

# Acute promyelocytic leukemia and differentiation therapy: molecular mechanisms of differentiation, retinoic acid resistance and novel treatments

*Akut promiyelositik lösemi ve diferansiyasyon tedavisi: diferansiyasyonun, retinoik asit direncinin ve yeni tedavilerin moleküler mekanizmaları*

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## Abstract

Incorporation of all-trans-retinoic acid (ATRA) into the treatment of acute promyelocytic leukemia (APL), a type of acute myeloid leukemia (AML), revolutionized the therapy of cancer in the last decade and introduced the concept of differentiation therapy. ATRA, a physiological metabolite of vitamin A (retinol), induces complete clinical remissions (CRs) in about 90% of patients with APL. In contrast to the cytotoxic chemotherapeutics, ATRA can selectively induce terminal differentiation of promyelocytic leukemic cells into normal granulocytes without causing bone marrow hypoplasia or exacerbation of the frequently occurring fatal hemorrhagic syndromes in patients with APL. However, remissions induced by ATRA alone are transient and the patients commonly become resistant to the therapy, leading to relapses in most patients and thus limiting the use of ATRA as a single agent. Therefore, ATRA is currently combined with anthracycline-based chemotherapy, and this regimen dramatically improves patient survival compared to chemotherapy alone, curing about 70% of the patients. However, 30% of APL patients still relapse and die in five years. Recently, arsenic trioxide ( $As_2O_3$ ) was proven to be highly effective in inducing CRs not only in APL patients relapsed after ATRA treatment and conventional chemotherapy but also in primary APL patients. Despite the well-documented clinical efficacy of ATRA, molecular mechanisms responsible for development of ATRA resistance are not well understood. Based on in vitro and clinical observations, several mechanisms, including induction of accelerated metabolism of ATRA, decreased bioavailability and plasma drug levels, point mutations in the ATRA-binding domain of promyelocytic leukemia (PML)-retinoic acid receptor-alpha ( $RAR\alpha$ ) and other molecular events have been proposed to explain ATRA resistance. In this review, the molecular mechanisms of ATRA-induced myeloid cell differentiation and resistance are discussed, together with novel clinical approaches to overcome ATRA resistance in APL. (*Turk J Hematol* 2009; 26: 47-61)

**Key words:** Acute promyelocytic leukemia, all-trans-retinoic acid, therapy, resistance, histone deacetylase, arsenic, metabolism

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## Özet

Son 10 yıl içerisinde, all-trans retinoik asidin (ATRA) bir akut miyeloid lösemi (AML) tipi olan akut promiyelositik lösemi (APL) tedavisinde kullanılmaya başlanması, kanser tedavisinde kökten değişiklik yapmış ve diferansiyasyon tedavisi kavramının ortaya çıkmasına neden olmuştur. A vitamininin (retinol) fizyolojik bir metaboliti olan ATRA, APL'li hastaların yaklaşık %90'ında tam klinik remisyonları (KR) indükler. Sitotoksik kemoterapötiklerin tersine, ATRA, APL'li hastalarda kemik iliği

hipoplazisi oluşumunu veya sık oluşan ölümcül hemorajik sendromların alevlenmesini önleyerek, seçici bir şekilde promiyelositik lösemik hücrelerin normal granüositlere terminal diferansiyasyonunu indükler. Buna rağmen, sadece ATRA tarafından indüklenen remisyonlar geçicidir ve çoğunlukla hastalar tedaviye direnç kazanırlar, bu da pek çok hastada hastalığın nüksüne neden olur; bu nedenle, ATRA'nın tek ajan olarak kullanımı sınırlı hale gelir. Bu nedenle, ATRA halen antrasiklin bazlı kemoterapi ile kombine haldedir ve bu rejim sadece kemoterapi kullanımı ile karşılaştırıldığında, hastaların yaklaşık %70'ini iyileştirerek, hasta sağkalımını önemli ölçüde arttırmaktadır. Buna rağmen, APL hastalarının halen %30'unda hastalık nüks etmekte ve 5 yıl içerisinde ölüm gerçekleşmektedir. Son zamanlarda, arsenik trioksit (As<sub>2</sub>O<sub>3</sub>) in, sadece ATRA tedavisi ve klasik kemoterapiden sonra nükseden APL hastalarında değil, aynı zamanda, primer APL hastalarında da KR'leri indüklemeye yüksek oranda etkili olduğu ispatlanmıştır. ATRA'nın yazılı kanıtlara dayanan klinik etkinliğine rağmen, ATRA direncinin gelişmesinden sorumlu olan moleküler mekanizmalar tam olarak anlaşılmamıştır. İn vitro ve klinik gözlemlere dayanarak, ATRA'nın hızlanmış metabolizmasının indüksiyonu, azalmış olan biyoyararlanım ve plazma ilaç düzeyleri dahil çeşitli mekanizmalar, PML-RAR $\alpha$ 'nın ATRA-bağlayan domain yapısında nokta mutasyonu ve diğer moleküler olaylar ATRA direncini açıklamak üzere öne sürülmüştür. Bu derlemede, APL'de ATRA direncinin üstesinden gelmek için, ATRA ile indüklenmiş miyeloid hücre farklılaşmasının, direncin ve yeni klinik yaklaşımların moleküler mekanizmalarını ele alacağım. (Turk J Hematol 2009; 26: 47-61)

**Anahtar kelimeler:** Akut promiyelositik lösemi, all-trans retinoik asit, tedavi, direnç, histon deasetilaz, arsenik, metabolizma

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## Introduction

Undifferentiated phenotype is a common feature of cancer cells and is often associated with progressive disease and bad prognosis. Failure to terminally differentiate into mature blood cells or differentiation arrest at early steps of maturation is a major feature of acute myeloid leukemias (AML). Current standard chemotherapy cures only 30% of the AML patients, while about 70% of AML patients die to disease in five years, suggesting that alternative treatment strategies are required to cure these patients and increase patient survival.

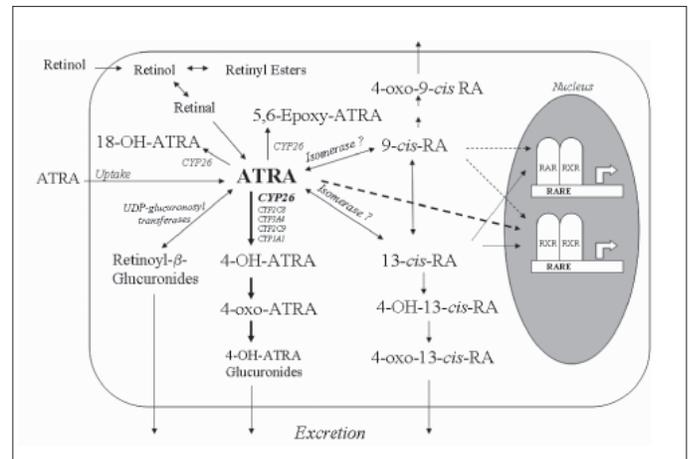
Differentiation therapy is based on the concept that immature leukemia progenitor cells can be forced to differentiate into a more mature or terminally differentiated phenotype by using differentiation-inducing agents. Differentiation therapy holds promise as an alternative or complement to standard chemotherapy. This type of treatment has the advantage of being potentially less toxic than standard chemotherapy. Treatment of acute promyelocytic leukemia (APL) with retinoic acid (RA) is the first model of differentiation therapy, and it has proven extremely successful in inducing clinical remission (CR) in most patients. All-trans-retinoic acid (ATRA) can selectively induce terminal differentiation of promyelocytic leukemic cells into normal granulocytes without causing bone marrow hypoplasia or exacerbation of the frequently occurring fatal hemorrhagic syndromes associated with chemotherapy. Thus, ATRA-induced differentiation of promyelocytic cells provides an excellent in vitro model for studying myeloid cell differentiation. Although development of quick resistance to the differentiation therapy is commonly observed, when combined with chemotherapy, this therapy can dramatically increase patient survival by enhancing the efficacy of chemotherapy.

