:,col num]
            if row count == 0 and len(set(curr col)) == 1 and curr col[0] != 0:
                M new[:,[curr swap col, col num]] = M new[:,[col num, curr swap col]]
                curr swap col += 1
            elif row count > 0 and set(curr col(-1*row count:1) == {0} \
                               and len(set(curr col[:-1*row count])) == 1 and curr col[0] != 0:
                M new[:,[curr swap col, col num]] = M new[:,[col num, curr swap col]]
                curr swap col += 1
    curr swap = 1 #order feature enumeration by mutation count
    for search reg in np.arange(2,M org.shape[0]+1,1)[::-1]:
        for col num in range(M org.shape[1]):
            for p in Counter([a for a in M_new[:,col_num] if a != 0]).most_common():
                if p[0] in np.arange(1,curr swap,1):
                   pass
                elif p[1] == search req and p[0] == curr swap:
                    curr swap += 1
                elif p[1] = search reg and p[0] |= curr swap:
                    for col num adj in range(M org.shape[1]):
                        olds = np.where(M new[:,col num adj]==curr swap)[0]
                        if olds.size != 0:
                            M new[:.col num adi] = [p[0] if a curr swap else a for a in M new[:.col num adi]]
                            break
                   M new[:,col num] = [curr swap if a == p[0] else a for a in M new[:,col num]]
                   curr swap += 1
    for row_num in range(M_org.shape[0]): #then sort by feature number & shift zeros to the right of a given row
        curr row = M new[row num, :]
        new row = np.concatenate((np.sort(curr row[curr row!=0]), curr row[curr row==0]))
        M new[row num, :] = new row
    possible_vals = set(np.arange(np.amax(M_tst_new))+1) #now validate each number appears in only one column
    for col num in range(M org.shape[1]):
        curr col = set(M new[:,col num])-{0}
        if curr col.issubset(possible vals):
            possible_vals = possible_vals - curr_col
        else:
            return (False, M new)
    return (True, M new)
```

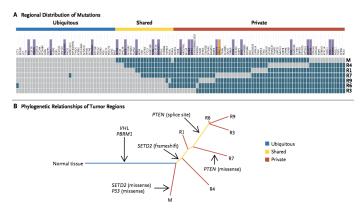
- We generate M that satisfy the condition that all the same numbers have to be in the same column
- We then can from these M determine all the Z that satisfy perfect phylogeny
- $O(2^{n*c})$ where n is the number of loci and c is the number of clones

Method Comparison

- When c << n (or the number of clones is much less than the number of mutated loci, which is typically the case) method 2 vastly outperforms method 1.
- Complete enumeration is computationally intensive so we generate a random collection of M matrices (10,000) convert to Z see which Z,p pair is the "best" out of these 10,000 repeat 10 times and see if the Z converges (i.e. whether for each random collection we get the same "best" Z).

Results

An example found in literature: Gerlinger et al. produced a phylogenetic tree given mutations found in different tumors within a patient



6 clinically relevant mutations: 3 distinct primary samples and 1 distinct metastatic sample

```
class Z_P_Optimizer(object):
    Generates a C from standard uniform, then determines corresponding Z and P
    N is number of loci,
    M is number of samples,
    C_num is number of clustered clones

def __init__(self, loci_num=5, samples_num=5, clones_num=3):
    self.N = loci_num
    self.M = samples_num
    self.M = samples_num
    self.C_num = clones_num
```

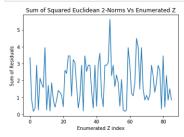
```
def generate Zs Ps error(self, Zs count=1000, C in=None):
    ''' Generate corresponding P matrices from Z and C
        Returns Zs, valid Ps, and sum of residuals (squared Euclidean 2-norm) '''
    if C in is None:
        C matrix = self. draw C matrix()
    else:
       C matrix = C in
    possible Zs = self. stochastic Zs(Zs count=Zs count)
    possible Ps = []
    errors = []
    for possible Z in possible Zs:
        curr P solved = np.linalg.lstsq(possible Z, C matrix)
       curr P scaled = self. scale P(curr P solved[0])
        curr resids = (C matrix - np.dot(possible Z, curr P scaled)) **2
        curr error = np.sum(np.sum(curr resids))
        possible_Ps.append(curr_P_scaled)
        errors.append(curr error)
    return (possible Zs, possible Ps, errors)
```

