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#### 14. ABSTRACT

This research project focuses on the role of macrophages in early dissemination and dormancy. We hypothesized that macrophages are actively recruited by pre-malignant ErbB2 overexpressing cancer cells and that these intra-epithelial macrophages then produce factors that induce an EMT and thereby facilitate early dissemination. We further hypothesized that bone marrow (but not lung) macrophages produce TGF $\beta$ 2, BMP7 and other factors that instruct DCCs to enter dormancy. In funding year 1 we provided evidence that early ErbB2+ lesions, but not healthy mammary tissue, produced CCL2 in an NFkB dependent manner and thereby recruited resident macrophages inside the duct. Intra-ductal macrophages secreted Wnt1 and thereby induced an EMT in early ErbB2+ cancer cells. Depletion of macrophages - but only before overt advanced tumors appeared - drastically reduced early dissemination and surprisingly the onset of metastasis even after macrophages repopulated the overt tumor tissue. We also proposed that cancer cells that disseminated early play a long-term causal role in metastasis development. In funding year 2 we demonstrated that bone resident macrophages inhibit proliferation of disseminated tumor cells and are responsible for less efficient metastasis formation. When bone resident macrophages are coinjected with breast cancer cells in an experimental metastasis assay in vivo, this significantly reduced lung metastasis formation, demonstrating that resident macrophages can decide over the fate of disseminated tumor cells. We further revealed that bone resident macrophages produce TGF $\beta$ 2, a factor known to be able to induce dormancy. In contrast, lung resident macrophages produce only low amounts of TGF $\beta$ 2 and seem to inhibit TGF $\beta$ 2 production in the lung microenvironment. Overall, these results demonstrate that tissue resident macrophages are highly specific in their function and can decide over the fate of disseminated tumor cells. Overall, the results of this grant have shed light on the mechanism of early dissemination and have revealed a mechanism how macrophages might instruct disseminated tumor cell dormancy in the bone marrow.

15. SUBJECT TERMS

early dissemination, EMT, DCIS, macrophages, tumor microenvironment, metastasis, dormancy, bone metastasis, lung metastasis

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#### **1. INTRODUCTION**

Most breast cancer patients die from metastatic disease that are mostly uncurable. Metastases can occur years or decades after removal of the primary tumor, suggesting there is a window of opportunity to prevent their outgrowth. Additionally, the field of metastasis research has been challenged by the finding that dissemination does not only occur from late stage invasive tumors but can already occur during early pre-invasive breast cancer stages as revealed by large cohort patient studies [1-4] and studies with spontaneous mouse tumor models [5]. This might lead to an increased heterogeneity of disseminated cancer cells (DCCs) that colonized target organs during different time points of progression and contribute to metastasis. Macrophages were implicated in regulating dissemination (local invasion migration and intravasation) in overt tumors with pathologically defined invasive characteristics [6, 7] and are important for growth of macro-metastases [7, 8], however whether they are involved in early dissemination and the regulation of growth of disseminated tumor cells has never been studied.

In this research project we **hypothesized** that macrophages are actively recruited by pre-malignant ErbB2 overexpressing cancer cells and that these intra-epithelial macrophages then produce factors that induce an EMT and thereby facilitate early dissemination. We further hypothesized that bone marrow (but not lung) macrophages produce TGF $\beta$ 2, BMP7 and other factors that instruct DCCs to enter dormancy.

In funding year 1 we provided evidence that early ErbB2+ lesions, but not healthy mammary tissue, produced CCL2 in an NFkB dependent manner and recruited intra-ductal macrophages, that secrete Wnt1 and thereby induce an EMT in the early ErbB2+ cancer cells. Depletion of macrophages before overt advanced tumors appeared drastically reduced early dissemination and surprisingly, the onset of metastasis even after macrophages repopulated the overt tumor tissue. Importantly, humans with DCIS lesions, a very early stage of breast cancer, that contained macrophage+/E-Cadherin<sup>lo</sup> microenvironments frequently had disseminated cancer cell (DCCs) in the bone marrow. We reveal that resident macrophages can promote early dissemination explaining how early cancer spread might proceed in breast cancer patients. We also propose that eDCCs play a long-term causal role in metastasis development. These results were mostly collected in funding year 1 and are presented in the manuscript in the appendix. In funding year 2 we provide evidence that lung resident M $\Phi$ s induce a proliferation program whereas BM resident MΦs induce a dormancy program in DCCs. We compared the expression levels of dormancy inducing factors previously described in our lab (TGF<sub>β2</sub>, BMP7) and found that BM resident MΦs produce high levels of TGFβ2 whereas lung resident MΦs produce low levels and seem to further inhibit TGF<sub>β2</sub> production in the lung microenvironment. We further demonstrated that when bone resident macrophages are co-injected with breast cancer cells in an experimental metastasis assay in vivo, lung metastasis formation was significantly reduced. This demonstrates that resident macrophages can decide over the fate of disseminated tumor cells

#### 2. KEY WORDS

early dissemination, EMT, DCIS, macrophages, tumor microenvironment, metastasis

#### **3. ABBREVIATIONS AND NOMENCLATURE**

We previously referred to cells in very early stage breast cancer lesions as "pre-malignant epithelial cells" (PM-MECs). In the manuscript we changed this nomenclature to "early cancer cells" (eCCs) to address the possibility that there might be a subpopulation of invasive cancer cells within early lesions. Consequently, we refer to "disseminated cancer cells" (DCCs). In the manuscript we also use the synonym Her2 instead of ErbB2. However this is the same protein and mouse model.

EMT – epithelial to mesenchymal transition DCIS – ductal carcinoma in situ

CC – cancer cell eCC – early cancer cell CCC – circulating cancer cell DCC – disseminated cancer cell

#### 4. ACCOMPLISHMENTS.

#### Specific Aim 1. To determine the role of $M\Phi$ s in early dissemination.

*Objectives.* We will determine which cytokines produced by  $ErbB2^{hi} / p38^{low}$  mammary ducts recruit M $\Phi$ s. We will investigate how intra-epithelial M $\Phi$  induce an EMT in ECCs. We will characterize a profile of an early dissemination microenvironment that we will confirm using 3D *in vitro* experiment. We will further confirm the significance of our findings using human tissue microarrays to identify those genes whose expression indicate an early dissemination microenvironment.

**Results.** All experiments suggested in SA1 have been successfully performed in funding year 1. A manuscript was submitted in October 2015 of which we had provided a copy in the progress report of funding year 1. The manuscript is still under revision and to address reviewer's comments, we performed several additional experiments. We now attach the revised manuscript. The additional experiments that were included in the revised manuscript version are as follows:

- To provide a better overview of the early stages of breast cancer that our study focuses on, we included HE stainings of healthy wild type and pre-malignant mammary glands and invasive tumors (Fig.1A-C).
- We had shown that pre-malignant mammary epithelial cells next to intra-epithelial macrophages show disorganized and reduced E-Cadherin signal. E-Cadherin is an epithelial cell marker and its loss indicates an epithelial to mesenchymal transition. To strengthen our conclusion that intra-epithelial macrophages induce an EMT, we analyzed β-Catenin. We found that early cancer cells adjacent to intra-epithelial macrophages contain (Fig.2E-G), strengthening our conclusion that intra-epithelial macrophages induce an EMT. We had performed a mass cytometry (CyTOF) analysis of mammary gland macrophages. We now expanded this analysis, including more animals in the experiment (Fig.5). Additionally, the CyTOF analysis was complemented by in situ stainings of CD206 in wild type and pre-malignant mammary glands as well as invasive tumors (Fig.5K-N).
- We had identified that CCL2 produced by HER2+ early cancer cells was responsible to attract macrophages into pre-malignant ducts. We now confirmed those findings by performing stainings revealing the presence of CCL2 next to HER2+ early cancer cells and CCR2+ macrophages (Fig.6C). Additionally, we had blocked the receptor for CCL2, CCR2, systemically. To address whether macrophages recruited into the duct were circulation derived or resident tissue derived, we now also blocked CCR2 locally by injecting the inhibitor into the mammary fat pad on one side and treated the contra-lateral mammary gland with vehicle control. We found that those glands injected with the CCR2 inhibitor contained less ducts with intra-epithelial macrophages compared to the contra-lateral control treated glands (Fig.6N,O). If CCR2 inhibition was affecting circulating macrophage precursors, then local injection of the CCR2 inhibitor should not affect macrophage localization. The results therefor indicate that intra-epithelial macrophages are derived from resident tissue macrophages.

#### Specific Aim 2: To determine how target organ-specific $M\Phi$ dictate DCC fate.

*Objectives.* To determine how lung resident M $\Phi$ s induce a proliferation program and how BM resident M $\Phi$ s induce a dormancy program in DCCs. We will compare expression profiles of lung and BM resident M $\Phi$ s and compare expression levels of dormancy inducing factors previously described in our lab (i.e. TGF $\beta$ 2, BMP7). We will validate identified factors responsible for the induction of a dormancy program *in vitro* and *in vivo*.

#### Task 1: Direct effect of lung and BM and lung $M\Phi$ s on tumor cell proliferation

We completed SA2.1a and confirmed the adverse effect of lung and BM M $\Phi$ s on tumor cell proliferation in vitro (Fig.2.1). We included a 2D proliferation assay and confirmed that CM from lungs stimulates 4T1 cell proliferation in 2D but this is reversed when macrophages are depleted. In contrast, CM from BM inhibits proliferation but only when BM contains macrophages. This method will provide a good and simple assay to screen for the effect of macrophage derived factors on dormancy (see SA2.3). Using a mammosphere assay, we could confirm the specific effect of lung and BM CM from macrophage depleted or control trated animals (Fig.2.1B-F). All these experiments have been repeated 3 times with high reproducibility and are thus sufficient for publication.