## Acute Promyelocytic Leukemia and Differentiation Therapy

Acute promyelocytic leukemia (APL), a M3 type of AML based on French-American-British (FAB) classification, is

uniquely sensitive to undergo terminal differentiation by differentiation-inducing agents, such as retinoids (i.e., ATRA, 9-cis-RA), phorbol ester, vitamin D, and dimethylsulfoxide (DMSO). Therefore, APL represents an excellent model for studying differentiation of normal and myeloid leukemia cells.

APL, which represents 10-15% of all AML, is characterized by chromosomal translocations fusing retinoic acid receptor-alpha (RAR $\alpha$ ) gene on chromosome 17 and one of four different genes, including promyelocytic leukemia (PML), promyelocytic zinc finger (PLZF), nucleophosmin (NPM), nuclear matrix associated (NuMA), or signal transducer and activator of transcription 5b (Stat5b) gene [1-5]. The most common form of translocations is t(15,17) (q22,q21) encoding PML-RAR $\alpha$  (Figure 1) and t(11,17)(q23,q21) encoding PLZF-RAR $\alpha$  fusion receptor proteins, found in 99% and >1% of APL patients, respectively [6,7]. The translocations are usually reciprocal chromosomal translocations, leading to creation of reciprocal hybrid receptor proteins (X-RAR $\alpha$  and RAR $\alpha$ -X). APLs expressing



**Figure 1.** Oncogenic PML-RAR $\alpha$  receptor proteins expressed in APL due to chromosomal translocation t(15;17). Chromosomal translocations involve retinoic acid receptor alpha (RAR $\alpha$ ) gene on chromosome 17 and either promyelocytic leukemia (PML) gene. Breakpoints may vary in the PML gene; however, it is always located in the same point in the RAR $\alpha$  gene

PML-RAR $\alpha$ , NPM-RAR $\alpha$  or NuMA-RAR $\alpha$  are responsive to ATRA-induced differentiation effects, with the exception of PLZF-RAR $\alpha$  type APL, which is resistant to ATRA [8-11].

## Retinoids and All-Trans-Retinoic Acid

Retinoids are a family of molecules that are structurally related to retinol (vitamin A), and are known to play a critical role in many physiological functions, such as cell proliferation, differentiation, apoptosis, homeostasis, reproduction, and fetal development [12]. Retinol is absorbed from the diet in the form of retinyl-esters or  $\beta$ -carotene and stored in the liver as retinyl palmitate.

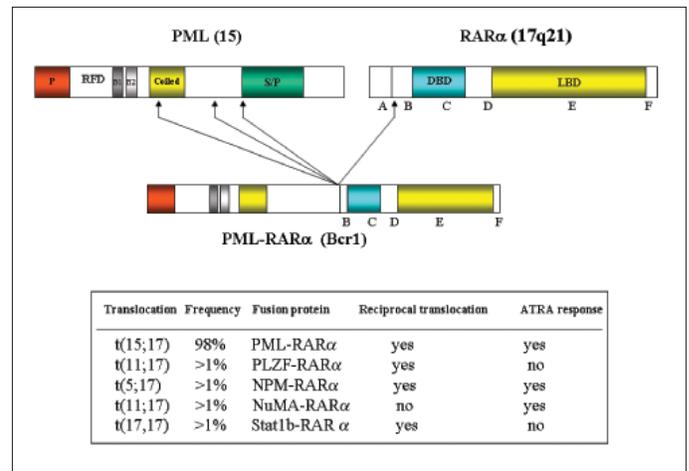
All-trans-retinoic acid (ATRA, tretinoin), 9-cis-RA, 13-cis-RA, isotretinoin), and retinal are physiologic or synthetic derivatives of retinol [13]. Even though only a small percent of retinol and  $\beta$ -carotene are converted to ATRA and 9-cis-RA, they are ~100- to ~1000-fold more potent than other natural retinoids. Retinol, ATRA and 13-cis-RA are found in the human plasma at levels of ~2  $\mu$ M, ~8 nM and ~5 nM, respectively, and can induce differentiation of PML cells.

### Modulation of Biologic Effects of Retinoids Through Nuclear Receptors

Retinoid receptors belong to a superfamily of ligand-inducible transcription factors including steroid, vitamin D, thyroid hormone, peroxisome proliferator-activated receptor, and orphan receptors with unknown functions [14]. Two classes of nuclear RARs and retinoid X receptor (RXR), each consisting of three isotypes ( $\alpha$ ,  $\beta$  and  $\gamma$ ) encoded by separate genes and their isoforms (e.g.,  $\alpha$ 1,  $\alpha$ 2,  $\beta$ 1-  $\beta$ 4,  $\gamma$ 1 or  $\gamma$ 2), have been identified and discussed in great detail in recent reviews [14,15].

RARs and RXRs contain different domains, A through F, with diverse functions (Figure 2A). A and B domains located at the amino terminal of each particular receptor contain isoform-specific, ligand-independent transactivation functions, AF-1 (14). These receptors bind to retinoic acid response elements (RARE) through a conserved DNA binding domain (C domain) containing ZF motifs [14]. Ligands (retinoids) bind to a ligand binding domain (LBD) or E domain at the C-terminus of the receptors that contain sequences involved in dimerization of the receptors, ligand-dependent transactivation (AF-2), and translocation to the nucleus [16]. The functions for F and D domains have not been clearly defined.

The complex diversity and pleiotropic effects in the retinoid signaling pathway are provided not only due to existence of multiple isoforms of RARs but also as a result of combinations of RAR-RXR heterodimers or homodimers and the presence of different ligands [14,17]. The RARs can be transcriptionally activated by binding to either ATRA or 9-cis-RA; however, RXRs can be activated only by 9-cis-RA and not by 13-cis-RA or ATRA. 13-cis-RA, a stereoisomer of ATRA, shows a lower affinity for RARs and RXRs (Figure 2) [18]. Upon ligand binding, activated nuclear receptors that bind to RAREs found in the upstream sequences (promoters) of RA responsive genes lead to transcription of the target genes. RAR $\alpha$  plays a major role in ATRA-induced differentiation in HL-60 myeloid cells [19,20].



**Figure 2. A.** Retinoid nuclear receptors in normal cells. ATRA and its isomers (9-cis-RA and 13-cis-RA) bind ligand binding domain for trans-activation of the target genes. **B.** Receptor fusion proteins due to the translocation t(15;17). t(15;17) lead to expression of three different PML-RAR alpha isoforms

However, RXR $\alpha$  mediates induction of apoptosis in the same cell line by ATRA or 9-cis-RA [20]. ATRA treatment of APL cells induces expression of RAR $\alpha$  mRNA, suggesting that ATRA can also modulate its own receptor, RAR $\alpha$ , in addition to differentiation-related genes [21]. The availability of the retinoid ligands to its cognate receptors can be determined by the level of presence of certain non-receptor proteins, such as cytoplasmic RA-binding proteins and heat shock proteins [22]. Moreover, isoforms of PML-RAR may alter the retinoid signaling with or without ligand binding (Figure 2B).