```
In [303]: Z = np.array([[1,0,0],[0,1,1],[0,1,0],[0,0,1]])
          opt = Z P Optimizer(loci num=4, samples num=3, clones num=3)
          P = opt.draw P matrix()
          C = np.dot(Z, P)
          print(Z)
          [[1 0 0]
           [0 1 1]
           [0 1 0]
           [0 0 1]]
In [304]: opt z, opt p, opt err = opt.optimal Z P(C in=C, Zs count=5000)
          opt z
Out[304]: array([[ 1., 1., 0.],
                 [ 0., 0., 1.],
                 [ 1., 0., 0.],
                 [ 0., 1., 0.11)
```

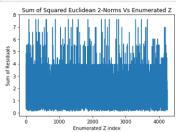
```
In [448]: Gerlinger data = pd.read csv('Data/Gerlinger.csv')
          loci = [0,1,2,4,6]
          Gerlinger Z = Gerlinger data.ix[loci,[3,6,7,9]]
          opt = Z P Optimizer(loci num=len(loci), samples num=3, clones num=4)
          P = opt.draw P matrix()
          C = np.dot(Gerlinger Z, P)
          print('Loci genotyped:', list(Gerlinger data.ix[loci,1]))
          Gerlinger Z
          Loci genotyped: ['PBRM1', 'VHL', 'PTENsplice', 'PTENmis', 'TP53']
             R3 R7 R1 M
           2 1
                      0
           4 0
           6 0
                0
                   lο
In [449]: opt_z, opt_p, opt_err = opt.optimal_Z_P(C_in=C, Zs count=5000)
          opt z
Out[449]: array([[ 1.,
                 [ 0., 0., 1., 0.]])
```

```
def plot_errors(self, C_in=None, Zs_count=1000):
    ''' Plot error graph (x-axis is enumerated Z, y-axis is sum of residuals) '''
    Zs, Ps, errs = self.__generate_Zs_Ps_error(C_in=C_in, Zs_count=Zs_count)
    plt.figure()
    plt.plot(errs)
    plt.title('Sum of Squared Euclidean 2-Norms Vs Enumerated Z')
    plt.xlabel('Enumerated Z index')
    plt.ylabel('Sum of Residuals')
    plt.show()
```

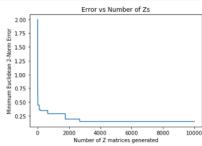
In [74]: opt.plot_errors(C_in=C, Zs_count=100)



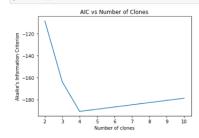
In [75]: opt.plot_errors(C_in=C, Zs_count=5000)



```
In [155]: errors = []
for i in range(10000):
    z_opt, p_opt, err_opt = opt.optimal_Z_P(Zs_count=1)
    if len(errors) > 0:
        errors.append(min([err_opt, errors[-1]]))
    else:
        errors.append(err_opt)
    plt.figure()
    plt.plot(errors)
    plt.xlabel('Number of Z matrices generated')
    plt.ylabel('Minimum Euclidean Z-Norm Error')
    plt.title('Error vs Number of Zs')
    plt.show()
```



```
In [320]: errors = []
          clone range = np.arange(2,11,1)
          for clone count in clone range:
              opt = Z_P_Optimizer(loci_num=5, samples_num=3, clones_num=clone_count)
              z_opt, p_opt, err_opt = opt.optimal_Z_P(C_in=C, Zs count=5000)
              errors.append(err opt)
              print(clone count, end=", ")
          print("done.")
          2, 3, 4, 5, 6, 7, 8, 9, 10, done.
In [322]: plt.figure()
          aic = 100*np.log(np.array(errors))+2*clone_range
          plt.plot(clone range, aic)
          plt.ylabel('Akaike\'s Information Criterion')
          plt.xlabel('Number of clones')
          plt.title('AIC vs Number of Clones')
          plt.show()
```



```
In [462]: return_dict = opt.optimal_Z_P(C_in=C, Zs_count=5000, return dict=True)
         set_Zs, set_idx = np.unique([np.array_str(a) for a in return_dict['Zs']], return_index=True)
         top errs = np.argsort(np.array(return_dict['errors'])[set_idx])[:5]
         for Z_curr in set_Zs[top_errs]:
            print(Z_curr)
            print('\n')
         [[ 1. 1. 1. 1.]
         [ 1. 1. 1. 0.]
          10. 1. 0. 0.1
          F 0. 0. 1. 0.1
          [ 1. 0. 0. 0.]]
         [[ 1. 1. 1. 1.]
         [ 1. 1. 1. 0.]
          [ 1. 0. 0. 0.]
          [ 0. 1. 0. 0.]
          f 0. 0. 1. 0.11
         rr 1. 1. 1. 1.]
          [ 1. 1. 1. 1.]
          [ 0. 1. 1. 0.]
          [ 0. 0. 0. 1.]
          1. 0. 0. 0.11
         [[ 1. 1. 1. 1.]
         [ 1. 1. 1. 1.]
          [ 1. 1. 0. 0.]
          [ 0. 0. 1. 0.]
          10. 0. 0. 1.11
         [[ 1. 1. 1. 1.]
          [ 1. 1. 1. 1.]
          [ 0. 0. 1. 1.]
          [ 1. 0. 0. 0.]
          [ 0. 1. 0. 0.11
```

Discussion

To optimize tumor treatment:

- target clonally dominant truncal somatic events OR
- adopt multiple targeted therapies in a combinatorial approach

Methods like ours based on multiple samples would require further refinement

To optimize research beyond limits of computational resolution for multiple sample methods:

- increase library complexity and read depth
- single-cell approaches

Future Directions

• Further improving upon the efficiency of the optimization

Thank you!