**Fig.2.2:** Direct effect of lung and BM macrophages on growth of **4T1** cells in **3D** in vitro and in vivo. 4T1-GFP cells were seeded in matrigel either alone or mixed with primary lung or bone marrow macrophages. Dividing 4T1 cells were quantified after 1 day and clusters >2cells were quantified on day 2 and 5. While lung macrophages initially stimulated proliferation (A,B), BM macrophages had a long term growth inhibitory effect (C). 4T1-mCherry cells were injected into the tail vein of wild type mice wither alone or in a 1:1 ratio with either lung or BM resident macrophages. 4T1 metastases were quantified after 7d. There were significantly less metastases detected when 4T1 were co-injected with BM macrophages compared to lung macrophages or no coinjection (D). Every dot represents one mouse, two independent experiments combined.



**Fig.2.1: Effect of CM from Lung and BM on growth of 4T1 cells in 2D (A) and 3D (B-F).** To deplete macrophages from wild type mice, these were treated with Clodronate liposomes (Clod). PBS liposomes (PBS) were used as control treatment. CM from macrophage containing (PBS) or macrophage depleted (Clod) Lung and BM cells was made and added daily to 2D and 3D assays of 4T1 cells. **A:** CM from lungs stimulates 4T1 cell proliferation in 2D but this is reversed when macrophages are depleted. Contrary, CM from BM inhibits proliferation but only when BM contains macrophages. **B-F:** CM was added to 4T1 grown as mammospheres and numbers of single cells and cell clusters was quantified on day 1-4 and day 7. BM CM reduced both single cells as well as proliferating cell clusters. 3 technical replicates, N=3 independent experiments.

As further proposed, we tested the direct effect of lung and BM resident  $M\Phi$ s on cancer cell proliferation by performing a direct 3D co-culture (**Fig.2.2A-C**). We found that while lung macrophages initially stimulated proliferation (**Fig.2.2A,B**), BM macrophages had a long term growth inhibitory effect, resulting in less 4T1 cancer cell cluster formation (**Fig.2.2C**).

We further completed SA2.1b and We then confirmed these findings in an experimental metastasis vivo and coinjected 4T1-mCherry cancer cells with either lung or BM

resident M $\Phi$ s. The addition of BM M $\Phi$ s significantly reduced metastasis formation compared to co-injection with lung M $\Phi$ s or injection of 4T1 cancer cells alone (**Fig.2.2D**).

#### Task 2: Expression of dormancy-inducing factors in lung and BM $M\Phi$ s.

As proposed in SA2.2a, we determined TGFB2 produced by resident macrophages from either lung or BM (Fig.2.3). We found that TGFb2 levels were higher in total BM and primary BM MΦs CM compated to total lung and lung M $\Phi$  CM. Additionally, when M $\Phi$ s had been removed from the organ cell suspensions by FACS sorting (Fig.2.3 "all cells but macs"), this significantly increased TGFB2 levels in lung suspension and significantly reduced TGFb2 levels in BM suspension. Similarly, TGFb2 levels increased in lung suspension but decreased in BM suspensions when macrophages were depleted in vivo using clodronate liposomes. This provided a quantitative confirmation of our preliminary data analyzing TGFb2 levels by Western Blot (see initial grant application. As further proposed in SA2.2a, we also analyzed BMP7 levels by ELISA but did not find significant differences in BMP7 secretion by BM or lung  $M\Phi s$  (data not shown).

Previous work from our lab has shown that high TGFb2 induce dormancy in disseminated cancer cells [9]. We could confirm that 4T1 cancer cells show reduced proliferation in conditions under which TGFb2 levels are high. Additionally we could now show that bone resident macrophages are the direct source of TGFb2, indicating that bone macrophages induce dormancy in disseminated cancer cell reaching the



macrophages or cell suspension without macrophages.TGFb2 levels in conditioned medium was determined by ELISA. Additionally, CM from lungs and BM wild type animal was prepared after macrophages were depleted in vivo (Clod).

bone microenvironment. Lung macrophages do not express high levels of TGFb2 and seem to further inhibit the production of TGFb2 in the lung microenvironment.

As proposed in SA2.2b we are currently pursuing a non-targeted approach to identify unknown M $\Phi$ -derived factors that mediate induction and exit from dormancy. To this end, we are analyzing conditioned medium as it was used for the TGFb2 ELISA by mass spectrometry to detect proteins that are a) secreted by BM MΦs and induce cancer cell dormancy or b) secreted by L M $\Phi$ s and allow escape from dormancy. The results of the mass spectrometry analysis are not available yet. This effort will be continued in the lab of the PI's mentor Dr. Aguirre-Ghiso.

#### Task 3: Validation of $M\Phi$ -derived dormancy inducing factors.

#### This effort was proposed for funding year 3 in SA2.3.

Training opportunities. The training opportunities according to the statement of work were met; these training opportunities were: sorting of mammary gland macrophages; performing RealTime PCRs, performing 2D and 3D in vitro cultures, use combinatory pharmacologic inhibitors, isolate and cultivate BM and lung M $\Phi$ s, perform mammosphere cultures, perform tail vein injections, perform cryosections. Additionally, meetings with the Co-mentor Dr. Merad and Dr. Aguirre-Ghiso were held as well as with the mentoring committee to discuss progress of the project.

**Dissemination of results to the community.** The work presented here is part of a research manuscript that is under revision in Nature Communications. Additionally, the results have been presented in several conferences (see Product section).

*Plans for the next funding period.* The PI has accepted a lab head position with Merck KGaA in Germany and will therefore not be able to continue the work in the next funding period. The PI's mentor will most likely continue the project and apply for additional funding sources to do so.

#### **5. IMPACT**

Approximately 90% of breast cancer patients die from commonly incurable metastases. Metastases can occur years or decades after removal of the primary tumor, suggesting there is a window of opportunity to prevent their outgrowth. Additionally, recent clinical data demonstrating that dissemination can occur much earlier than assumed and that patients carrying pathologically defined pre-invasive breast cancer lesions (e.g. ductal carcinoma in situ, DCIS) can carry dormant DCCs. This has caused great confusion on how to treat women with early stage breast cancer such as DCIS. A recent study published in JAMA Oncology [10] adds to this confusion as it shows that while breast cancer deaths from DCIS are rare, 50% of those cases occur in the absence of an invasive breast cancer recurrence and that the choice of therapy did not affect survival. This indicates that albeit at early frequency, a subpopulation of women with DCIS carry early disseminated cancer cells that can have deadly consequences. We therefore need better tools to identify those DCIS patients at high risk of developing late metastatic relapses without overtreating the majority of women who have harmless variants of DCIS. Our mechanistic work on early dissemination that we were able to carry out with the support of this DoD breast cancer award has led us to the notion that those DCIS lesions carrying an E-Cadherin low/macrophage high signature might be indicative of the presence of disseminated disease.

#### 6. CHANGES/PROBLEMS

No major changes or problems.

#### 7. PRODUCTS

#### Manuscripts:

"Macrophages orchestrate early dissemination of HER2+ cancer cells." Nina Linde, Arthur Mortha, Eduardo Farias, Maria Soledad Sosa, Kathryn Harper, Ethan Tardio, Miriam Merad, and Julio A. Aguirre-Ghiso. – *Manuscript under revision in Nature Communications*.

"The relationship between dormant cancer cells and their microenvironment." Nina Linde<sup>\*#</sup>, Georg Fluegen<sup>\*#</sup>, and Julio A. Aguirre-Ghiso<sup>#</sup>. – *Invited Book Chapter for Advances in Cancer Research. In press. \*Both authors contributed equally. #Corresponding author.* 

#### **Oral Presentations:**

"Macrophages orchestrate early metastatic dissemination of pre-malignant ErbB2+ mammary epithelial cells" Cancer Biology Retreat, Mount Sinai, New York, NY, December 2014

#### Awards:

Icahn School of Medicine at Mount Sinai Postdoctoral Recognition Award, New York, December 2014 AACR Scholar in Training Award 2016

#### Progress Report Year 1 DoD CDMRP BrCRP BC133807 PI Dr. Nina Linde

#### **Poster presentations:**

"Macrophages orchestrate early metastatic dissemination of pre-malignant ErbB2+ mammary epithelial cells" Annual Meeting of the American Society of Cell Biology, Philadelphia, PA, December 2014

"Macrophages orchestrate early metastatic dissemination of pre-malignant ErbB2+ mammary epithelial cells" Cancer Cell Symposium on Cancer Inflammation, Sitges, Spain, June 2015

"Macrophages orchestrate early dissemination of HER2+ cancer cells" Annual Meeting American Association of Cancer Research, New Orleans, LA, April 2016

"Macrophages orchestrate early dissemination of HER2+ cancer cells" American Association of Cancer Research Tumor Metastasis Meeting, Austin, TX, November 2015

#### 8. PARTICIPANTS

no change

#### 9. LITERATURE

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#### 10. APPENDIX: Manuscript on the following pages

# Macrophages orchestrate early dissemination and metastasis of HER2+ cancer cells.

- 3
- 4 Nina Linde<sup>1</sup>, Arthur Mortha<sup>2</sup>, Adeeb Rahman<sup>3</sup>, Eduardo Farias<sup>1</sup>, Maria Soledad Sosa<sup>1</sup>,

5 Kathryn Harper<sup>1</sup>, Ethan Tardio<sup>1</sup>, Miriam Merad<sup>2,3</sup>, and Julio A. Aguirre-Ghiso<sup>1,4</sup>.