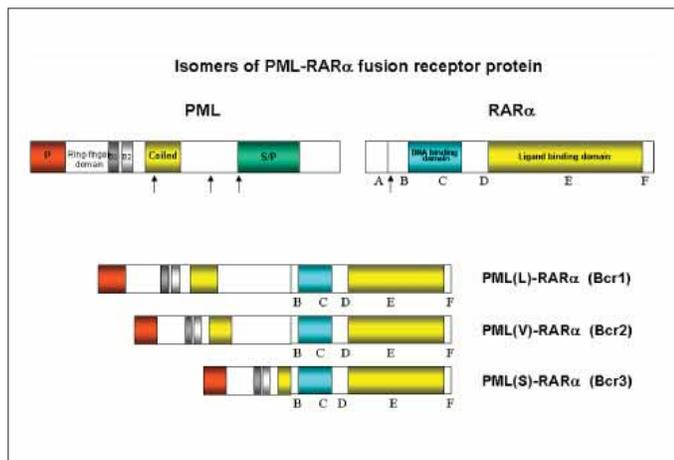
## Pathogenesis of Acute Promyelocytic Leukemia

PML-RAR $\alpha$  fusion receptor protein is expressed at high levels in APL blasts and interferes with the physiologic functions of PML and RAR $\alpha$  proteins, exerting a dominant negative effect [1,23]. Expression of the PML-RAR $\alpha$  fusion receptor protein blocks differentiation of myeloid precursor cells at the promyelocytic stage, leading to accumulation of immature hematopoietic cells in the bone marrow [24-26]. It was also shown that overexpression of dominant negative or wild type RAR $\alpha$  causes a differential block at the promyelocytic stage [27]. Recently, transgenic mice expressing PML-RAR $\alpha$  had a block at the promyelocytic stage of myeloid maturation in blast cells, implicating the important role of PML-RAR $\alpha$  abnormal receptor protein in leukemogenesis [26,28,29].

PML is involved in the regulation of proliferation and apoptosis [30,31]. Cells lacking PML are resistant to apoptosis by gamma irradiation, grow faster and have longer survival time, while cells overexpressing PML undergo apoptosis by the same stimulus [30,32]. It was shown that PML is located in the nucleus of normal cells in punctuate nuclear structures (PODs) or nuclear bodies associated with nuclear matrix; however, in PML-RAR $\alpha$ -positive APL cells, localization and the normal pattern of nuclear bodies are disrupted [24,33,34]. Overall data suggest that disruption of PML function has been proposed to contribute to the APL pathogenesis [24,35].

### Molecular Basis of ATRA Therapy in APL

ATRA induces differentiation of immature leukemic blasts into terminally differentiated granulocytic cells, which is associated with CRs [8,9,35]. ATRA-induced differentiation of APL blasts requires expression of PML-RAR $\alpha$  receptor protein [11]. PML-RAR $\alpha$  can heterodimerize with RXR or form homodimers and subsequently binds to RARE, located in the promoters of the ATRA-responsive target genes. ATRA can bind to PML-RAR $\alpha$  with an affinity comparable to RAR $\alpha$ . In the absence of ligand, RAR-RXR in normal blasts and PML-RAR $\alpha$ -RXR heterodimers in APL cells recruit nuclear co-repressor proteins, NCoR or silencing mediator of retinoid and thyroid hormone receptor (SMRT), and Sin3A or Sin3B, which in turn form a complex with histone deacetylase enzymes (HDAC1 or HDAC2), resulting in transcriptional repression or silencing [36-38] (Figure 3A and B). The transcriptional suppression occurs because deacylation of histone protein creates conformational changes, limiting access and binding of transcription factors and RNA polymerase to related genes (Figure 3A) [39]. At physiologic concentrations of ATRA ( $10^{-9}$ - $10^{-8}$  M), the NCoR protein and HDAC complex are dissociated from RAR $\alpha$  in normal blasts, which in turn results in recruitment of co-activators with histone acetyltransferase (HAT) activity, such as steroid receptor coactivator-1 (SRC-1), PCAF, p300/CBP, ACTR, TIF2 or P/CIP [40-42]. Acetylation of lysine residues in the N-terminal of histones by HAT activity results in transactivation of responsive genes leading to differentiation. However, the physiologic concentration of ATRA does not cause dissociation of NCoR protein and HDAC complex from the PML-RAR $\alpha$  fusion receptors in APL blasts, leading to differentiation block (Figure 3B). The CoR complex is dissociated from PML-RAR $\alpha$  at only pharmacological concentrations ( $10^{-7}$  -  $10^{-6}$  M) of ATRA, resulting in removal of transcriptional repression and transcription of genes related to differentiation [38-43].



**Figure 3.** Molecular mechanisms causing transcriptional repression and differentiation block in APL. Nuclear co-repressor proteins, N-CoR or SMRT, and Sin3A or Sin3B, form a complex with histone deacetylase enzymes (HDAC1 or HDAC2), resulting in transcriptional repression or silencing. HDAC activity causes deacylation of histone protein, causing conformational changes, which in turn prevent transcription of target genes. Ac: Acetylated histones

In addition to release of transcriptional repression, the other possible mechanisms involved in ATRA effectiveness in myeloid cell differentiation include expression of different classes of genes including induction of expression of p21<sup>WAF1/Cip1</sup> cyclin-dependent kinase inhibitor [44], upregulation of C/EBP- $\gamma$ , $\beta$ , and  $\epsilon$  [45], interferon regulatory factor-1 (IRF-1) [46], and regulation of the localization of PODs [47]. In APL cells isolated from patients, ATRA upregulates expression of RAR $\alpha$  at mRNA and protein levels [48,49], whereas it causes the degradation of PML-RAR $\alpha$  [50-52]. Therefore, the ratio of RAR/RXR to PML-RAR $\alpha$  would be higher, which helps in overcoming the dominant negative effects of PML-RAR $\alpha$  protein.

### Resistance to Differentiation Therapy

ATRA therapy (45 mg/m<sup>2</sup>/day) induces complete remission in 72%-95% of APL patients through induction of differentiation of immature promyelocytic blast cells into mature granulocytes, which subsequently undergo apoptosis [53-56]. The success of ATRA in the induction of complete remission in APL patients represents the first differentiation therapy in cancer and now constitutes a front-line treatment in combination with chemotherapy [54-55].

Unfortunately, resistance to ATRA treatment was encountered in the early clinical trials [56-59]. Later clinical studies demonstrated that ATRA as a single agent can not maintain remission and almost all APL patients routinely relapse within three months to one year [54,55,60-63]. The resistance is acquired rapidly in most cases within 1-3 months of ATRA [57]. Therefore, ATRA-induced CR is now combined with chemotherapy (i.e. anthracyclines) [54,55,62].