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- 18

#### 19 Abstract

20 Cancer cell dissemination can occur during very early stages of breast cancer but the 21 mechanisms controlling this process and how they contribute to metastasis are unclear. 22 Here we show that MMTV-HER2 early cancer lesions contain an invasive subpopulation 23 of HER2+/E-cadherin-lo cancer cells that depend on macrophages for dissemination. 24 Macrophages produced Wnt-1 and induced loss of E-cadherin and dissemination of 25 early HER2+ cancer cells. Depletion of macrophages before overt tumor detection 26 drastically reduced early dissemination and diminished the onset of metastasis even 27 when macrophage depletion was stopped when tumors became invasive. Resident 28 CCR2+/CD206+/VCAM-/Tie2+ macrophages were attracted into early lesions by CCL2 29 produced by early HER2+ cancer cells in an NFkB-dependent manner. Intra-epithelial 30 macrophages and loss of E-cadherin junctions was also found in human DCIS, but not 31 normal breast tissue. We reveal a previously unrecognized mechanism by which 32 macrophages play a causal role in early dissemination impacting long-term metastasis 33 development.

34

#### 36 Introduction

37 The paradigm of cancer metastasis states that dissemination and metastasis 38 occur when advanced aggressive tumors acquire invasive mechanisms. The finding that 39 dissemination does not only occur from late stage invasive tumors has challenged this model <sup>1</sup>. Large cohort patient studies <sup>2-5</sup> and studies with spontaneous mouse tumor 40 models <sup>6</sup> showed that dissemination also occurs during early stages of cancer when 41 42 lesions are diagnosed by light microscopy as pre-malignant or pre-invasive. In addition, 43 cancer of unknown primary is a relatively frequent event in solid cancers where 44 metastases develop without the presence of an obvious primary tumor mass that 45 evolved to become invasive  $^{7}$ .

The "early dissemination" definition was refined by Husemann et al.<sup>6</sup> when they 46 47 showed that early disseminated cancer cells (DCCs) originate at times when lesions are 48 only defined in situ by light microscopy (e.g. ductal carcinoma in situ (DCIS) in humans 49 and mammary intraepithelial neoplasia in mice) but dissemination occurs and early 50 DCCs show few genetic aberrations. In the MMTV-HER2 model, early DCCs are able to form lung metastases in the absence of invasive carcinoma <sup>6</sup>. This argues that in these 51 52 models early DCCs are endowed with latent metastasis initiating capacity. Similarly, 53 women treated for DCIS can develop metastases without ever developing any subsequent local invasive breast cancer<sup>8-12</sup>. This might indicate that, albeit at low 54 55 frequency, early DCCs can unpredictably form metastases in patients. Early 56 dissemination is not a rarity of breast cancer models (MMTV-HER2 and -PyMT models <sup>6</sup>, as it also occurs in spontaneous mouse models of melanoma <sup>13</sup> and pancreatic 57 cancer<sup>14</sup>. 58

While in K-Ras-driven pancreatic cancer an EMT has been linked to early dissemination <sup>14</sup>, its contribution to metastasis is unknown. Further, it remains poorly understood how dissemination occurs during pre-invasive stages of breast cancer when the epithelium-to-stroma barrier is intact. Early DCCs displayed only few genetic alterations <sup>4,6</sup>, indicating that early dissemination might be driven by epigenetic and micro-environmental mechanisms that turn on programs of epithelial cell motility <sup>15,16</sup>. In fact, invasion of epithelial cells occurs physiologically during development.

66 The mammary epithelium forms postnatally during adolescence in a process 67 called branching morphogenesis where rapidly dividing epithelial cells elongate the 68 terminal end bud into the fat pad and bifurcate into the ductal tree. Macrophages are key regulators of branching morphogenesis during mammary gland development <sup>17,18</sup>, 69 70 arguing that normal mammary epithelial cells cooperate with these innate immune cells 71 for invasive processes. These data led to the discovery of macrophages as powerful 72 drivers of intravasation from invasive breast cancer tumors via the establishment of tumor microenvironments of metastasis <sup>19</sup>. This follows a streaming process where 73 74 breast cancer cells recruit macrophages via production of colony stimulating factor 1 (CSF1) and then cancer cell motility is stimulated via macrophage-derived EGF<sup>20</sup>. 75 76 Additionally, macrophages can induce an epithelial to mesenchymal transition (EMT) in malignant cells <sup>21,22</sup>. However, the role of macrophages in early spread of cancer 77 78 remained unexoplored.

Here we show that the branching morphogenesis program is altered by the HER2 oncogene early in cancer development. Mammary tissue macrophages are recruited by HER2+ early cancer cells from the stroma into the epithelial layer of lesions

defined as mammary intraepithelial neoplasia in mice (similar to DCIS in humans)<sup>23</sup>. 82 83 This process depends on HER2-NFkB-mediated induction of CCL2. CCR2+ intraepithelial macrophages respond to CCL2, produce Wnt-1 and disrupt the myo-epithelial 84 85 layer locally by downregulating E-cadherin junctions in a subpopulation of HER2+ 86 cancer cells. Before tumors form, these events result in early dissemination 87 microenvironments that propel active intravasation and dissemination to the lung that 88 was efficiently blocked by macrophage depletion. Transient depletion of macrophages 89 in mice before the formation of invasive tumors reduced lung metastatic burden. 90 Importantly, this was the case when macrophage depletion had been stopped with 91 formation of invasive tumors and mice were followed until they carried large overt 92 invasive tumors. Our results suggest a previously unrecognized role for HER2-mediated 93 recruitment of macrophages to favor dissemination of HER2+ tumor cells much earlier 94 than growth is induced by the oncogene. Our work also reveals a role for early DCCs in 95 supporting late metastasis development.

96

97 **Results** 

98 MACROPHAGES INFILTRATE THE EPITHELIAL COMPARTMENT OF EARLY HER2+ MAMMARY 99 CANCER LESIONS.

We asked whether the HER2 oncogene might recruit macrophages to orchestrate early dissemination. We used MMTV-HER2 mice as a murine model of breast cancer since these show slow progression from early lesions such as hyperplasia and mammary intra-epithelial neoplasia (**Fig.1A,B**), the latter a similar lesion to DCIS <sup>23</sup>, to invasive tumors (**Fig.1C**). We stained MMTV-HER2 mammary

105 gland sections for the murine macrophage marker F4/80 before we could detect any 106 signs of invasive tumor masses in serial sections of mammary tissue or even enhanced proliferation in HER2+ early lesions <sup>24</sup>. Macrophages were located to the stroma outside 107 108 of mammary ducts in healthy FVB wild type animals (Fig.1D). This was also true in 109 young 14wk old MMTV-HER2 mice (Fig.1E). However, when MMTV-HER2 mice 110 progressed over time but still showed no signs of tumor masses or enhanced proliferation <sup>24</sup>, macrophages were often localized inside the luminal epithelial layer of 111 112 early lesions as demonstrated by co-staining of F4/80 and cytokeratin 8/18 (Fig. 1F). 113 We hypothesized that as macrophages enter the early lesions, they might disrupt the 114 architecture of the duct. Close inspection of sections co-stained for smooth muscle actin 115 and F4/80 showed that the myoepithelial cell layer was frequently disrupted at sites 116 where macrophages were in immediate contact with the duct (Fig. 1G-I). Quantification 117 of the abundance of intra-epithelial macrophages confirmed that the incidence of ducts 118 with intra-epithelial macrophages correlated with HER2 upregulation and disease 119 progression (Fig. 1J).

120

121 MACROPHAGES DISMANTLE E-CADHERIN JUNCTIONS IN EARLY HER2+ CANCER CELLS.

We hypothesized that HER2 might aberrantly activate a mechanism of invasion and motility involving macrophages in early lesions. We found that intra-epithelial macrophages were associated with a strong local downregulation of E-cadherin junctions *in vivo* in early lesion cells located directly adjacent to macrophages (1-2 cell diameter away) (**Fig.2A-C**). This was paralleled by a general downregulation of E-Cadherin mRNA in early lesions compared to wild type glands (**Fig.2D**). Additionally, β-

128 Catenin levels were increased in early lesions containing intra-epithelial macrophages 129 as measured by dual color IHC (Fig.2E-G). A loss of E-Cadherin and translocation of β-130 Catenin to the nucleus could also be induced in vitro when Raw264.7 macrophages 131 were added to Comma-1D healthy mammary epithelial cell monolayers used as a 132 readout for epithelial junction formation (Fig.2H-J). The loss of E-cadherin junctions in 133 epithelial cells adjacent to macrophages suggested that macrophages might produce 134 cues that stimulate a loss of E-cadherin junctions as observed during the epithelium to mesenchyme transition (EMT). Macrophages can produce Wnt ligands <sup>25-27</sup> which are 135 136 potent inducers of an EMT. We therefore tested the response of Raw264.7 137 macrophages or primary mammary tissue macrophages isolated from early lesions to 138 conditioned media from healthy epithelial cells or from HER2+ early cancer cells. Only 139 conditioned media derived from HER2+ cells induced an upregulation of Wnt-1 (Fig.2K, 140 L); no changes were detected for Wnt-3, Wnt5a and Wnt7 (data not shown). The loss of 141 E-Cadherin junctions in Comma-1D cells induced by Raw264.7 macrophages was 142 reversed by addition of DKK1, an inhibitor of canonical Wnt signaling, to the co-cultures 143 (**Fig.2M-P**). We conclude that downregulation of E-cadherin mRNA and junctions and  $\beta$ -144 catenin upregulation and nuclear translocation in early lesion cells results from HER2-145 dependent recruitment of Wnt-1 secreting macrophages into the early lesions.