Pharmacokinetic studies showed that chronic oral administration of ATRA results in progressive decline in plasma drug concentrations, which associates with early relapses and resistance to ATRA in APL patients [61,64-66]. Plasma levels of ATRA, which usually start to decline as early as one week from the initiation of ATRA therapy, probably result in decreased intracellular ATRA levels below effective pharmacological concentration [67,68]. The higher ATRA plasma concentration correlates with lower peripheral blast count in APL patients [67]. The reduction in plasma levels after administration of ATRA has been observed in other species such as monkeys and mice [69,70]. However, this phenomenon is not seen with ATRA isomers such as 9-cis-RA and 13-cis-RA, suggesting that ATRA uptake and metabolism are different from its isomers [67]. Recently, it was shown that higher intracellular concentration of ATRA correlates with ATRA-induced differentiation of APL cells, indicating the importance of keeping ATRA at levels that support differentiation [71,72].

Relapsing patients were shown to be resistant to higher doses of ATRA, and doubling the initial ATRA dose failed to induce CR and to maintain stable plasma ATRA concentrations [61]. In addition, APL cells isolated from patients at the time of relapse were sensitive to ATRA ( $10^{-6}$  M) in vitro [61]. However, the response to ATRA was found to be decreased in vitro sensitivity in half of the cases in terms of induction of differentiation [57,65]. Interestingly, it was observed that acquired resistance to ATRA may be reversible after discontinuation of the ATRA therapy and patients may gain

sensitivity to ATRA, usually in 6 months to 24 months, suggesting that ATRA resistance is reversible [57,65,73,74].

After *in vitro* and clinical experiences with ATRA over a decade, the following mechanisms involved in development of the drug resistance have been proposed (Figure 4): 1) induction of accelerated metabolism of ATRA; 2) increased expression of cellular retinoic acid binding proteins (CRABPs); 3) constitutive degradation of PML-RAR $\alpha$ ; 4) point mutations in the LBD of RAR $\alpha$  of PML-RAR $\alpha$ ; 5) P-glycoprotein expression; 6) transcriptional repression by HDAC activity; 7) isoforms of PML-RAR $\alpha$ ; 8) persistent telomerase activity; 9) expression of type II transglutaminase; and 10) topoisomerase II activity.

### 1. Accelerated ATRA metabolism

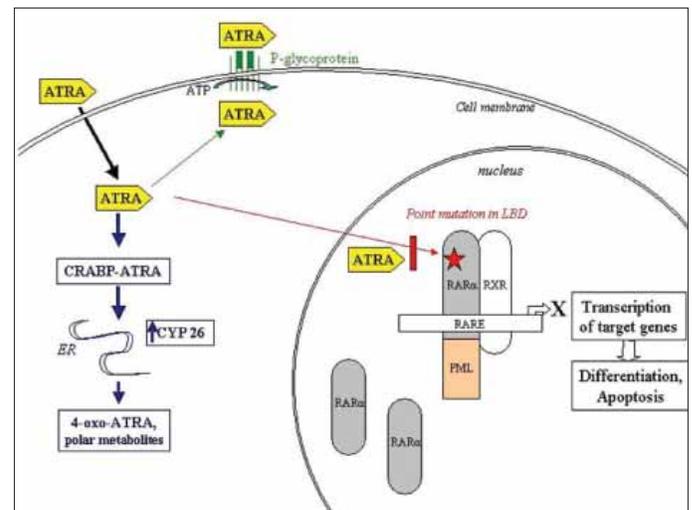
The major pathway for ATRA inactivation is the oxidative metabolism by microsomal cytochrome P450 isoenzyme system that is initiated by the 4-hydroxylation of ATRA to form 4-hydroxy-RA and 4-oxo-RA (Figure 5) [75-78]. Chronic oral administration of ATRA results in autoinduction of ATRA metabolism by cytochrome P450-dependent enzymes, leading to progressive reduction in plasma ATRA concentrations, which may be the most important mechanism for development of resistance to therapy. The decrease in peak plasma levels of ATRA is associated with urinary excretion of 4-oxo-ATRA, which is found to be increased about 10-fold during the continuous ATRA treatment, suggesting that decreased plasma levels of ATRA may not be due to impairment in the gastrointestinal uptake of the drug [61]. *In vitro* and *in vivo* studies with cytochrome P450 inhibitors (ketoconazole and liarozole), which suppress ATRA metabolism, resulted in increased plasma levels and delayed ATRA plasma clearance in animals and humans, thus further supporting this hypothesis [79-81].

Recently, a novel human p450 enzyme (CYP26) with specific RA 4-hydroxylase activity, was cloned from zebrafish, mouse and human [82-85]. CYP 26, which is rapidly inducible by ATRA, is expressed in tissues, including liver, kidney, lung, placenta, skin, and intestinal cells [82,84,86]. ATRA-induced expression of CYP26 was also shown in some human tumors such as hepatocellular carcinoma cell line, non-small cell lung carcinoma, breast cancer cells, as well as myeloblastic and PML cells [84,86-88]. The expression of full-length human cDNA for CYP26 in transfected cells closely correlated with the accumulation of 4-hydroxy-RA and 4-oxo-RA, the major metabolic products of ATRA [84]. CYP26 metabolizes ATRA into 4-hydroxy-ATRA, 4-oxo-ATRA, 18-hydroxy-ATRA and polar metabolites in F9 cells [89]. CYP26 was shown to be highly specific for the hydroxylation of ATRA but not for the hydroxylation of 13-cis RA or 9-cis-RA [87]. Several studies demonstrated that the expression of CYP26 is regulated by RARs and RXRs, suggesting a feedback loop mechanism for the regulation of ATRA levels [86,87,89,90]. We found that pharmacological doses of ATRA induce acute expression of CYP26 mRNA in myeloid (HL-60) and PML (NB4) cells. Its expression in these cells is regulated solely by RAR $\alpha$  type receptor, indicating the existence of substrate-mediated control of ATRA metabolism [86]. The induction of CYP 26 expression in response to ATRA treatment is reversible and dependent on the continuous presence of ATRA, since the expression

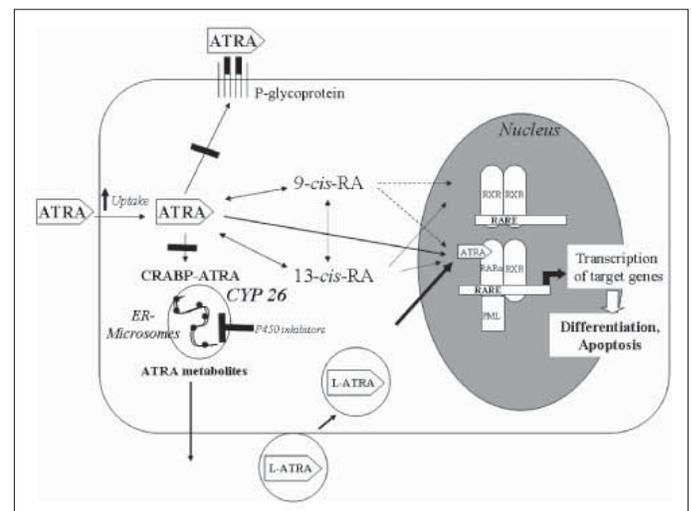
returned to baseline after withdrawal of the ATRA [86]. These studies suggested that ATRA-induced CYP26 expression might be responsible for the accelerated metabolism of ATRA, leading to decreased sensitivity and acquired resistance to ATRA in APL patients.

Intracellular levels of ATRA are strictly controlled through regulation of synthesis, metabolism and probably uptake. CYP26 is highly inducible and specific for hydroxylation of ATRA; thus, it might be the most important in the P450 enzyme system for the regulation of plasma and intracellular levels of ATRA. It has been shown that CYP1A1, CYP2C8, CYP2C9 and CYP3A4 in microsomes of human liver cells were able to hydroxylate ATRA, but none of these enzymes at protein and mRNA levels were inducible by ATRA and have low specificity for ATRA [91,92].

It is likely that the metabolic fate of ATRA after continuous administration is determined by the induction of CYP26 in



**Figure 4.** Metabolic pathways leading to inactivation of ATRA. P450-mediated metabolism is the major pathway for inactivation of ATRA



**Figure 5.** Possible mechanisms involved in development of ATRA resistance. Selective P450 inhibitors and liposomal ATRA may circumvent metabolic pathways and mechanisms involved in accelerated elimination of ATRA

leukemia and other metabolically active tissues such as the liver, intestine and skin. Following ATRA treatment, increased CYP26 activity in PML cells may reduce intracellular ATRA concentrations below the level that does not support differentiation, thus leading to ATRA resistance.

## 2. Increased cellular RA binding proteins (CRABPs)

In the cytoplasm, ATRA is bound by CRABPs I and II. CRABPs, which are conserved in vertebrates, are high affinity proteins for ATRA [93,94]. CRABP-I is expressed in almost all types of cells, whereas CRABP-II is expressed mainly in the skin. The difference in tissue expression patterns suggest that CRABP-I and CRABP-II have distinct functions in ATRA-mediated responses [95-97]. Early studies linked CRABPs with metabolism and regulation of cytoplasmic levels of ATRA. Therefore, the other possible explanation for progressive decline in the plasma levels of ATRA after continuous therapy with the drug may be the induction of CRABPs. It has been proposed that high levels of CRABP may sequester intracellular ATRA, resulting in decreased drug levels in plasma as well as in normal bone marrow and APL cells [57,65,98,99].

It was shown that the rate of ATRA metabolism in F9 teratocarcinoma but not in transfected CV-1 and COS-7 cells correlates with the expression levels of CRABP-I, suggesting that CRABP-I regulates the metabolism of ATRA depending on cell type [22,100]. Boylan et al. [100] also showed that increased CRABP-I expression resulted in decreased sensitivity of F9 cells to ATRA-induced differentiation, suggesting that this molecule functions as a regulator of intracellular ATRA levels by delivering ATRA to microsomes, facilitating catabolism, and/or by sequestering ATRA (Figure 4). CRABP molecules have been shown to be present not only in cytoplasm but also in the nucleus, suggesting that CRABPs may function to deliver ATRA to the nuclear retinoid receptors. It is also possible that CRABPs may be involved in transcriptional activation or inhibition of RARs [22,100]. Dong et al. [101] showed that expression of CRABP-II, but not CRABP-I, significantly induced RAR-mediated transcriptional activation of a reporter gene, indicating that CRABP-II indeed may be involved in transcriptional activity of ATRA. Recent studies in breast cancer and APL cell lines showed that CRABP-II associates with RAR $\alpha$  and RXR $\alpha$  complex in a ligand-independent manner [102]. CRABP-II may function as a transcriptional regulator of ATRA signaling by binding RARE on the target genes as part of the receptor complex [101-103].

Increasing levels of CRABP-II were shown in normal and leukemia cells of APL patients undergoing ATRA treatment [57]. The investigators found that CRABP-II reached maximum levels after three months of continuous ATRA treatment and its levels decreased within a month after ATRA withdrawal. In relapsing patients, high levels of CRABP-II were detected in APL cells but not before ATRA therapy, suggesting that in a hypermetabolic state, excess CRABP might bind ATRA and prevent drug transport to the nucleus [57]. CRABP might also act as a transporter to the microsomes in the endoplasmic reticulum (ER) where ATRA is metabolized. Recently, Zhou et al. [104], however, found no difference between CRABP II levels in pretreatment and at the time of relapse in APL patients.

Constitutive expression of CRABP II implicates that it may not be related to ATRA resistance in APL patients. Interestingly, CRABP-I/II knockout mice did not show significant phenotype difference or signs of toxicity, indicating that these proteins may not play an important role in the regulation of ATRA metabolism and signaling [105].

9-cis-RA and 13-cis-RA have stable plasma concentrations after continuous administration. This might be due to their lower affinity for CRABP compared with ATRA, which has progressive reduction of plasma levels with continuous treatment. The other possibility might be that these isomers do not induce specific p450 enzymes as ATRA does.

## 3. Mutations at the ligand binding domain of RAR $\alpha$

Leukemic blasts isolated from some ATRA-resistant APL patients are less sensitive or completely resistant to ATRA and 9-cis RA-mediated differentiations in vitro, suggesting that ATRA resistance mechanisms may involve selection of ATRA-resistant clones [106]. Point mutations in the LBD (E-domain) of RAR $\alpha$  in HL-60 cells and LBD of RAR $\alpha$  of PML-RAR $\alpha$  fusion protein in NB4 cells can be induced by prolonged culture in the presence of ATRA; thus, this point mutation leads to ATRA resistance [19,107-110]. Shao et al. [108] identified a point mutation located at the amino acid 398, L398P (leucine replaced by proline), in LBD of PML-RAR $\alpha$  in an ATRA-resistant NB4 clone (NB4-R4). The mutant receptor does not bind ATRA, but was able to bind RXR $\alpha$  and RARE, expressing dominant negative activity (Figure 4). They also found that pharmacological doses of ATRA could not dissociate the co-repressor SMRT from mutant PML-RAR $\alpha$ , preventing expression of ATRA-responsive target genes.

Recently, point mutations leading to amino acid substitution in the E-domain (LBD) of RAR $\alpha$  of PML-RAR $\alpha$  fusion receptor protein were also detected in APL cells isolated from relapsing patients [111-113]. The mutations were absent before ATRA treatment. Imaizumi et al. [112] reported acquisition of missense mutations of G815A or A889 in a sequence of RAR $\alpha$  cDNA, leading to amino acid replacement of R272Q (arginine to glutamine) and M297L (methionine to leucine) in RAR $\alpha$  of PML-RAR $\alpha$ . The mutations found in APLs isolated from two patients at the time of relapse, exhibiting ATRA resistance, were localized to the middle region of the E-domain. However, mutations detected in ATRA-resistant HL-60 and NB4 subclones are located at the carboxyl-terminal of the E-domain [108,114]. Furthermore, site-directed mutagenesis at A272 of RAR $\alpha$  has been shown to inhibit binding of ATRA to RAR $\alpha$  [115]. Recently, Marasca et al. [116], also reported that although no mutation could be detected before the onset of ATRA treatment, point mutations in LBD of PML-RAR $\alpha$  in two relapsed patients were observed, confirming previous findings. Ding et al. [111] found mutations in PML-RAR $\alpha$  in APL blasts of 3 of 12 patients following ATRA treatment. The mutations were located at codons 290 (L290V), 394 (R394W), and 413 (M413T).