# MACROPHAGE DEPLETION PREVENTS AN E-CADHERIN AND β-CATENIN JUNCTION DISASSEMBLY AND EARLY DISSEMINATION.

Our data indicated that HER2 leads to macrophage mobilization into early lesions where they induce an EMT in early cancer cells. We next tested whether this process leads to early dissemination. CSF1R is expressed by most tissue resident macrophages

and is required for macrophages survival in tissues <sup>28</sup>. Thus, we injected MMTV-HER2 151 152 mice during early lesions with a blocking antibody to Csf-1 receptor (CSF1R) to 153 eliminate macrophages from early lesions and then quantified circulating and 154 disseminated early cancer cells in blood and target organs respectively (Fig.3A). 155 CSF1R blockade led to efficient depletion of tissue resident CD11b<sup>+</sup>/F4/80<sup>+</sup>/Gr1<sup>-</sup> 156 macrophages (Supplementary Fig.1A). Immunofluorescence staining for F4/80 in 157 HER2+ early lesions confirmed a significant reduction in the number of intra-epithelial 158 macrophages when CSF1R was blocked (Supplementary Fig.1B). We confirmed that 159 at the end of the experiment, no tumor masses had formed, by inspecting whole mount 160 stainings of mammary glands (Supplementary Fig.1D,E) and HE staining of serially 161 sectioned mammary tissue (Fig.3B,C). Macrophage depletion was accompanied by a 162 significant reduction in the number of hyperplastic ducts (Supplementary Fig.1C) and a 163 tissue wide upregulation of E-Cadherin mRNA (Fig.3D) and E-Cadherin-based junctions 164 (Fig.3E-G). We conclude that macrophages contribute to the loss of E-cadherin mRNA 165 and junctions and disrupted mammary tissue architecture in early lesions.

The above changes correlated with the finding that CSF1R blockade significantly reduced the numbers of early circulating cancer cells (**Fig.3H**). Accordingly, CSF1R blockade also reduced early disseminated cancer cell (DCC) burden in target organs as measured by the detection of the transgene surface HER2 expressing early DCCs in the lungs (**Fig.3I-K**). We conclude that macrophages play a critical role in the ability of early cancer cells to acquire an invasive and disseminating phenotype. As indicated previously, these events of dissemination take place during a stage where no invasive

tumors are detectable and early lesions show similar proliferative capacity than normal
 resting mammary epithelium <sup>24</sup>.

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# 176 **HER2-**RECRUITED MACROPHAGES CONTROL EARLY DISSEMINATION AND CONTRIBUTE TO 177 METACHRONOUS METASTASIS FORMATION.

178 We next tested whether macrophage-regulated early dissemination contributed 179 to metastasis formation. To this end we blocked CSF1R only during early asymptomatic 180 stages of cancer, starting at age week 18, and stopped as soon as tumors became 181 palpable (size <3mm in diameter). We then waited until tumors reached 1 cm in 182 diameter (4-6 weeks later) and quantified solitary DCCs and metastatic lesions in lungs 183 (Fig.4A). We found that the time to tumor detection was slightly delayed when 184 macrophages were depleted during asymptomatic pre-malignant stages (Fig.4B). 185 However, once palpable tumors had formed, the progression to overt tumors was not 186 affected (Fig.4C). Additionally, overt tumors showed no difference in macrophage 187 content (Fig.4D-F) and vascularization (Fig.4G-J) at the end of the experiment between 188 control and anti-CSF1R treated mice. This suggests that there is no impact on overt 189 tumor growth in late tumors when macrophages were depleted during early stages. 190 Additionally, flow analysis of lungs revealed that neither alveolar macrophage nor 191 CD11b+/Gr1+ monocyte content was significantly affected (Supplementary Fig.2A-E) 192 by the same treatment arguing against a systemic loss of all macrophages. However, 193 CSF1R blockade during early stages significantly decreased solitary DCC burden in 194 lungs (Fig.4K). CSF1R blockade during early stages also caused a statistically 195 significant decrease in the number of metachronous metastases per mouse (Fig.4M),

196 which were defined as the number of metastatic lesions bigger than three cells (Fig.4L). 197 This inhibitory effect of DCC burden and metastasis was detected even after 198 macrophage depletion had been stopped in average for one month and animals had 199 carried fast-growing tumors. That the number of solitary DCCs, likely a mixture of DCCs 200 accumulated since the early stages was reduced by CSF1R blockade suggests that the 201 reduced influx of DCCs to lungs during early stages was not replaced by DCCs arriving 202 during the time of tumor detection to euthanasia when tumors were large. We conclude 203 that HER2+ early cancer cells recruit macrophages and that these play a seminal role in 204 early dissemination, allowing for the early DCCs to reach target organs and form 205 metastasis.

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#### 207 HETEROGENEITY OF MYELOID CELLS IN EARLY MIN LESIONS.

208 Our data suggests that macrophages play an active role in favoring early 209 dissemination and that early DCCs contribute to metachronous metastasis formation. 210 Remarkably, this occurs during early cancer stages in the absence of highly proliferative 211 tumor masses when the mammary tree mostly resembles that of a healthy gland. We 212 hypothesized that dissemination might be facilitated by tissue resident macrophages 213 involved in programs of branching morphogenesis during mammary gland development <sup>17,29</sup>. We therefore compared the phenotype of macrophages present in wild type and 214 215 early lesion mammary glands. Mammary glands derived from FVB wild type mice and 216 MMTV-HER2 early lesion at 14 and 22 weeks were analyzed using CyTOF with a panel 217 of 17 hematopoietic cell markers and IdU as a proliferation marker (Supplementary 218 Fig.3A). Myelo-monocytic cells were identified as CD45+CD11b+F4/80+ cells lacking

lymphoid and granulocytic markers (Supplementary Fig.3B). viSNE plots <sup>30</sup> of myelo-219 220 monocytic cells (Fig.5A) showed that myelomonocytic numbers and patterns were 221 similar between wild type glands and early lesions. viSNE analysis further revealed 222 three putative populations, one of which could be identified as monocyte based on its 223 high Ly6C levels (Fig.5B) and did not differ in numbers between these samples 224 (Fig.5D). The remaining LY6C- macrophages could be distinguished into two 225 populations according to the expression of CD206 (Fig.5C). The pre-dominant 226 macrophage subtype present in both wild type glands and early lesions was CD206<sup>hi</sup> (Fig.5E,F). CD206-hi macrophages were also Tie2<sup>hi</sup>, CD11b<sup>hi</sup> and VCAM-lo and did not 227 228 show any signs of proliferation based on IdU incorporation (Fig.5I,J; Supplementary Fig.3C,D). This matches previous findings <sup>31</sup> that wild type resident mammary glands 229 contained M2 polarized CD11b<sup>hi,</sup> CD206<sup>hi</sup> and Tie2<sup>hi</sup> macrophages termed mammary 230 tissue macrophages (MTMs) whereas tumor-associated macrophages prevalent in 231 invasive MMTV-PyMT tumors were CD11b<sup>int</sup>, CD206<sup>lo</sup>, Tie2<sup>lo</sup> and VCAM<sup>hi</sup>. We found 232 that these CD206<sup>lo</sup> TAMs were a minority in wild type glands or early lesions but indeed 233 234 constituted the majority of myelomonocytic cells in overt invasive MMTV-HER2 tumors 235 (Fig.5G,H). Since our global CyTOF analysis showed that the predominant macrophage 236 population in HER2+ early lesions resembled MTMs, we wanted to correlate the 237 macrophage status with their localization and performed in situ stainings to identify whether intra-epithelial macrophages in early lesions might be CD206<sup>hi</sup> MTMs as well. 238 239 To this end we co-stained wild type glands, early lesions and overt tumors tissues 240 against F4/80 and CD206 (Fig.5K-M). We found that stromal and intra-epithelial macrophages in both wild type glands and early lesions were CD206<sup>hi</sup> whereas tumor 241

associated macrophages in overt tumors were CD206<sup>lo</sup> (**Fig.5N**). While tracing the exact origin and lineage of macrophage subtypes will require further scrutiny, our data suggest that intra-epithelial macrophages might be derived from resident mammary tissue macrophages and that expansion of monocyte derived tumor associated macrophages is a hallmark of overt tumor stages.

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HER2+ EARLY CANCER CELLS PRODUCE CCL2 AND RECRUIT MACROPHAGES INTO MAMMARY
DUCTS.

250 We next explored what signals might HER2 upregulation induce that might attract 251 resident mammary tissue macrophages from the stroma into the ductal epithelium of 252 HER2+ early lesions. In invasive breast cancer models, HER2 signaling activates NFkB, which transcriptionally induces CCL2, a potent macrophage chemotactic factor <sup>32</sup>. 253 254 Accordingly, the p65 subunit of NF $\kappa$ B subunit was phosphorylated in mammospheres 255 derived from HER2+ early cancer cells, and Lapatinib, a HER2 and EGFR inhibitor, 256 inhibited its phosphorylation (Fig.6A). We then isolated RNA from mammospheres derived from either FVB wild type or MMTV-HER2 early MIN lesions as described <sup>33</sup> and 257 258 performed quantitative real-time PCR analysis for cytokine mRNAs. We found that 259 already at these early stages of progression, when enhanced proliferation is not yet detectable <sup>24</sup>, HER2+ cancer cells upregulated expression of CCL2 but not CSF2, 260 261 CSF1, IL1β, and IL6 (Fig. 6B, Supplementary Fig.4A,B). Upregulation of CCL2 around HER2+ early cancer cells was also observed at the protein levels as revealed by 262 263 immunofluorescence (Fig.6C,D, Supplementary Fig.4C-E). CCR2+ cells could be 264 found close to CCL2+ early cancer cells (Fig.6C insert). Additionally, acinar-like

265 structures produced by early MMTV-HER2 cancer cells displayed a reduction in 266 secreted and peri-organoid CCL2 production upon inhibition of HER2 or NFkB signaling with specific inhibitors <sup>34</sup> (Fig.6E-G). To confirm that CCL2 signaling was necessary and 267 268 sufficient for HER2-dependent macrophage recruitment, HER2+ early cancer cells were 269 grown as 3D acinar structures in vitro for 5 days. Cultures were then treated with Lapatinib, an IKK<sub>β</sub> inhibitor <sup>34</sup> or an inhibitor of the CCL2 receptor CCR2 (RS504393) 270 271 and macrophages isolated from mammary glands of MMTV-HER2 mice were added to 272 the cultures. After 24 hours of co-culture, macrophages were associated with ~50% of 273 all organoid structures in control samples (Fig.6H). In contrast, co-cultures treated with 274 the inhibitors all showed significant reduction in macrophage association (Fig.6I,J). We 275 next treated 20 week old MMTV-HER2 mice carrying only early lesions (no palpable or 276 overt tumors) for 2 weeks with a CCR2 inhibitor (Fig.6K,L). We found that the number 277 of intra-epithelial macrophages was significantly reduced when mice were treated 278 systemically (Fig.6M). When the CCR2 inhibitor was administered locally into the fat 279 pad to avoid systemic effects (Fig.6N), intra-epithelial macrophage content was reduced 280 compared to contra-lateral control treated glands (Fig.6O), supporting that intra-281 epithelial macrophages are indeed derived from resident mammary gland macrophages 282 instead of circulating monocyte derived macrophages. Additionally, mammary tissue macrophages can also be depleted by genetic ablation of CCR2<sup>31</sup> arguing that we may 283 284 be eliminating the same population during early mammary cancer stages. We conclude 285 that HER2 signaling in cancer cells from early lesions activates NFkB to induce CCL2, 286 which in turn mobilizes CCR2+ resident mammary macrophages from the stroma into 287 these early lesions.

# HIGH INTRA-EPITHELIAL MACROPHAGE NUMBERS IN PATIENT DCIS LESIONS CORRELATE WITH LOW E-CADHERIN LEVELS.

290 Published data showed that more than 10% of patients with DCIS had detectable 291 DCCs in their bone marrow (BM), but no histologic markers, which include invasive 292 fronts and receptor status were indicative of the presence of DCCs<sup>3</sup>. To test whether 293 macrophages could also infiltrate early lesions in humans, we compared macrophages 294 in healthy human breast tissue vs. tissue from DCIS lesions as a model of early stage 295 Macrophages were identified as CD68+/CD45+ breast cancer lesions. and 296 cytokeratin8/18 negative cells (Supplementary Fig.5A,B). In breast tissue from healthy 297 donors, macrophages were localized in the stroma in the vicinity of mammary ducts but 298 remained outside of the ducts, which were delimited by an intact myoepithelial layer of 299 cells (Fig.7A). In contrast, even in DCIS lesions that displayed an apparently intact 300 myoepithelial layer, there was a statistically significant increase in the frequency of 301 macrophages found inside the aberrant ductal epithelial structure in between cancer 302 cells (Fig.7B,C). The association of intra-epithelial macrophages with reduced E-303 Cadherin levels was confirmed in human DCIS samples (N=12). This was independent 304 of HER2 status and appeared in different patterns. Patients with high macrophage 305 numbers within lesions showed overall lower E-Cadherin levels as measured by 306 quantitative image analysis (Fig.7D-F). Additionally, within the same patient, individual 307 lesions with high macrophage numbers had lower E-Cadherin levels (Supplementary 308 Fig.5C-E). This reveals an inter- and intra-tumor heterogeneity and suggests that some 309 regions of DCIS lesions might be more prone to contain cancer cells able to undergo 310 early dissemination.

#### 311 **Discussion**

312 Following the assumption that dissemination occurs only during late invasive cancer 313 stages, many studies have focused on investigating dissemination from invasive 314 lesions. However, micro-invasion events were detected in patients' "pre-invasive" DCIS 315 lesions using electron microscopy, but these events might go unnoticed by light microscopy <sup>6</sup>. Additionally, DCIS lesions were found to be vascularized <sup>35</sup>, indicating 316 317 that there might be a possibility for early cancer cell dissemination within the DCIS 318 lesions. Our data reveal that macrophages enter the epithelium of early lesions in mice 319 and human DCIS where they create early dissemination microenvironments. In mice 320 this process can be initiated by the HER2 oncogene before growth stimulation is 321 evident, revealing a novel function for the HER2 oncogene that could be targeted. The 322 HER2 orchestrated early dissemination microenvironments contain early cancer cells 323 that attract CCR2+ macrophages via CCL2 secretion that in turn secrete Wnt-1 to 324 dismantle epithelial E-Cadherin junctions. The dissemination-promoting function of 325 macrophages was proven when we found that depletion of macrophages in early 326 HER2+ lesions using anti-CSF1R antibodies reversed the loss of E-cadherin in HER2+ 327 lesions as well as intravasation and dissemination to lungs. Interestingly, Wnt signaling is linked to branching morphogenesis <sup>36,37</sup> and a subset of tumor-associated 328 macrophages that drive invasive cancer dissemination also secrete Wnt ligands<sup>27</sup>. 329

We found that the myelo-monocytic landscape of HER2+ early lesions at the time of early dissemination resembled that of healthy mammary glands and largely consisted of M2 polarized F4/80+/CD11b+/CD206+/Tie2+ macrophages. In contrast, overt tumors predominantly contained CD11b<sup>int</sup>/CD206<sup>lo</sup>/Tie2<sup>lo</sup>/VCAM+ macrophages as described <sup>31</sup>

but these were the minority of macrophages in wild type and early lesion ducts. We corroborated these findings *in situ* by immunofluorescence staining, confirming that intra-epithelial macrophages and wild type resident macrophages are CD206+ whereas tumor associated macrophages are CD206<sup>lo</sup>. Interestingly, the profile of resident and early lesion macrophages is characteristic for a subset of macrophages in invasive breast cancer lesions that are gatekeepers of intravasation doorways <sup>19</sup>.

340 This raises the possibility that when HER2 is overexpressed in mammary 341 epithelila cells, resident macrophages have the inherent potential to aberrantly fuel 342 epithelial cell motility as is the case during physiologic mammary gland development <sup>17,18,29</sup>. While the barrier between stroma and epithelium prevents resident macrophages 343 344 from disrupting the steady state epithelial architecture, oncogene-activated attraction of 345 resident macrophages into the epithelium might result in disruption of normal tissue 346 boundaries and early dissemination. However, further scrutiny and lineage tracing 347 experiments are required to fully understand the origin of macrophages driving early 348 and late dissemination.

349 We further found that when macrophages were depleted during early stages but 350 allowed to rebound during invasive stages, lung metastatic burden was still reduced. 351 This indicates that early DCCs contribute to lung metastasis formation, either directly or 352 indirectly and surprisingly large tumors that persisted in mice for ~1.5 months were not 353 able to compensate for the reduced dissemination during early stages. While the exact 354 clinical implications of our findings need further analysis, a few scenarios of clinical 355 relevance can be discussed. It is argued that because 13% of DCIS patients show disseminated disease and only 3% develop metastatic disease <sup>8-12</sup>, early dissemination 356

357 is not a contributor to lethal metastatic cancer. However, approximately 50% of breast 358 cancer deaths after DCIS occurred in the absence of a detectable local invasive disease and were not influenced by current treatments <sup>10</sup>. Further, cancer can manifest with 359 metastasis without a detectable primary even after careful inspection of the patients <sup>38</sup>. 360 361 These clinical findings indicate that at least in a subgroup of patients, early DCCs may develop lethal metastases <sup>10</sup> (Fig.7G scenario 1). Additionally, early DCCs may 362 363 cooperate with later arriving DCCs to form metastasis in patients that after DCIS 364 treatment go on to develop invasive lesions or in patients that had DCIS but only were 365 diagnosed later for invasive cancer (Fig.7G scenario 2). This resembles the concept of the "pre-metastatic" niche described previously <sup>39,40</sup> where the pre-metastatic niche 366 367 could also be orchestrated by early DCCs. Next phase studies will address the genetic 368 identity of metastasis affected by macrophage depletion and determine the contribution 369 of early DCCs to the metastatic burden late in cancer progression.

Overall, our studies suggest that before propelling rapid growth, oncogenes such as HER2 might turn on developmental programs of anoikis resistance <sup>24</sup>, macrophage recruitment and invasion that initiate dissemination much earlier than anticipated. We provide critical new insight into the understanding of the natural history of metastatic disease and we demonstrate that macrophages and early DCCs appear to play a seminal role in metastatic breast cancer.

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377 Methods.