These mutations interfere with ATRA binding activity and result in dominant negative function leading to resistant state and providing growth advantage of APL blasts carrying the mutation. Currently, the percent of ATRA-resistant patients having these mutations is not known. Therefore, studies with

larger numbers of patients are required to clarify the clinical importance of these mutations.

#### 4. Constitutive degradation of PML-RAR $\alpha$

Expression of PML-RAR $\alpha$  has been linked to initial ATRA sensitivity [24]. NB4 cells expressing dominant negative PML-RAR $\alpha$  are resistant to ATRA and failed to upregulate tissue transglutaminase II expression [108]. Expression of the PML-RAR $\alpha$  protein in U937 cells enhanced the sensitivity to RA-induced differentiation [24]. These results suggested the biological function for PML-RAR $\alpha$  to transactivate differentiation-related genes that are critical for therapeutic response of ATRA in APL.

ATRA therapy was shown to induce degradation of PML-RAR $\alpha$  through the action of proteasome, likely by caspases 3-like activity in APL cells isolated from patients and NB4 as well as U937 myeloid precursor cells expressing PML-RAR $\alpha$  [50-52,117]. Fanelli et al. [52] demonstrated that ATRA-resistant NB4 subline, which was selected under the selective pressure of ATRA, expresses normal levels of PML-RAR $\alpha$  mRNA, but does not express PML-RAR $\alpha$  protein. They were able to partially restore ATRA sensitivity in the ATRA-resistant NB4 cells by proteasome inhibitors by blocking the degradation of the fusion receptor protein. Similarly, expression of PML-RAR $\alpha$  by retrovirus-mediated transduction resulted in restoration of ATRA sensitivity in ATRA-resistant NB4 cells protein [52]. These results suggested that alterations in the proteasome pathway resulting in constitutive degradation of PML-RAR $\alpha$  protein may lead to ATRA resistance, since previous data showed that expression of PML-RAR $\alpha$  is critical for ATRA sensitivity in APL cells [52]. Downregulation of PML-RAR $\alpha$  by ATRA probably results in reorganization of the PML nuclear bodies. Nervi et al. [117] found that prevention of ATRA-induced degradation of fusion protein by a member of the caspase 3 family did not abolish the ATRA-induced differentiation, suggesting that PML-RAR $\alpha$  is involved in ATRA sensitivity of APL cells.

Interestingly, the short isoform of PML-RAR $\alpha$  (bcr3-PML-RAR $\alpha$ ), which is found in about 35% of APL patients, does not contain the caspase cleavage site (Asp522,  $\alpha$ -helix, located in PML part) and is not degraded after ATRA treatment [24,115,118,119]. However, these APL patients with the short isoform respond to ATRA, indicating degradation of PML-RAR $\alpha$  may not be essential for ATRA-induced differentiation [120]. It is not known if ATRA treatment results in degradation of other ATRA-sensitive variants of APL with NPM-RAR $\alpha$  or NuMA-RAR $\alpha$ . Whether ATRA-induced degradation of PML-RAR $\alpha$  is a cause or result of therapy needs to be clarified.

#### 5. P-glycoprotein expression

P-glycoprotein (P-gp) is a membrane protein functioning as an ATP-dependent drug efflux pump that decreases intracellular accumulation of various lipophilic compounds (Figure 4) [121-124]. P-gp is the product of the multidrug resistance-1 (MDR1) gene that confers drug resistance to a variety of agents. P-gp is overexpressed in a variety of human tumor cells, leading to resistance to chemotherapy [121,123,125]. Therefore, it is possible that increased expression of P-gp results in resistance of APL cells to ATRA by decreasing intracellular ATRA

concentrations. It has been shown that expression of P-gp is low in newly diagnosed APL patients, but higher in APL cells isolated from two relapsed ATRA-resistant patients [126]. It was also reported that expression of P-gp in HL-60 was lower when compared to ATRA-resistant HL-60 cells [126]. Moreover, treatment of HL-60 cells with P-gp antagonist (Verapamil) in the presence of ATRA partially restored ATRA resistance in resistant HL-60 and APL cells, implying that P-gp may play a role in ATRA resistance. More importantly, the direct evidence indicating that P-gp is responsible, in part, for acquisition of ATRA resistance in APL cells came from the experiment using ribozymes, which are able to target MDR1 RNA by a catalytic activity. HL-60-resistant cells stably transfected with 196 MDR1 ribozyme showed inhibition in the expression of MDR1 and were able to undergo differentiation and growth inhibition in a dose-dependent manner.

However, Takeshita et al. [127] recently reported that they did not find any difference in the intracellular levels of ATRA between parental (mock-transfected) and MDR1-transfected NB4 cells. They found similar results with APL cells isolated from patients relapsed after ATRA therapy, suggesting that P-gp may not be involved in the development of ATRA resistance [127]. P-gp expression is significantly lower in APL than in other AML cells [128]. This may be an important mechanism providing a biological basis for sensitivity of APL cells to chemotherapy and ATRA when compared to the AMLs.

#### 6. Histone deacetylase (HDAC) activity

APL cells expressing PLZF-RAR $\alpha$  receptor fusion protein are resistant to ATRA-induced differentiation [3,28]. Recent findings revealed that the RA-signaling pathway is constitutively repressed by HDAC activity at physiologic levels of ATRA in PLZF-RAR $\alpha$  type APL blasts, leading to transcriptional repression/silencing and differentiation block [36,37]. The RAR $\alpha$  part of PML-RAR $\alpha$  fusion protein has one binding site for NCoR proteins and HDAC complex that is removed by binding of ATRA to PML-RAR $\alpha$ /RXR dimer; thus, pharmacological concentrations of ATRA induce differentiation of PML-RAR $\alpha$ -positive APL blasts in vitro and in vivo [36]. However, the same effect is not observed in PLZF-RAR $\alpha$ -positive APL cells, since PLZF-RAR $\alpha$  protein has two NCoR protein binding sites [38,43]. In order to transactivate responsive genes leading to cell differentiation, the removal of both of the CoR complexes from the PLZF-RAR $\alpha$  is required. Even though ATRA is able to dissociate NCoR proteins and HDAC complex from RAR $\alpha$  of PML-RAR $\alpha$  protein, the second CoR proteins and HDAC complex can not be removed. Therefore, while ATRA induces differentiation of PML-RAR $\alpha$ -positive APL blasts at pharmacological concentrations, PLZF-RAR $\alpha$ -expressing blasts are resistant to ATRA-induced differentiation unless a HDAC inhibitor such as trichostatin A is used [36,43,129,130]. The presence of HDAC inhibitors and ATRA induces significant differentiation in most resistant APL cells with PLZF-RAR $\alpha$  [36].

#### 7. The role of PML/RAR $\alpha$ isoforms in resistance

Variable breakpoints on the PML gene on chromosome 15 result in expression of distinct PML-RAR $\alpha$  isoforms (Figure 1 and 2B) [54,131]. Short (S) isoform (bcr3) is created by a breakpoint

in intron 3, while long (L) isoform (bcr1) results from a breakpoint located in intron 6 of the PML gene, found in 35% and 60% of adult APL patients with t(15,17), respectively [6,132]. The rest of the patients have the other isoform called variable (V), having a breakpoint located in exon 6 of PML [133]. The S isoforms of PML-RAR $\alpha$  associate with high white blood cell (WBC) count, M3v type morphology, CD34 and CD2 expression, and secondary cytogenetic abnormalities [118,120,134].