378 **Cells and cell culture.** Raw264.7 cells expressing mCherry were generated using 379 mCherry lentiviral vectors and maintained in DMEM (Lonza) with 10% FBS and 1%

380 Pen/Strep. Comma-1D cells were maintained in DMEM-F12 medium containing 381 2%FBS, 1% Pen/Strep. For DKK1 stimulation, conditioned media was prepared from 382 DKK1 expressing 293T cells and protein concentration was determined using a 383 Bradford assay cells cultured with serum free medium (DMEM + 1%P/S) for 24 hours 384 and then concentrated using Vivaspin 20 Centrifugal Concentrating tubes (Sartorius, 385 VS2021) at 3000g up to 3 hours until desired concentration (10x) was reached. 386 0.5ug/ml DKK1 protein was used for stimulation. For co-culture experiments, Comma-387 1D cells were seeded on coverslips and after 12h, Raw-264.7-mCherry cells were 388 added. Co-cultures were fixed in 2% formalin after 12h and then stained. All cell lines 389 were routinely tested for mycoplasma.

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391 **Mouse experiments.** All animal procedures were approved by the Institutional Animal 392 Care and Use Committee (IACUC) of Icahn School of Medicine at Mount Sinai, 393 protocols 08-0366 and 2014-0190. FVB/N-Tg(MMTVneu)202Mul/J or FVB wild 394 type mice were purchased from Jackson laboratory and bred in-house. 395 Animals were sacrificed using CO<sub>2</sub> at age 14, 20-22wk or when invasive tumors had 396 reached a diameter of 1cm. For macrophage depletion, we administered 3mg of the 397 CSF1R antibody clone ASF98 on day 1 and 1mg on day 7 and weekly thereafter by 398 injection into the tail vein of 18wk old pre-malignant MMTV-Her2 mice. PBS was used 399 as vehicle control. Treatment lasted 14 days or until tumors were first palpable (3mm 400 diameter). ASF98 antibody was a generous gift of Dr. Miriam Merad. For CCR2 401 blockade, mice were either treated with 2mg/kg of RS504393 (Tocris Bioscience) or

vehicle control (DMSO) daily by i.p. injections for 14 days or by injection of 1mg/kg
RS504393 into the fat pad for 5d.

404 **Mammary Gland Whole Mounts.** Mammary glands were excised, fixed in Carnoy's 405 fixative and stained in carmine alum solution as described 406 in <u>http://mammary.nih.gov/tools/histological/Histology/index.html</u>.

407 Microscopy. Formalin fixed and paraffin embedded samples were prepared and stained as described <sup>41</sup>. For immunohistochemistry, VectaStain Elite ABC Rabbit IgG 408 409 and Mouse IgG (PK-6102) kits from Vector Laboratories were used for secondary 410 antibodies. Secondary antibodies were left for one hour at room temperature. DAB and 411 Vector Blue substrate kit (Vector Laboratories) were used for enzymatic substrate. 412 Mounting was done using VECTASHIELD mounting media (Vector Laboratories). For 413 CD206 stainings, cryosections were used. Tissue was fixed in 4% formalin over night, 414 incubated in 30% sucrose/PBS over night and sectioned into 6mm sections. Staining of cryosection was done as described <sup>42</sup>. Antibodies used were: CD68 (Sigma, polyclonal), 415 416 F4/80 (abcam CIA:3-1), Iba-1 (Wako polyclonal), Cytokeratin 8/18 (Progen, polyclonal), 417 smooth muscle actin (Sigma IA4), CD206 (Biolegend C068C2), CCL2 (Novus 2D8), E-418 Cadherin (Becton Dickinson, polyclonal), beta catenin (cell signaling, polyclonal), Her2 419 (abcam, polyclonal), Endomucin (Santa Cruz 7C7). For costaining of F4/80 and CD206 420 (both raised in rat) a FITC-conjugated F4/80 antibody (Biolegend BM8) was used in 421 combination with CD206 (Biolegend C068C2) in a sequential stain. Microscopic 422 analysis was carried out with a Leica widefield microscope or with a Leica confocal 423 microscope for 3D cultures. For quantification of immunofluorescence signal intensity 424 with the Metamorph software, regions of interest were defined in original tiff files that

had been taken under the same exposure time and settings and the mean signal intensity was measured. Because the use of a directly conjugated F4/80 antibody resulted in lower signal intensity, we used Iba1 as a macrophage marker <sup>19</sup> to identify macrophages for CD206 signal intensity measurement instead.

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430 **Flow Cytometry.** MMTV-HER2 mice were sacrificed using CO<sub>2</sub> at age 18-22wk (early 431 pre-malignant cancer lesions) or when overt tumors had formed. Whole mammary 432 glands or tumors were digested in Collagenase/BSA at 37°C for 30-45min. Red blood 433 cell lysis buffer (Sigma) was used to remove blood cells. Cell suspensions were blocked 434 with Fc-blocking reagent (eBioscience) and samples were surface stained in FACS 435 buffer (PBS supplemented with 1% BSA and 2mM EDTA) for 20-30 min on ice using the 436 following antibodies: CD45-PerCPCy5.5 (Biolegend 30-F11), CD11b-PeCv7 437 (eBioscience M1/70), CD11c-PE (eBioscience N418), Gr1-AF700 (eBioscience 438 RB68C5), Tie2-biotin (eBioscience TEK4), F4/80-biotin (Biolegend BM8), CD206-APC 439 (Biolegend C068C2), VCAM-FITC (eBioscience 429). DAPI was used to label dead 440 cells. Multiparameter analysis was performed on a Fortessa (BD) and analyzed with 441 FlowJo software (Tree Star). DAPI+ cells and doublets were excluded from all analysis. 442 To sort mammary tissue macrophages, whole mammary glands from 14wk, 18-22wk 443 (early pre-malignant cancer lesions) mammary glands or from invasive tumors were 444 digested in Collagenase/BSA at 37°C for 30-45min. Mononuclear cells were enriched in 445 a Percoll gradient and then macrophages were sorted as viable CD45+/Gr1-446 /CD11b+/F4/80+ cells.

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448 CyTOF analysis. All mass cytometry reagents were purchased from Fluidigm Inc. 449 (former DVS) unless otherwise noted. Mice were injected i.p. with 1mg IdU per mouse 450 16h prior to the experiment. Lymph nodes were removed and mammary glands were 451 digested using the Miltenyi fatty tissue digestion kit. Cells were then washed with PBS 452 containing 1% BSA and blocked with Fc-blocking reagent (eBioscience) to minimize 453 non-specific antibody binding. Cells were stained with a panel of metal-labeled 454 antibodies against 20 cell surface markers (Fig.5 supplement 1A) for 30 minutes on ice, 455 and then washed. All antibodies were either purchased pre-conjugated to metal tags, or 456 conjugated in-house using MaxPar X8 conjugation kits according to the manufacturer's 457 instructions. After antibody staining, cells were incubated with cisplatin for 5 minutes at 458 RT as a viability dye for dead cell exclusion. Cells were then fixed and permeabilized 459 with a commercial fix/perm buffer (BD Biosciences) and stored in PBS containing 1.6% 460 formaldehyde and a 1:4000 dilution of Ir nucleic acid intercalator to label all nucleated 461 cells. Immediately prior to acquisition, cells were washed in PBS, and diH20 and 462 resuspended in diH20 containing a 1/10 dilution of EQ 4 Element Calibration beads. 463 After routine instrument tuning and optimization, the samples were acquired on a 464 CyTOF2 Mass Cytometer in sequential 10min acquisitions at an acquisition rate of <500 465 events/s. The resulting FCS files were concatenated and normalized using a bead-466 based normalization algorithm in the CyTOF acquisition software and analyzed with 467 Cytobank. FCS files were manually pre-gated on Ir193 DNA+ CD45+ events, excluding 468 dead cells, doublets and DNA-negative debris. Myeloid derived cells were manually 469 gated based on CD11c and CD11b expression and the gated myeloid populations were then analyzed using viSNE<sup>30</sup> based on all myeloid phenotypic markers. Putative cell 470

populations on the resulting viSNE map were manually gated based on the expression
of canonical markers, while allowing for visualization of additional heterogeneity within
and outside of the labeled population bubbles.

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475 Mammospheres and 3D mammary primary epithelial cell cultures. Acini cultures were performed as described  $^{33,43}$ . 5x10<sup>4</sup> eCCs were seeded in in 400ul Assay 476 477 Medium in 8-well chamber slides coated with 40ul of Matrigel (Corning). Acini formed at an efficiency of around 30 acini/1\*10<sup>4</sup> MECs plated. For macrophage co-cultures, 478 primary tissue macrophages were added at a ratio of 500 per 1x10<sup>4</sup> eCCs seeded to 5d 479 480 old acini cultures. For inhibitory treatments, 5d old acini cultures were treated for 24h with 1µM Lapatinib (LC Laboratories), 2µM IKK Inhibitor <sup>34</sup> (generous gift from Dr. Albert 481 Baldwin), 1µM CCR2 inhibitor RS504393 (Tocris Bioscience) or DMSO as vehicle 482 483 control. Cultures were then fixed for immunofluorescence (IF) with 4% PFA. Mammosphere cultures were prepared as described <sup>33</sup>. To prepare conditioned 484 medium, 5d old mammosphere culture were plated in serum free DMEM medium and 485 486 conditioned medium was harvested after 24h.

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Immunoblotting, RT–PCR, and quantitative PCR (qPCR). Immunoblotting was performed as described previously <sup>44,45</sup>. Antibodies used were P-NF-kappa-B p65 (Cell Signaling polyclonal) and beta-tubulin (abcam, polyclonal). For expression analysis of FVB wild type mammary epithelial cells or MMTV-Her2 eCCs, epithelial cells were isolated and grown as mammospheres for 5d as described <sup>33</sup>. For expression analysis of Raw264.7 macrophages, cells were grown as monolayers in 6-well culture dishes

494 and treated with conditioned medium for 24h. RNA isolation was performed using Trizol 495 (Life Technologies) or the RNeasy Kit (Qiagen) for MTMs. RT- and qPCR were performed as described <sup>41</sup>. All samples were normalized to GAPDH expression and 2<sup>-</sup> 496 delta delta Ct values were calculated as described <sup>46</sup>. Primers were purchased from IDT. 497 498 GAPDH forward Primer sequences Mouseprimer 5'were: 499 AACTTTGGCATTGTGGAAGGGCTC-3'; 5'-GAPDH reverse primer 500 TGGAAGAGTGGGAGTTGCTGTTGA-3. E-Cadherin primer 5'forward 501 CAAGGACAGCCTTCTTTCG-3'; E-Cadherin 5'reverse primer 502 TGGACTTCAGCGTCACTTTG-3'. Wnt-1 5'forward primer 503 CAGTGGAAGGTGCAGTTGCAG-3'; 5'-Wnt-1 primer reverse 504 CAGTGGAAGGTGCAGTTGCAGC-3'. CSF1 forward 5'primer 505 CAACAGCTTTGCTAAGTGCTCTA-3'; CSF1 reverse primer 5'primer 506 CACTGCTAGGGGTGGCTTTA-3'. CCL2 forward 5'-507 5'-GGCTGGAGAGCTACAAGAGG-3'; CCL2 primer reverse 508 GGTCAGCACAGACCTCTCTC-3'.

**Patient samples.** Paraffin embedded sections from patients with DCIS were obtained from the Cancer Biorepository at Icahn School of Medicine at Mount Sinai, New York, NY and from Thomas Karn, University of Frankfurt, Germany. Samples were fully deidentified and obtained with Institutional Review Board approval, which indicated that this work does not meet the definition of human subject research according to the 45 CFR 46 and the Office of Human Subject Research.

515 **Circulating Cancer Cells (CCCs) and Disseminated Cancer Cells (DCCs)** 516 **detection.** For CCC analysis, blood was drawn by cardiac puncture following IACUC 517 protocols. CCCs were purified using negative lineage cell-depletion kit (Miltenyi), fixed 518 with 3% PFA for 20 min on ice and cytospin preparations were carried out by 519 centrifugation of blood cells at 500 rpm for 3 min using poly-L-lysine-coated slides 520 (Sigma).

**Statistical Analysis.** Unless noted otherwise, all of the experiments presented in the manuscript were repeated at least 3 times with replicates of at least 3. Statistical Analysis was done using Graph Pad Prism Software. For all cell culture experiments (experiments with technical replicates), one-tailed *student t-tests* were performed. For mouse experiments, *Mann-Whitney* tests were used. Differences were considered significant if *P* values were  $\leq 0.05$ .

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N.L. designed and optimized experimental approach, performed *in vitro* and *in vivo* experiments, analyzed data and co-wrote the manuscript, A.M. and A.R. and the Human Immune Monitoring Core performed CyTOF experiments, E.F., M.S.S., E.T., and K.H. performed experiments, M.M. provided general guidance and oversight and co-wrote the manuscript, J.A.A.-G. designed and optimized experimental approach, provided general guidance and oversight, analyzed data and co-wrote the manuscript.

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#### 695 Author information.

696 The authors declare no competing financial interests.

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699 Figure Legends.

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701 Figure 1: Macrophages enter the ductal epithelial layer in early breast cancer 702 lesions. HE stainings of mammary gland sections show progression from healthy 703 mammary ducts in FVB wild type glands (A) to early lesions classified as hyperplasia 704 and mammary intra-epithelial neoplasia (**B**) to invasive tumors (**C**) in the MMTV-HER2 705 mouse model. Mammary glands from FVB wild type (**D**) of pre-malignant MMTV-HER2 706 mice at age 14 (E) and 22 (F) weeks were stained against F4/80 (macrophages) and 707 CK8/18 (epithelial cells) and against F4/80 and SMA (**E-G**). Bars  $10\mu m$ . The mean plus 708 SEM of the percentage of ducts containing IEM is shown; each dot represents one 709 animals (H).

710

711 Figure 2: Intra-epithelial macrophages induce an EMT-like response in early 712 cancer cells. 20wk old MMTV-HER2 mouse mammary glands were stained against E-713 Cadherin and F4/80. E-Cadherin localization was analyzed dependent on whether 714 macrophages did not make direct contact to the duct (no M. or distant M.; A) or whether 715 ducts contain intra-epithelial macrophages (IEM; B). The percentage of individual 716 epithelial cells that showed disrupted E-Cadherin (arrow in B) was quantified (C). Plot 717 shows means plus SEM; each dot represents one animal. E-Cadherin mRNA 718 expression in whole mammary glands of FVB wild type (WT) or 20wk old MMTV-HER2 719 mice was determined by qPCR. Plot (**D**) shows means plus SEM; each dot represents 720 one animal. 24wk old MMTV-HER2 mammary glands were stained against β-Catenin 721 and Iba1, a macrophage marker (**E**,**F**). β-Catenin+ early cancer cells (blue arrows in F)

722 were more frequent in ducts containing intra-epithelial macrophages (black arrows in F) 723 (G). Each dot represents one animal, plots show mean plus SEM. The mammary 724 epithelial cell line Comma-1D was grown as a monolayer and Raw264.7 macrophages 725 stably transfected with mCherry were added. After 12h, co-cultures were stained 726 against E-Cadherin (H) or  $\beta$ -Catenin (I) and the signal intensity of  $\beta$ -Catenin signals 727 inside individual nuclei was quantified (J). Boxplot shows range of nuclear  $\beta$ -catenin 728 signal intensity in individual cells; independent experiments N=3. (K,L) Conditioned 729 medium was harvested from primary cultures of wild type (WT) or pre-malignant MMTV-730 HER2 mammospheres and added to Raw264.7 macrophages or mammary tissue 731 macrophages (MTMs) isolated from pre-malignant MMTV-HER2 mammary glands. 732 Wnt-1 expression was determined by qPCR, plots show means plus SEM of three 733 technical replicates; individual experiments N=3 for Raw264.7 and N=2 for MTMs. 734 Comma-1D cells were grown as monolayers (M) and Raw-264.7-mCherry macrophages 735 were added (N) and additionally treated with DKK1 (O). Co-cultures were harvested 736 after 12h and stained against E-Cadherin. E-Cadherin signal intensity in whole section 737 was quantified. Plot (P) shows mean plus SEM; each dot represents one microscopic 738 field; independent experiments N=2.

739

Figure 3: Macrophage depletion during pre-malignant stages prevents early cancer cell dissemination. 20wk old pre-malignant MMTV-HER2 mice were treated with the anti CSF1R ASF98 antibody and animals were harvested after two weeks with no signs of invasive carcinoma (**A**). Analysis of HE staining of mammary gland sections confirmed the absence of invasive lesions (**B**). E-Cadherin expression in whole

mammary glands was determined by RealTime PCR of whole mammary gland lysates 745 746 (D; mean plus SEM; each dot represents one individual mammary glands; N=2 747 experiments combined) and by immunofluorescent staining against E-Cadherin in 748 mammary gland sections (E,F; bars 10µm). E-Cadherin signal intensity was measured 749 in regions of cell junctions (G). Box plots depict values of individual regions for 3 750 animals each; N=2. Early circulating cancer cells (eCCCs) were quantified by harvesting 751 peripheral blood and determining the amount of HER2 and CK8/18 positive eCCs per 752 mL blood which then were normalized to the mean of controls. Plot (H) depicts 753 normalized means plus SEM; each dot represents one animal; combined independent 754 experiments N=2. Disseminated eCCs were quantified by staining lung sections against 755 HER2 (I,J; bars 25µM) and quantifying the average of HER2+ cells per 100 randomly 756 chosen microscopic fields (K). Plot (K) shows means + SEM where each dot represents 757 one animal of 2 individual experiments combined.

758

759 Figure 4: Early disseminated cancer cells can contribute to metastasis formation. 760 Macrophages were depleted from pre-malignant MMTV-HER2 mice by ASF98 761 treatment starting at week 18. Treatment was stopped when mice developed palpable 762 tumors (1-3mm average) (A). Mice were left until tumors reached 1cm in diameter and 763 then sacrificed. Time from beginning of treatment at age wk18 until development of 764 palpable tumors (**B**) and from formation of palpable tumors until tumors were overt (**C**) 765 is depicted as mean plus SEM where each dot represents one animal of two 766 independent experiments combined. Macrophages in sections of overt tumors at the 767 end of the experiment identified by staining against F4/80 (D,E) and quantified as

768 numbers of macrophages relative to tumor area (F). Vascularization of overt tumors was 769 analyzed by staining against endomucin, an endothelial cell marker (G,H) and 770 quantification of vascularized area (I). Plots show mean plus SEM where each dot 771 represents one section of at least 3 animals combined. Solitary DCCs in lung sections 772 and metastases defined as cell clusters bigger than 3 cells were quantified in lung 773 sections stained against HER2 (K). For solitary cell analysis, the average of DCCs or 774 metastases per 100 fields was counted; each dot represents one lung section (J). For 775 metastasis analysis, the total number of metastases per lung sections was quantified 776 and plotted (L). Number of mice N=6 (control) and N=4 ( $\alpha$ CSF1R) animals combined; 777 independent experiments N=2.