Although no significant correlation between type of PML-RAR $\alpha$  isoform and ATRA-induced clinical response was found in most studies, in some studies, patients expressing S type PML-RAR $\alpha$  had shorter remission time and poor prognosis with ATRA therapy [135-137]. In vitro treatment of APL blasts from patients with S and L type by ATRA was shown to induce differentiation of these blasts to a similar degree [138]. However, when compared to L isoform, the S isoform has lower binding affinity for ATRA but higher affinity and specificity for 9-cis-RA [6]. Gallagher et al. [138] showed that APL cells from patients with V (Bcr2) isotype have decreased in vitro response to ATRA.

A recently completed clinical study with liposomal ATRA at our institution reported that CR rates were 50% (4 of 8 patients) in the patients with S isoform and about 86% (6 of 7 patients) in patients with L isoform, suggesting that S isoform might play a role in resistance to ATRA [139]. Overall, based on the data available, it is hard to find a clear correlation between the type of PML-RAR $\alpha$  isoform and outcome of ATRA therapy.

### 8. Telomerase Activity

It has been reported that there is a link between decreased telomerase activity and terminal differentiation of some tumor cells, including NB4 cells [140-143]. Nason-Burchenal et al. (144) showed that ATRA-resistant NB4 cells did not have repression in the activity of telomerase after ATRA treatment compared to ATRA-sensitive NB4 cells. However, when ATRA-sensitive and -resistant NB4 cells were treated by phorbol 12-myristate 13-acetate (PMA) and vitamin D3, all cells were induced to differentiate into monocytic cells and telomerase activity markedly declined, suggesting that persistent telomerase activity may be linked to ATRA resistance. This effect might be due to a defective signaling in ATRA-resistant cells, resulting in a block in decreasing telomerase activity.

### 9. Tissue Transglutaminase Expression

Transglutaminase II (Tgase-II) is a calcium-dependent enzyme that catalyzes an amine incorporation and a cross-linking of proteins. Intracellular Tgase-II was induced when human PML cells (NB4) and fresh leukemia cells were isolated from APL patients treated with RA. It was reported that ATRA induces Tgase-II mRNA in NB4 cells but not in ATRA-resistant NB4 cells or in APL patient cells lacking the t(15,17). This induction correlated with ATRA-induced growth arrest and granulocytic differentiation. ATRA did not induce growth arrest and differentiation and type II Tgase activity in an ATRA-resistant subclone of the NB4 cell line, or in leukemic cells derived from two patients morphologically defined as APL but lacking the t(15,17). ATRA induced expression of Tgase II in U937 cells transfected with PML-RAR $\alpha$  but not in untransfected U937 cells, indicating that Tgase expression may be mediated by

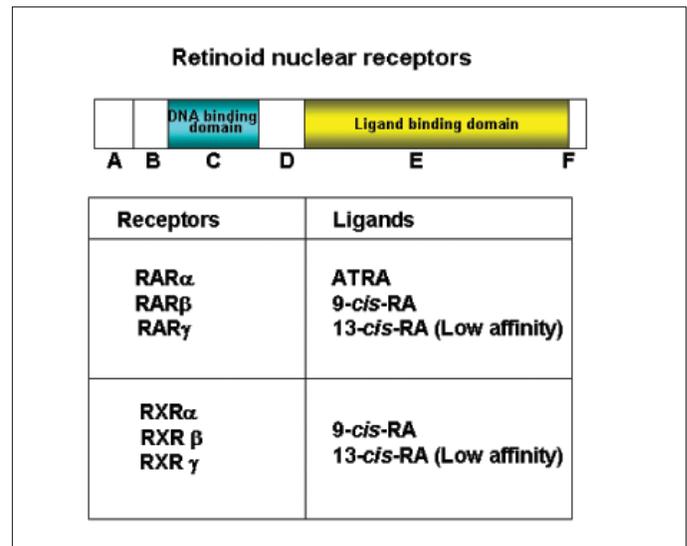
PML-RAR $\alpha$  [145]. ATRA-induced expression of Tgase II in HL-60 cells is mediated by RXR $\alpha$  [20,146]. Induction and expression of Tgase II in HL-60 and other cell types are associated with apoptosis [146]. It is also suggested that Tgase II expression may be related to induction of differentiation, since its expression is an early event in response to ATRA treatment. Therefore, loss of Tgase II induction in resistant cells may be an important factor resulting in resistance to ATRA therapy.

### 10. Topoisomerase II Activity

Recently, McNamara et al. demonstrated that topoisomerase II beta associates with and negatively modulates RARalpha transcriptional activity and that increased levels of and association with Topollbeta cause resistance to RA in APL cell lines [147]. They showed that knockdown of Topollbeta could overcome resistance by permitting RA-induced differentiation and increased RA gene expression. Overexpression of Topollbeta in clones from an RA-sensitive cell line caused resistance by a reduction in RA-induced expression of target genes and differentiation. Using chromatin immunoprecipitation (CHIP) assays, they also demonstrated that Topoll-beta is bound to an RA response element and that inhibition of Topoll-beta causes hyperacetylation of histone 3 at lysine 9 and activation of transcription, suggesting a novel mechanism of resistance. However, this mechanism needs to be validated in samples from ATRA-resistant patients in terms of frequency and significance.

### Potential Treatment Strategies to Overcome ATRA Resistance in APL

**1. Liposomal ATRA:** New treatment modalities are being investigated to overcome ATRA resistance and to further improve the disease outcome. To circumvent accelerated metabolism of ATRA, liposome incorporated-ATRA, inhibitors



**Figure 6.** Possible strategies to prevent accelerated metabolism of ATRA. Selective P450 inhibitors and liposomal ATRA may circumvent metabolic pathways and mechanisms involved in accelerated elimination of ATRA

of the cytochrome p450 enzyme system, such as ketoconazole and liarozole, and lower or intermittent doses of ATRA administration have been tested [60,73,74,80,148].

Liposomal ATRA was developed to provide an intravenous (I.V.) formulation to generate potential pharmacological advantages over the oral formulation (Figure 6) [148]. An I.V. administration of liposomal-ATRA was shown to be superior to oral ATRA (non-liposomal) in terms of maintaining higher plasma levels in animal models and in humans [139,149-152]. I.V. administration of liposomal ATRA to rats over a prolonged period (7 weeks) did not cause a decrease in the levels of ATRA in plasma over time [149]. In contrast, chronic oral administration of ATRA (non-liposomal) in rats resulted in decreased drug plasma concentrations after the same period of time. In the same study, liver microsomes isolated from animals that were repeatedly treated with oral ATRA showed a significant increase in metabolism of the drug *in vitro*. However, microsomes isolated from animals that received I.V. liposomal ATRA the same number of times with the same doses showed that metabolism of the drug was not altered. Similarly, when F9 teratocarcinoma cells were treated with both liposomal and free ATRA, liposomal ATRA was metabolized at a slower rate than non-liposomal ATRA [150]. These results demonstrated that encapsulation of ATRA in liposomes and I.V. administration generate a better pharmacokinetic profile than oral ATRA by circumventing the hepatic metabolism of ATRA. In addition to bypassing the hepatic clearance, liposomal ATRA was shown to distribute in the skin to a lesser extent, which may contribute to maintaining steady and higher ATRA concentrations in the plasma [149].