778

779 Figure 5: Phenotypic profiling of macrophages in early mammary cancer lesions. 780 Whole mammary glands from FVB wild type mice or 14 and 22 week old pre-malignant 781 MMTV-HER2 mice were analyzed by mass cytometry. viSNE plots were generated from 782 myelo-monocytic cells (gating strategy Fig.5 supplement 1B) (A). Results from one 783 representative animal is shown; number of animals per group N=5; individual 784 experiments N=2. The three subpopulations were identified as Ly6C+ monocytes and 785 CD206-hi and CD206-lo macrophages based on their expression levels of Ly6C (B) and 786 CD206 (C). These three populations were then analyzed for their frequency amongst all 787 myelomonocytic cells (**D-F**) Dot plots show mean plus SEM of 5 animals per group, 788 each dot represents one animal. Heat plots for 3 individual animals per group with 789 expression levels of selected markers Ly6C (B), CD206 (C), Tie2 (I) and IdU 790 incorporation as a proliferation marker (J) were generated for CD206-lo and -hi

macrophages as identified in the viSNE plots. **G**, **H**: viSNE plot and quantification of myelomonocytic population in overt MMTV-HER2 tumors. Mammary glands from FVB wild type mice (**K**), MMTV-HER2 mice at 24wks (**L**) and overt MMTV-HER2 tumors (**M**) were stained against CD206 and F4/80 and CD206 signal intensity in F4/80+ macrophages was quantified. Plot (N) depicts mean plus EM, each dot represents one macrophages; 3 animals combined. Bars 10µm.

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798 Figure 6: HER2 upregulation leads to activation of NFkB and CCL2 799 overexpression. Phosphorylation of the p65 subunit of NFkB was analyzed in Western 800 Blots of whole cell lysates of mammospheres from 20wk old pre-malignant MMTV-801 HER2 mice (A). One representative plot of three independent experiments is shown. (B) 802 CCL2 expression in mammospheres derived from FVB wild type and pre-malignant 803 MMTV-HER2 mammary glands was measured by real time PCR analysis. Plot shows 804 means plus SEM where each dot represents one technical replicate; number of individual experiments N=3. (C) Mammary glands from FVB wild type, 14wk old and 805 806 22wk old MMTV-HER2 mice were stained against CCL2, HER2, and CCR2. CCL2 807 immunofluorescent signal intensity around the ductal epithelium was quantified (**D**). Plot 808 shows mean plus SEM, each dot represents one duct. Bars 25µm. CCL2 was stained in 809 acini cultures derived from pre-malignant MMTV-HER2 mammary glands that were 810 grown for 5d and then treated with DMSO (vehicle control; E), 1µM Lapatinib (F) or 1µM 811 IKK inhibitor compound A (G) for 24h. Acini derived from 20 week old pre-malignant 812 MMTV-HER2 mammary glands were grown for 5d, then treated with DMSO (vehicle 813 control), Lapatinib (1µM), IKK inhibitor compound A (1µM), or CCR2 inhibitor RS504393

814 (1µM) and macrophages isolated from 20wk old pre-malignant MMTV-HER2 mammary 815 glands were added. After 24h, acini were stained against F4/80 and the percentage of 816 acini associated with mammary gland macrophages in 3D co-cultures (exemplary image 817 in **H**) compared to those not associated with macrophages (I) was determined (bar 818 25µm). Plot (J) shows means plus SEM; each dot represents one technical replicate; 819 independent experiments N=2. 20wk old pre-malignant MMTV-HER2 mice were treated 820 with a CCR2 inhibitior RS504393 (2mg/kg i.p. daily) for 2 weeks. Additionally, mice were 821 treated locally by injecting 2mg/kg CCR2 inhibitor into the fat pad of one gland and 822 vehicle control into the contra-lateral gland. Injections were performed daily for 5 days 823 (N). Pre-malignant mammary glands were stained against E-Cadherin and F4/80 (K,L 824 bars 25µm) and intra-epithelial macrophage (IEM) containing ducts were quantified 825 (M,O). For local treatment, values were normalized to the IEM content of each contra-826 lateral control treated gland. Plot shows means plus SEM; each dot represents one 827 animal.

828 Figure 7: Intra-epithelial macrophage numbers in human DCIS lesions negatively 829 correlate with E-Cadherin levels. Human adjacent healthy (A) and DCIS tissue (B) 830 was stained against CD68 (macrophages) and smooth muscle actin (SMA). Bar: 75µm. 831 Plot shows mean plus SEM of the percentage of ducts intra-epithelial macrophages 832 (IEM) from 7 healthy and 10 DCIS patients; each dot represents one patient (C). 833 Sections from human DCIS tissue were stained against CD68 (macrophages) and E-834 Cadherin (D,E). E-Cadherin pixel intensity was quantified in regions of individual cell 835 junctions and medians for individual patients were quantified. Plot (F) depicts mean E-836 Cadherin intensity throughout DCIS lesions of individual patients with low or high intra-

837 epithelial macrophage (IEM) numbers (total patient number N=12). All bars 25µm. 838 Scheme of macrophage (G) assisted early dissemination from pre-invasive lesions 839 where mammary tissue macrophages (MTM) are attracted into pre-invasive ducts by 840 early cancer cells (CC) via HER2 and NFkB mediated upregulation of CCL2. Intra-841 epithelial macrophages secrete Wnt proteins and thereby induce an EMT that drives 842 early dissemination. Early disseminated cancer cells then contribute to metastasis 843 formation, either as a slow cycling seeds of metastasis (scenario 1) or by interacting 844 with the microenvironment to make it more permissive for the growth of more adapted 845 late cancer cells (scenario 2).

846

848 Supplementary Figure Legends.

849

Supplementary Fig.1. Depletion of mammary gland macrophages (F4/80+/CD11b+) after two weeks of treatment with a CSF1R antibody compared to vehicle control (A). Percentage of ducts with intra-epithelial macrophages (IEM; B) and hyperplastic ducts (C) was quantified in mammary gland sections after two weeks of CSF1R antibody or vehicle treatment. Whole mount staining of mammary glands after two weeks of CSF1R antibody or vehicle control treatment (D,E).

856

**Supplementary Fig.2.** Flow cytometry lung gating strategy were CD45+ viable cells were identified as F4/80+/Gr1+/CD11b+ and F4/80-/Gr1+/CD11b+ monocytes and F4/80+/Gr1-/CD11c<sup>hi</sup> alveolar macrophages (**A**,**B**). Quantification of alveolar macrophage (**C**) and monocyte populations (**D**,**E**) in lungs of MMTV-HER2 mice that had been treated with a CSF1R antibody or vehicle control during pre-malignant stages and were then allowed to progress to over tumor stages.

863

**Supplementary Fig.3. A**: List of markers analyzed by mass cytometry (CyTOF). **B**: Gating scheme to create viSNE plots of macrophages and monocytes. DNA staining and Cisplatin was used to identify viable cells. **C**: Heatplot of CD11b in the three myelomonocytic populations identified by visne plot (Fig.2A). N=3 animals per group; independent experiments: N=2. **D**: Heatplot of VCAM1 in the three myelo-monocytic populations identified by viSNE plot. N=2 animals per group; independent experiments N=2.

871 Supplementary Fig.4. A: Overview of qRT-PCR expression and immunofluorescent 872 analysis results of selected cytokines in mammospheres derived from 20wk old MMTV-873 Her2 mammary glands that were not detectable (n.d.), did not change (n.c.) or did not 874 chance significantly (n.s.) or were increased in relation to expression levels in FVB wild 875 type mammary glands. B: gRT-PCR expression analysis of CSF2 expression in 876 mammospheres derived from either FVB wild type or 20wk old MMTV-Her2 pre-877 malignant mice. Three independent experiments with triplicates were performed. C-E: 878 Immunofluorescent staining of FVB wild type (C) and 22wk old MMTV-Her2 mammary 879 glands (D) against CSF2 or with IgG control (E). Bars 25µM

880

Supplementary Fig.5. Human DCIS sections were stained against CD68 and CD45 (A) and CD68 and cytokeratin 8/18 (B). B,C: Two individual ducts in one DCIS lesion of the same patient with either high E-Cadherin and low intra-epithelial macrophage (IEM) levels (C) or low E-Cadherin levels and high IEM levels (D) within the same patient. E: Quantification of E-Cadherin signal intensity in the region of cell junctions within ducts of the same patients with either high or low numbers of IEMs.





Linde et al. 2016 Figure 1



+Raw264.7-mCherry

0

Raw264.7 DKK1



Linde et al. 2016 Figure 3



Linde et al. 2016 Figure 4





#### CD68 SMA DAPI



### G Model of macrophage driven early dissemination





Linde et al. 2016 Supplementary Fig.1



Linde et al. 2016 Supplementary Figure 2



<b>L</b>	qRT	IF	
IL1b	n.d.	-	
IL6	n.d.	-	
CSF1	n.c.	-	
CSF2	n.s.	n.c.	
CCL2	increased	increased	
	IL1b IL6 CSF1 CSF2 CCL2	qRTIL1bn.d.IL6n.d.CSF1n.c.CSF2n.s.CCL2increased	



0 FVB MMTV-Her2

## CSF2 Immunofluorescence



Linde et al. 2016 Supplementary Figure 4



Linde et al. 2016 Supplementary Figure 5