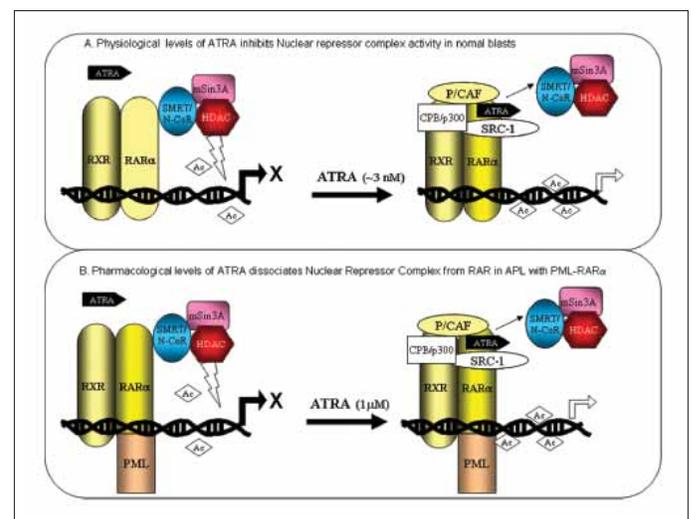
Evaluation of liposomal ATRA in a phase I trial in patients with refractory hematological malignancies showed that in contrast to the decline in plasma AUC (area under the concentration time curve) of ATRA seen 3 to 4 days after initiation of oral ATRA, there were no differences between the AUC on day 1 and day 15 following liposomal ATRA treatment [151]. In the same study, liposomal ATRA was shown to be safe, and toxicity profiles were similar to those of oral ATRA, although liposomal ATRA produced much higher AUC. I.V. administration of liposomal ATRA (90 mg/m<sup>2</sup>) monotherapy was shown to be effective in newly diagnosed APL patients, inducing polymerase chain reaction (PCR)-negative molecular CRs in a high proportion of patients [139,153]. These studies supported the hypothesis that I.V. liposomal administration may improve ATRA activity by altering its pharmacological profile, remaining elevated following extended treatment and providing a basis for long-term therapy in APL.

**2. Arsenic trioxide (As<sub>2</sub>O<sub>3</sub>):** Arsenic compounds, which have been used for more than 500 years in traditional Chinese medicine, have been shown to be highly effective in the treatment of APL. Arsenic alone induces CRs in about 90% of APL patients with t(15,17) [154,155]. More importantly, arsenic induces CRs not only in *de novo* APL patients but also in patients with relapses after ATRA/chemotherapy who have become resistant to these drugs [154-158]. Recently, arsenic trioxide was approved by the Food and Drug Administration (FDA) for APL patients who relapsed or failed to respond to standard therapy. Although arsenic is extremely effective especially in ATRA-resistant APL patients, its moderate toxic effects need to be further investigated.

*In vitro* and *in vivo* studies showed that arsenic triggers apoptosis at high concentrations (0.5-2.0 μM) and induces differentiation at low concentrations (0.1-0.5 μM) in APL cells [159,160]. No cross-resistance has been observed between ATRA and arsenic. Arsenic induces degradation of PML-RARα and endogenous PML and enhances acetylation of histones [160,161]. Arsenic-induced apoptosis might be mediated by down regulation of Bcl-2 and upregulation of death associated protein (DAP5/p86) that leads to activation of caspase 1 and 3 and PDCD4 [162-164]. Arsenic has been effective in t(11,17) type APL expressing PLZF-RARα in a mouse model. Studies suggested that the mechanism of effect of As<sub>2</sub>O<sub>3</sub> on PML is different from that of ATRA. As<sub>2</sub>O<sub>3</sub> shows antitumoral activity in APL cells that do not harbor t(15;17), a variety of hematologic cancer cell lines including chronic myeloid leukemia (CML) (that is resistant to other agents), multiple myeloma, lymphoma, chronic lymphocytic leukemia (CLL), acute lymphoblastic leukemia (ALL), and megakaryocytic leukemia.

A recent trial using I.V. arsenic in patients with relapsed or refractory APL showed that 70% of patients achieved molecular remission and most of them stayed disease free CR in the 16-month follow-up [155]. Although toxicity and serious side effects of arsenic were reported in the same study, these effects were not permanent and did not cause interruption of therapy. Another study reported that the CR rate induced by arsenic was 90% in APL patients who relapsed after ATRA-based therapy [154]. More importantly, recent clinical studies suggested that combination therapy (ATRA and As<sub>2</sub>O<sub>3</sub>) was more effective at prolonging survival than either drug alone, suggesting that combination of ATRA and As<sub>2</sub>O<sub>3</sub> acts synergistically [162].

**3. Histone deacetylase inhibitors:** Induction of differentiation of ATRA-resistant APL with PLZF-RARα, using combination of pharmacological dose of ATRA and HDAC inhibitors (TSA or sodium phenylbutyrate) opened a new avenue in the treatment of not only APL but also AML1-ETO AML [36]. Although butyrate was the first identified HDAC inhibitor, it is not specific



**Figure 7. A.** Physiological levels of ATRA inhibits nuclear repressor complex activity in normal blasts. **B.** Pharmacological levels of ATRA dissociates nuclear repressor complex from RAR in APL with PML-RARα.

for HDAC [165]. Trichostatin A and trapoxin are more specific and potent HDAC inhibitors [165,166]. The major problem regarding the use of these non-specific HDAC inhibitors might be side effects because of changing chromatin structure in cells other than leukemia.

#### 4. Others

Am-80, a synthetic retinoid, has been successful in relapsed APL patients previously treated with ATRA, inducing CR in about 60% of patients [167,168]. However, in addition 4-HPR [169], 1,25-dihydroxyvitamin D<sub>3</sub> [170,171] and K<sub>2</sub> in combination with ATRA [172] have been shown to be effective in ATRA-resistant APL cell lines inducing differentiation. Recently, 3-hydroxymethylglutaryl coenzyme A (HMG-CoA) reductase inhibitors (statins) were shown to have anti-leukemic activity against leukemia cells. Simvastatin was found to be the most active statin in the family and induced cytotoxic potency against HL-60 cells [173]. Combination of RA and tumor necrosis factor can overcome the maturation block in a variety of RA-resistant acute PML cells [174], suggesting that combination with RA can enhance the potency of the other drug or induce additional pathways that cannot be triggered in resistant cells by ATRA alone. In collaboration with Dr. Michael Danilenko, we demonstrated that combination with rosemary extract or its active compound carnosic acid can enhance ATRA-induced differentiation effects in NB4 and HL60 and resistant APL cells (Dr. Ozpolat-unpublished findings).

#### Conclusions/Future Prospects

Although the use of ATRA has greatly improved the treatment of APL, rapid development of ATRA resistance limits its use as a single agent. Therefore, understanding the mechanisms involved in acquired ATRA resistance and designing new therapeutic strategies would significantly improve the rate and long-term maintenance of CR in APL patients. Combination of ATRA with chemotherapy is currently the mainstay therapy in APL. In conclusion, designing drugs with favorable plasma pharmacokinetics and without exhibiting resistance and side effects will be the main goal of future studies for developing successful therapeutic strategies. New strategies based on our understanding of the fate of ATRA in patients with APL will facilitate the development of non-toxic and effective therapeutic modalities.

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